



COMPLAINTS HANDLING PROCEDURE

Our Complaints Policy

Troutman Pepper Locke (UK) LLP ("the Firm" or "we") is committed to providing a high-quality service to all clients, and this includes a commitment to resolving any complaints in an effective and constructive manner. This document explains how we will deal with any complaint that is referred to us. Your complaint might concern the way in which you have been dealt with, the quality of advice you have received, or an invoice that you have received.

Our Complaints Procedure

If you have a complaint, in the first instance please contact the Client Partner responsible for your matter. You will find details of the relevant partner in the initial letter you received from the Firm, when you were sent our terms and conditions of engagement. If you do not have that letter to hand, please ask the lawyer dealing with your matter to confirm details of your Client Partner.

The Firm's contact details are as follows:

- (i) Telephone: +44 207 861 9000
- (ii) Address: 2nd Floor, 201 Bishopsgate, London EC2M 3AB

The Client Partner will work with you to try to resolve your complaint in the first instance. If your discussions with the Client Partner do not resolve the matter to your satisfaction, you should submit a formal complaint in writing to the London Office Managing Partner, David Grant. Mr. Grant's contact details are as follows:

- (i) Email: DGrant@troutman.com
- (ii) Address: 2nd Floor, 201 Bishopsgate, London EC2M 3AB

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Your letter or email should confirm that you are making a complaint under the Troutman Pepper Locke Complaints Handling Procedure, provide your contact details, and set out as much information as possible regarding the reasons for your complaint, your dissatisfaction with any proposed resolution by the Client Partner, and your desired outcome from the complaint.

If the Client Partner is also the London Office Managing Partner, we shall refer your complaint directly to another individual in the complaints team who will be responsible for investigating the complaint (a “Complaints Officer”).

To explain how long this process might take, we set out below the estimated timescales for each stage of the process. Where it is not possible to observe any of these timescales for any reason, we will let you know and explain why.

1. The London Office Managing Partner will acknowledge receipt of your complaint by letter or email within three working days.
2. We will reply to you within 14 days, identifying the Complaints Officer who will handle your complaint, and confirming the steps we are taking.
3. The Complaints Officer will either provide our substantive response within this 14 day period or, if that is not practicable, will give our expected timetable for doing so.
4. The Complaints Officer aims to respond in full to all complaints within eight weeks but will keep you informed if we are not going to be able to meet that timescale.
5. As part of our review, the Complaints Officer may write to you to request further information and/or request a meeting or a telephone or virtual call in order to enable us to conduct a proper review of the matter.
6. Upon completion of our investigation of your complaint, we will write to you to confirm our final position on your complaint, including our proposed resolution, and explain our reasons.

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7. If the matter has not been resolved to your satisfaction within eight weeks of us receiving your complaint, or upon receipt of our final response, you may approach the Legal Ombudsman who provides an independent service examining complaints against lawyers, including solicitors' firms. You must refer your complaint to the Legal Ombudsman within one year from the date of the problem about which you are concerned, or (if the problem occurred more than one year prior) within one year from the date that you became aware of the problem. You must also refer your concerns to the Legal Ombudsman within six months of receiving a final written response from us about your complaint. The services provided by the Legal Ombudsman are limited to individuals and smaller organisations – more details can be found on the website. The contact details for the Legal Ombudsman are as follows:

- i. Telephone: 0300 555 0333
- ii. E-mail: enquiries@legalombudsman.org.uk
- iii. Website: www.legalombudsman.org.uk
- iv. Address: Legal Ombudsman, PO Box 6167, Slough, SL1 0EH

8. You may also be able to challenge our invoice(s) by applying to the Court for an assessment under Part III of the Solicitors Act 1974. If you exercise this right, you could be prevented from making a complaint to the Legal Ombudsman. In addition, if you apply to the Court for an assessment and all or part of the invoice remains unpaid at the end of that assessment, we are entitled to charge interest. There are strict time limits that apply to this process and you may wish to seek independent legal advice.

9. If you wish to make a complaint about our conduct, the Solicitors Regulation Authority ("SRA") is our professional regulator and handles complaints relating to professional conduct. You may refer a complaint about our conduct directly to the SRA. For more information, see: <https://www.sra.org.uk/consumers/problems/report-solicitor/>