

Market conduct

Chapter 9

Data reporting service

9.2D Complaints concerning the performance of a CTP

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- (1) A *CTP* must have effective arrangements for the investigation and resolution of complaints arising in connection with the performance of, or failure to perform, any of its functions as a *CTP* under the rules in this chapter and other regulatory obligations. A *CTP* must make public how such a complaint may be raised.
- (2) The arrangements must include arrangements for a complaint to be fairly and impartially investigated by a *complaints investigator* independent of the *CTP*, and for the *complaints investigator* to report the result of the investigation to the *CTP* and to the complainant.
- (3) The arrangements must confer on the *complaints investigator* the power to recommend, if the *complaints investigator* thinks appropriate, that the *CTP* remedies the matter complained of.
- (4) ■ MAR 9.2D.1R(3) is not to be taken as preventing the *CTP* from making arrangements for the initial investigation of a complaint to be conducted by the *CTP*.
- (5) Where a *CTP* has investigated a complaint arising in connection with the performance of, or failure to perform, any of its functions as a *CTP* under the *rules* in this chapter and other regulatory obligations, and the *complaints investigator* has made a recommendation in respect of that complaint that the *CTP* should remedy the matter which was the subject of that complaint, the *CTP* must immediately:
 - (a) notify the *FCA* of that event; and
 - (b) give the *FCA* a copy of the *complaints investigator's* report and particulars of the *complaints investigator's* recommendation as soon as that report or the recommendation is available to it.