

## Chapter 3

# Notification rules for UK recognised bodies

## 3.10 Complaints

### 3.10.1

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Where a *UK recognised body's complaints investigator* has investigated a complaint arising in connection with the performance of, or failure to perform, any of its *regulatory functions*, and that *complaints investigator* has made a recommendation in respect of that complaint that the *UK recognised body* should:

- (1) make a compensatory payment to any *person*; or
- (2) remedy the matter which was the subject of that complaint;

the *UK recognised body* must immediately notify the *FCA* of that event, and give the *FCA* a copy of the *complaints investigator's* report and particulars of his recommendations as soon as that report or those recommendations are available to it.