

SCHEDULES

SCHEDULE 3

REQUIREMENTS FOR RECOGNITION OF PROFESSIONAL BODY

Investigation of complaints

- 5 (1) The body must have effective arrangements for the investigation of complaints relating to—
- (a) the carrying on by persons certified by it of investment business in respect of which they are subject to its rules; and
 - (b) its regulation of investment business.
- (2) Paragraph 4(4) above applies also to arrangements made pursuant to this paragraph.