

Rockwater Legal Complaints procedure

(related to article 6.28 of the Attorneys Act)

1. Complaint

In this complaints procedure a complaint means any dissatisfaction with an attorney or a person working under an attorney's responsibility, expressed in writing by or on behalf of a client and concerning how a request for services has been dealt with, the quality of the services, or the amount invoiced, other than a complaint as referred to in article 4 Attorneys Act (*Advocatenwet*).

2. Scope

1. This complaints procedure applies to all services provided to the client by one or more attorneys at Rockwater Legal.
2. Every attorney at Rockwater Legal will respond to complaints in accordance with this complaints procedure.

3. Purpose

The purpose of this complaints procedure is to:

1. establish a procedure for constructively dealing with a client's complaint within a reasonable period of time;
2. establish a procedure for determining the cause of a client's complaint;
3. maintain and improve existing relationships by correctly dealing with complaints;
4. train employees to respond to complaints with the client's needs in mind; and
5. improve the quality of the services.

4. Information at the start of the services

1. This complaints procedure is published on www.rockwaterlegal.com/complaintsprocedure.
2. Before providing services to a client, the attorney informs the client that Rockwater Legal has a complaints procedure which applies to the services.

5. Internal procedures

1. Every complaint will be passed on to the complaints officer, currently *Mrs. Y.N. Rosina*.
2. The complaints officer informs the attorney who the complaint relates to of the complaint and gives the client and the attorney the opportunity to provide an explanation.
3. The attorney tries to find a solution together with the client, before or after the complaints officer's intervention.
4. The complaints officer assesses the complaint within four weeks after she has received the complaint. If this deadline is not met, the complaints officer will inform the client of this and explain the reasons; she will also specify a new deadline for assessing the complaint.
5. The complaints officer sends a letter to the client and the attorney, setting out her view whether the complaint was justified and she may make recommendations.
6. If the complaint has been satisfactorily resolved, the client, the complaints officer and the attorney concerned sign the letter.

6. Confidentiality and no handling fee

1. The complaints officer and the attorney who the complaint relates to maintain confidentiality while dealing with the complaint.
2. The client does not owe any fee for the handling of the complaint.

7. Duties

1. The complaints officer is responsible for the timely resolution of the complaint.
2. The attorney who the complaint relates to keeps the complaints officer informed of his/her contact with the client and of any possible solution.
3. The complaints officer keeps the client informed of the handling of the complaint.
4. The complaints officer keeps the complaint file up to date.

8. Complaints record

1. The complaints officer split up files the complaint, specifying the subject matter.
2. A complaint can be into several subject matters.
3. The complaints officer periodically reports on how the complaints have been handled and makes recommendations for preventing new complaints and improving procedures.

4. At least once a year, the complaints officer's reports and recommendations are discussed and submitted for decision-making within Rockwater Legal.

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