

## Hausfeld & Co. LLP Client Complaints Policy

### **A. Our approach to client complaints**

1. We are committed to providing a high-quality legal service to all our clients. We aim to resolve any concern or complaint a client may have about any aspect of our service promptly, fairly and to the satisfaction of all parties.
2. If you are not satisfied with any aspect of our service, including any issues with our fees, we would like you to raise the concern with us promptly so that we can discuss this with you and try and resolve it as swiftly as possible. Where it is not possible to resolve the issue with the case team working on your matter and/or you wish to review the matter to be reviewed by someone unconnected with the matter, we will follow the formal complaints procedure set out below in this note.
3. Our Global Co-Chair, Anthony Maton, acts as our Client Care Partner and will oversee our investigation of, and response to, any complaints which are raised either himself directly or by a nominated independent partner where appropriate, seeking to resolve the issue with you wherever possible.
4. Mr. Maton can be contacted at any stage if you wish to discuss how your complaint will be investigated, by email at [amaton@hausfeld.com](mailto:amaton@hausfeld.com) or by telephone on 0207 665 5000.
5. We set out below:
  - the procedure which we will be followed to investigate and try and resolve the complaint internally by the firm; and
  - alternative options which are available you to pursue your complaint if you are not satisfied with our response, either to the Legal Ombudsman, the Solicitors Regulatory Authority and/or in the case of consumer complaints, via the Online Dispute Resolution Platform.

### **6. How to complain**

6. If you have a complaint or concern about our service, please provide the details, by letter, email or telephone to the partner with responsibility for your matter, as identified in our engagement letter, or any alternate partner with whom you feel you have the closest relationship. All complaints received will be notified to the Client Care Partner and Managing Partner and recorded in a central firm register.

### **Complaints which we can resolve quickly within your designated case team**

7. In the first instance, the case partner will contact you to discuss the complaint and see if it can be resolved unless you notify us that you would prefer to speak straight away to a partner unconnected with the matter

8. Where the case partner can promptly resolve the issues to your satisfaction, he/she will set out details of the agreed resolution in writing to you and ensure that it is recorded in the firm's register. If your complaint is not resolved to your satisfaction within 5 working days of raising it (or any agreed extended period), or you prefer to discuss the matter with a partner who is unconnected with the matter straight away, please notify the case partner (by letter, email or telephone) that you require your complaint to be investigated by another partner who has not been involved in the instruction.

**Investigation by our Client Care Partner (or nominated partner on his behalf)**

9. Where the complaint cannot be readily resolved by the case partner or you do not wish to discuss the matter with them, your complaint will be passed to our Client Care Partner, Anthony Maton, who will:
  - a. send you a letter acknowledging receipt of your complaint (within three working days of your requesting an investigation of your complaint by another partner) and enclosing a copy of this procedure; and
  - b. either himself review your matter file and speak to the member of staff who acted for you or, where appropriate, nominate a partner unconnected with your matter to do so.
10. The partner nominated to investigate your complaint will then invite you to a meeting to discuss your complaint within 10 working days of the acknowledgement letter, or in appropriate circumstances, within any longer period agreed with you, where additional time is agreed to be required to obtain all relevant information or to schedule the meeting on a date convenient to you.
11. Within three working days of the meeting, the partner who met with you will write to you with details of the discussion and any solutions which were agreed with you.
12. If you do not want a meeting or it is not possible, the partner nominated to deal with your complaint will send you a detailed written reply to your complaint, including his/her suggestions for resolving the matter, within 21 days of the acknowledgement letter.
13. If you are still not satisfied with our response and you would like the response to be reviewed, please contact Anthony Maton in his capacity as the Client Care Partner, who will arrange for the firm's Management Committee to review the decision.
14. We will write to you within 10 working days of receipt of your request for a review, confirming our final position on your complaint and explaining our reasons.
15. If we have to change any of the timescales above, we will let you know and explain why.

**C. Alternative options if we are unable to resolve your complaint**

16. If you are still not satisfied with our response to your complaint, you may wish to consider the following options to pursue the complaint.

### **Legal Ombudsman**

17. The Legal Ombudsman may be prepared to investigate your complaint if you satisfy the relevant criteria and will carry out an independent review of the complaint. Before accepting a complaint for investigation, the Legal Ombudsman will check that you have tried to resolve your complaint with us first. Information regarding the circumstances in which the Ombudsman can investigate complaints and the procedure which will be followed is available at [www.legalombudsman.org.uk](http://www.legalombudsman.org.uk).
18. You must take your complaint to the Legal Ombudsman:
  - a. within six months of receiving a final response from us to your complaint; and
  - b. no later than:
    - one year from the date of act/omission which your complaint relates to; or
    - no more than one year from when you should reasonably have known there was cause for complaint.
19. The Legal Ombudsman can be contacted:
  - by email at: [enquiries@legalombudsman.org.uk](mailto:enquiries@legalombudsman.org.uk);
  - by letter at: Legal Ombudsman, PO Box 6806, Wolverhampton, WV1 9WJ; or
  - by telephone on 0300 555 0333 (or +44 121 245 3050, if calling from outside the UK).

### **Solicitors Regulation Authority**

20. The Solicitors Regulation Authority (the SRA) can assist if you are concerned about our behaviour. This could be for things like dishonesty, taking or losing your money or treating you unfairly because of your age, a disability or other characteristic. Additional information can be found on the SRA website at <https://www.sra.org.uk/consumers/problems/report-solicitor.page>. The SRA can be contacted by telephone on 0370 606 2555 or +44 (0)121 329 6800 if calling from outside of the UK, or by post to Solicitors Regulation Authority, The Cube, 199 Wharfside Street, Birmingham, B1 1RN.

### **Online Dispute Resolution Platform**

21. For consumers, you may also use the Online Dispute Resolution Platform, which is an online alternative dispute resolution forum for consumers. Further information is available at <http://ec.europa.eu/odr>.