



richardson swift

Regulatory & Complaints Information

How do I make a complaint?

If you would like to talk to us about how we can improve our service to you, or if you are unhappy with the service you are receiving, please let us know by contacting Calvin Healy, head of legal practice and Jon Miles head of finance and administration. We will carefully consider any complaint that you may make about our probate services as soon as we receive it and will do all we can to resolve the issue. We will acknowledge receipt of your complaint within five business days and endeavour to deal with it within 8 weeks. Any complaint should be submitted to us by letter. If we do not deal with it within this timescale or you are unhappy with our response you may of course take the matter up with our professional body, The Institute of Chartered Accountants in England and Wales and the Legal Ombudsman.

For further information on the ICAEW complaints process, please see www.icaew.com/regulation/complaints-process/make-a-complaint

Complaints to the Legal Ombudsman should be made within six years of the act or omission or within three years of you becoming aware of the issue and in either case within six months of our written response to your complaint to us.

The contact details for the Legal Ombudsman are:
Legal Ombudsman, PO Box 6806, Wolverhampton, WV1 9WJ
E-mail enquiries@legalombudsman.org.uk
Telephone 0300 555 0333

Is there a compensation scheme?

In the unlikely event that we cannot meet our liabilities to you, you may be able to seek a grant from ICAEW's Compensation Scheme. Generally, applications for a grant must be made to ICAEW within 12 months or the time you become aware, or reasonably ought to have been aware of the loss. Further information about the scheme and the circumstances in which grants may be made is available on ICAEW's website: www.icaew.com/probate.

Do you hold Professional Indemnity Insurance?

We maintain professional indemnity insurance in excess of ICAEW requirements. The total liability of the firm and its partners, members, officers, employees or consultants in respect of each and every claim will not in any circumstances exceed the level of professional indemnity insurance which we hold applicable to the relevant claim. We may agree with you in writing a lower level of liability and in that event our liability will not exceed whatever lower level we have agreed with you shall apply.



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Subject to the foregoing any liability which we may have to you under or in connection with our appointment for any action, cost, claim, loss or damage suffered by you (together "Claims") shall (so far as permitted by law) be limited to such an amount as is finally determined to be just and equitable, having regard to the extent of responsibility for the Claims of ourselves, you, (including your directors, officers, partners, employees or agents), and any person other than ourselves who is jointly or severally liable to you for all or part of the same Claims.

We will not be liable to you for any delay or failure in providing services, where that delay or failure is caused by circumstances beyond our reasonable control.

The limitations and exclusions referred to will not apply to liability for fraud, or death or bodily injury, or for any other liability which cannot lawfully be excluded.