

## LONDON NOTICE NO. 3701

Issue Date: 19 March 2013

Effective Date: 1 April 2013

### LIFFE COMPLAINTS PROCESS

#### EXTENSION OF THE APPOINTMENT OF THE LIFFE COMPLAINTS OMBUDSMEN

##### Executive Summary

This Notice informs Members of the extension of the appointment of the panel of four LIFFE Complaints Ombudsmen, under the auspices of the Centre for Effective Dispute Resolution, until 31 March 2014.

#### 1. LIFFE Complaints Ombudsmen

- 1.1 As Members will be aware, as part of its process for the investigation of any complaint arising in connection with the performance of, or failure to perform, any of its regulatory functions (“a Complaint”), a Recognised Investment Exchange (“RIE”) such as LIFFE Administration and Management is required by the Financial Services and Markets Act 2000 to make arrangements for Complaints to be investigated by a person independent of the RIE. In the case of LIFFE Administration and Management, that independent person is known as the LIFFE Complaints Ombudsman (“LCO”).
- 1.2 London Notice No. [3589](#), issued on 3 April 2012, informed Members of the extension of the appointment of a panel of four LCOs, under the auspices of the Centre for Effective Dispute Resolution (“CEDR”)<sup>1</sup>, for a 12 month period from 3 April 2012.
- 1.3 This Notice informs Members that the appointment of the four LCOs has been extended for a further 12 month period until 31 March 2014. The four LCOs are:

Sir Henry Brooke

Dr Karl Mackie

Patrick Sherrington

Lord Woolf

<sup>1</sup> Established in 1990, CEDR is the largest independent, non-profit, alternative dispute resolution organisation in Europe.

1.4 Only one LCO will be selected to consider a particular complaint, or to consider a particular matter in the case of more than one complaint about a single incident, and the LCO will be chosen from the panel by CEDR. In selecting the appropriate LCO for any given complaint, CEDR will have regard to the LCOs' other commitments and to any potential conflicts of interest as well as to the subject matter of the complaint.

## **2. Additional Information**

2.1 The Exchange's arrangements for dealing with complaints are set out in more detail in Section 11 of the LIFFE Rules (Book II) and in the Complaints Procedures which can be found on the NYSE Euronext website ([www.nyx.com/complaintsprocess](http://www.nyx.com/complaintsprocess)).

For further information in relation to this Notice, Members should contact:

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