

RULES FOR HANDLING OF COMPLAINTS

1. Any Clearing Member with cause to make a complaint against Oslo Clearing may submit a complaint about a decision made by Oslo Clearing or by a representative of Oslo Clearing.
2. The complaint shall be addressed to Oslo Clearing and must be submitted within three weeks from the day the complainant became aware, or should have become aware, of the matter to which the complaint relates.
3. Oslo Clearing shall register all complaints it receives in a separate complaints register.
4. Oslo Clearing shall, as soon as is practicable, investigate the matter to which the complaint relates. Oslo Clearing may in this respect ask the complainant for additional information, documentation or explanation.
5. If any party has acted as counterparty or can be regarded as a counterparty in the matter to which the complaint relates, this entity shall, to the extent possible, be given a copy of the complaint and be given the opportunity to respond within a reasonable time limit to be determined by Oslo Clearing.
6. Following the expiry of any time limit determined pursuant to section 5, Oslo Clearing shall within reasonable time issue a written decision on the complaint. Oslo Clearing may at any stage of its processing of the complaint decide to make further investigations or collect additional information. If the complaint is upheld, Oslo Clearing may decide to reverse the decision which is the subject of the complaint in whole or in part.
7. Depending on the nature of the matter and confidentiality undertakings to which Oslo Clearing and/or the affected parties are bound, Oslo Clearing may disclose its written decision on the complaint to the other Clearing Members in a manner that Oslo Clearing finds appropriate.