

**COMPLAINTS SOURCEBOOK (ELECTRONIC REPORTING)  
INSTRUMENT 2002**

**Powers Exercised**

- A. The Financial Services Authority makes this instrument in the exercise of the following powers and related provisions in or under the Financial Services and Markets Act 2000 (the “Act”):
- (1) section 138 (General rule-making power);
  - (2) section 156 (General supplementary powers); and
  - (3) article 15 (Record keeping and reporting requirements relating to relevant complaints) of the Financial Services and Markets Act 2000 (Transitional Provisions) (Ombudsman Scheme and Complaints Scheme) Order 2001 (SI 2001/2326).
- B. The rule-making powers listed above are specified for the purpose of section 153 (2) of the Act (Rule-making instruments).

**Commencement**

- C. This instrument comes into force on 1 October 2002.

**Amendments to the Complaints sourcebook**

- D. The Complaints sourcebook (DISP) is amended in accordance with the Annex to this instrument

**Citation**

- E. This instrument may be cited as the Complaints Sourcebook (Electronic Reporting) Instrument 2002.

By order of the Board  
19 September 2002

## Annex

### Amendments to the Complaints Sourcebook (DISP)

In this Annex, underlining indicates new text and striking through indicated deleted text.

- 1.5.10R A report under this section must be given or addressed, and delivered, in the way set out in *SUP* 16.3.6R – *SUP* 16.3.16G (General provisions on reporting), except that:
- (1) instead of the *firm*'s usual supervisory contact, the report should be given to or addressed to ~~to be added later~~ for the attention of the Notification, Reporting & Data Maintenance department of the FSA; and
  - (2) in addition to the methods of submission of reports in *SUP* 16.3.9R, a *firm* may submit a report under this section through, and in the electronic format specified in, the FSA's Complaints Reporting System.
- 1.5.10AR A *firm* that has started but intends to stop submitting reports in electronic format under *DISP* 1.5.10R (2) must first notify the Notification, Reporting & Data Maintenance department of the FSA in writing of this intention.
- Failure of electronic submission
- 1.5.10BR If a *firm* is unable to submit a report in electronic format because of a systems failure of any kind, the *firm* must:
- (1) submit its report under this section through one of the alternative methods of submission of reports in *SUP* 16.3.9R; and
  - (2) notify the FSA, in writing and without delay, of that systems failure.
- Notification of contact point for complainants
- 1.5.11R For the purpose of inclusion in the public record maintained by the FSA, a *firm* must:
- (1) provide the FSA, at the time of its *authorisation*, with details of a single contact point within the *firm* for complainants; and ~~must~~
  - (2) notify the FSA of any subsequent change: in those details when convenient and, at the latest, in the *firm*'s next report under *DISP* 1.5.4R.
- 1.5.12G The contact point can be by name, job title or department and may include, for example, a helpline telephone number.