10 Annex 9R Form G: The Retail Investment Adviser Complaints Alerts Form

The Retail Investment Adviser Complaints Alerts Form G approved by the FCA for notifications under SUP 10A.14.24R may be found at the FCA's website www.fca.org.uk/Pages/Doing/Regulated/Notify/index.shtml

Form G: Retail Investment Adviser – Complaints Alerts Form (all fields are mandatory except where indicated)

This form relates to *SUP* 10A.14.24R

Firm details			
Firm name		Firm Reference Number (FRN)	
Person making notification			
Name		Individual Reference Number (IRN) (where applicable)	
Position in firm		Contact telephone number	
Contact email address		Date of submission	
Retail Investment Adviser			
Name		Individual Reference Number (IRN)*	

* Individual details can be found on the Financial Services Register under the individual tab. If you are unable to identify the retail investment adviser's IRN please contact the FCA Customer Contact Centre on 0845 606 1234 for assistance.

Trigger		**Subject of complaint**									
		Advising, selling and arranging		Terms and disputed sums / charges		General admin / customer service		Arrears related		Other	
		Date(s) upheld		Date(s) upheld		Date(s) upheld		Date(s) upheld		Date(s) upheld	
(1)	*complaint* upheld where the redress paid exceeds £50,000										
(2)	three *complaints* upheld in any twelve *month* period (other than claims that have already been notified to the FCA using this form)	Number (1, 2 or 3)	Date(s) upheld	Number (1, 2 or 3)	Date(s) upheld	Number (1, 2 or 3)	Date(s) upheld	Number (1, 2 or 3)	Date(s) upheld	Number (1, 2 or 3)	Date(s) upheld