



LCH LIMITED
PROCEDURES SECTION 8
COMPLAINTS

1. COMPLAINTS

1.1 Introduction

1.1.1 These Procedures describe how a person ("**the Complainant**") who:

- (a) has a complaint about the conduct or behaviour or other actions of a Member with regard to that Member's clearing activities with the Clearing House;
- (b) has a complaint arising in connection with the performance of, or the failure to perform, any of the Clearing House's regulatory functions; or
- (c) has substantive opposing views or comments to a proposed or recently introduced change to the Rulebook or FCM Rulebook (each, a "**Complaint**")

may make a formal complaint, and how that complaint will be investigated and resolved.

1.2 How to make a complaint

1.2.1 A Complaint:

- (a) must be made in writing, dated and addressed to the Chief Compliance Officer, LCH Limited at [Aldgate House, 33 Aldgate High Street, London EC3N 1EA, U.K.](#) [10 Paternoster Square, London EC4M 7LS, U.K.](#);
- (b) with respect to a Complaint described in Section 1.1.1(a) or (b), should set out, as far as possible, details of the conduct, behaviour or other actions complained of, date(s) and place(s) these occurred, the names of the person involved, the outcome sought, and any other relevant details;
- (c) with respect to a Complaint described in Section 1.1.1(c), should describe, in detail, the proposed or recently enacted rule change and relevant section or clause and all substantive opposing views and comments;
- (d) must be made no later than three months after the conduct, behaviour, notification of the proposed rule change or other actions complained of, or, if the conduct, behaviour or other actions complained of consists of a series of events, no later than three months after the end of the last such event; and
- (e) must contain the full name and address of the Complainant and, wherever possible the details of a contact telephone number and email address.

1.2.2 In submitting a Complaint in accordance with these Procedures, the Complainant may submit such further and other documentation and material which he/she believes may be relevant.