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STATUTORY INSTRUMENTS

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**2006 No. 3322**

**The Compensation (Claims Management Services) Regulations 2006**

**PART 7**

**COMPLAINTS**

**Review by the Regulator of complaint handling**

**28.**—(1) If—

- (a) a client of an authorised person is dissatisfied with the handling by the authorised person of a complaint by the client; or
- (b) an authorised person and a client cannot agree on how to resolve a complaint by the client that the authorised person has failed to comply with the rules or a code of practice;

either the client or the authorised person may ask the Regulator to review the authorised person's handling of the complaint.

(2) For the purpose of such a review, the Regulator may direct the authorised person in writing to give the Regulator information or documents (being information or documents concerning either the handling of the complaint, or the conduct of the matter out of which the complaint arose) to the Regulator, and the authorised person must give the information or documents to the Regulator without delay.

**Directions of the Regulator about complaints handling and related matters**

**29.**—(1) This regulation has effect in relation to a case where the Regulator is satisfied that—

- (a) a complaint against an authorised person is well-founded; or
- (b) the authorised person should alter its claims management procedures.

(2) The Regulator may give the authorised person a direction about the further handling of the complaint.

(3) The Regulator may also give the authorised person a direction about the future handling of complaints, or about any other aspect of the authorised person's business that relates to the provision of claims management services.

(4) Before giving a direction under paragraph (2) or (3), the Regulator—

- (a) must notify the authorised person of any direction that the Regulator proposes to give, and the reasons for giving it;
- (b) must give the authorised person a reasonable opportunity to make submissions in relation to the proposed direction; and
- (c) must take any such submission into account in deciding whether to give the direction.