

Dispute resolution: Complaints

Schedule 1 Record keeping requirements

Sch 1.1 G

The aim of the *guidance* in the following table is to give the reader a quick overall view of the relevant record keeping requirements.

It is not a complete statement of those requirements and should not be relied on as if it were.

Sch 1.2 G

Handbook reference	Subject of record	Contents of record	When record must be made	Retention period
DISP 1.1A.37UK	<i>MiFID complaints</i> subject to DISP 1.1A.	Each <i>MiFID complaint</i> received and the complaint handling measures taken to address the <i>MiFID complaint</i> and for its resolution [Note: see article 26(1), article 72, and Annex 1 of the <i>MiFID Org Regulation</i>]	Not specified [Note: see article 26(1), article 72 and Annex 1 of the <i>MiFID Org Regulation</i>]	Not specified [Note: see article 72 of the <i>MiFID Org Regulation</i>]
DISP 1.9.1 R	<i>Complaints</i> subject to DISP 1.3 - DISP 1.8.	Each <i>complaint</i> received and the measures taken for its resolution	From receipt	5 years for <i>complaints</i> relating to <i>collective portfolio management services</i> and 3 years for all other <i>complaints</i>

