EQUITY RISK CONTROL

Internal Complaint Handling & Resolution Record

CONFIDENTIAL / COMPLIANCE DOCUMENT

1. COMPLAINT REGISTRATION & INTAKE METADATA

Internal Case Ref. ID *	Date Received (DD/MM/YYYY) *	Intake Method

Complainant Name *	Engagement Ref No. *	Assigned Compliance Handler *

2. SEVERITY ASSESSMENT & REGULATORY CLASSIFICATION

Severity Level: ☐ Low (Minor delay/query) ☐ Medium (Service breakdown) ☐ High / Critical (Regulatory risk)

Regulatory Relevance: ☐ SRA / Solicitor Activity ☐ FCA / Claims Management ☐ UK GDPR / Data Protection

3. INVESTIGATION FINDINGS & FACTS ESTABLISHED

Summary of internal review, facts verified, and staff statements collected:

4. ROOT CAUSE ANALYSIS & CORRECTIVE ACTIONS

Root Cause (Systemic, Human Error, Operational)	Corrective Action Taken / Required

5. PROPOSED RESOLUTION & OUTCOME OFFERED TO CLIENT

☐ Upheld in Full ☐ Upheld in Part ☐ Rejected / Unfounded ☐ Ex-gratia Remedy Offered

Details of Final Response / Remedy offered to the client:

6. SIGN-OFF & AUDIT CLOSURE

3-Day Ack. Sent Date:	Final Response Sent Date:	Escalated to Ombudsman/SRA?

Compliance Officer / Lead Handler Signature

Date Closed (DD / MM / YYYY)

Equity Risk Control — Internal Governance Record | Compliance Department (Liverpool HQ)
This record must be retained in accordance with UK statutory compliance guidelines for a minimum of 6 years.