

**COMPLAINTS AGAINST THE FSA SCHEME (AMENDMENT NO 4)
INSTRUMENT 2007**

Powers exercised

- A. The Financial Services Authority makes this instrument in the exercise of the following powers and related provisions in the Financial Services and Markets Act 2000:
- (1) section 157 (1) (Guidance); and
 - (2) paragraph 7 of Schedule 1.

Commencement

- B. This instrument comes into force on 6 August 2007.

Amendments to the Handbook

- C. The Complaints against the FSA sourcebook (COAF) is amended in accordance with the Annex to this instrument.

Citation

- D. This instrument may be cited as the Complaints against the FSA Scheme (Amendment No 4) Instrument 2007.

By order of the Board
26 July 2007

Annex

Amendments to the Complaints against the FSA sourcebook (COAF)

In this Annex, underlining indicates new text.

Complaints against the FSA (COAF 1)

1.5 Procedure

...

1.5.18A. G The *Complaints Commissioner* expects his communications with complainants and the *FSA* during the course of an investigation to remain strictly confidential. Where a complainant breaches this requirement the *Complaints Commissioner* may, after having considered all the circumstances including any explanation from the complainant, decide to bring the investigation to an end without having to report under *COAF* 1.5.19G. Where the *FSA* breaches this requirement, the *Complaints Commissioner* will take account of this when formulating his conclusions and the breach will be recorded in the *Complaints Commissioner's* final report.

Transitional Complaints Scheme (COAF 2)

2.4 Procedure

...

2.4.17A. G The *Complaints Commissioner* expects his communications with complainants and the *FSA* during the course of an investigation to remain strictly confidential. Where a complainant breaches this requirement the *Complaints Commissioner* may, after having considered all the circumstances including any explanation from the complainant, decide to bring the investigation to an end without having to report under *COAF* 2.4.18G. Where the *FSA* breaches this requirement, the *Complaints Commissioner* will take account of this when formulating his conclusions and the breach will be recorded in the *Complaints Commissioner's* final report.