

A&O SHEARMAN PENSION SCHEME

Dispute Resolution Procedure

General

This section sets out the procedure that will be followed to deal with disagreements between beneficiaries (or potential beneficiaries) of the A&O Shearman Pension Scheme (“the Scheme”) and the Trustee of the Scheme.

Which complaints are covered by this procedure?

This procedure covers both complaints about issues relating to data protection (“**data protection complaints**”) and complaints about other issues (for example, how your benefits have been calculated, communicated or paid, or about the administration of the Scheme more generally) (“**dispute resolution procedure complaints**”).

If you are making a data protection complaint, this procedure is available to you if:

- the Trustee, or those acting on its behalf, control or process personal data relating to you; and
- you consider that data protection legislation has been infringed because of the way your personal data has been handled.

If you have a dispute resolution procedure complaint, such a complaint can be accepted under this procedure if made by:

- any current member or deferred pensioner or pensioner of the Scheme;
- any employee who is potentially a prospective member;
- a former member’s widow, widower, surviving civil partner or other dependant;
- any surviving non-dependant beneficiary of a deceased member;
- any person with rights in relation to the Scheme following a pension sharing order;
- any person claiming to be, or entitled to become, one of the above;
- anyone who ceased to be in one of the above categories in the previous six months.

This procedure does not, unless the Trustee decides otherwise, cover dispute resolution procedure complaints in respect of former members who have transferred their benefits from the Scheme more than six months ago. It also does not cover dispute resolution procedure complaints which are subject to specific investigation by the Pensions Ombudsman or where proceedings have begun in a court or tribunal.

A complaint can be made on behalf of one of the above by a representative nominated by him or her. If a complainant is incapable of acting for himself or herself, it may be made by his or her personal representatives.

What is the procedure?

A. Data protection complaints

- (I) The complainant should complete the Data Protection Complaint Form provided and send it to Claire Perusko, Secretary to the A&O Shearman Pension Scheme, whom the Trustee has nominated to make the decision on a complaint. The address is: Claire Perusko, Secretary to the A&O Shearman Pension Scheme, c/o the Human Resource Department, A&O Shearman, One Bishops Square,

London E1 6AD. Alternatively, please send your Form by email to: claire.perusko@aoshearman.com, elizabeth.thompson@aoshearman.com and amy.hawthorne@aoshearman.com.

- (II) Your complaint will be acknowledged within 30 days of receipt. If you have not received an acknowledgement by that time, please contact Claire Perusko to check that your complaint has been delivered.
- (III) Upon receipt of your complaint, Claire Perusko will consider your case and may seek professional advice and/or consult with one or more of the members of the Trustee Board. You may be asked to provide further information regarding your complaint. You will receive a reply to your complaint as soon as Claire Perusko is able to do so and without undue delay. Where an investigation is taking more time, we will provide you with updates about its progress. The reply to your complaint will contain a notice of the decision made and will explain how that decision was reached.
- (IV) If you are unhappy with the outcome of your complaint to the Trustee, you have the right to complaint to the ICO.

The ICO's contact details are as follows:

Postal Address: Information Commissioner's Office, Wycliffe House, Water Lane, Wilmslow, Cheshire, SK9 5AF

Phone: 0303 123 1113

Web: <https://ico.org.uk/make-a-complaint/>

B. Dispute resolution procedure complaints

- (I) The complainant should complete the Stage 1 Form provided and send it to Claire Perusko, Secretary to the A&O Shearman Pension Scheme, whom the Trustee has nominated to make the decision on a complaint. A complaint may be made within six months from the date the applicant ceased to be a person with an interest in the Scheme. The address is; Claire Perusko, Secretary to the A&O Shearman Pension Scheme, c/o the Human Resource Department, A&O Shearman, One Bishops Square, London E1 6AD. Alternatively, please send your Form by email either to: claire.perusko@aoshearman.com, elizabeth.thompson@aoshearman.com and amy.hawthorne@aoshearman.com.
- (II) Claire Perusko will acknowledge receipt of a complaint, and it will then be investigated. You may be asked for further information. You will be notified within four months with either a decision or an explanation of any delay and an expected date of issuing a decision.
- (III) The response will include:
 - (a) a statement of the decision;
 - (b) reference to any legislation being relied upon;
 - (c) reference to any part of the Rules of the Scheme being relied upon;
 - (d) reference to (IV) below and the applicable Stage 2 Form.
- (IV) If the complainant is dissatisfied with this decision, he or she should write, within six months, to Allen Overy Shearman Sterling Pension Trustee Limited, c/o the Human Resource Department, A&O Shearman, One Bishops Square, London E1 6AD using the Stage 2 Form provided.
- (V) The complaint will then be considered by the Trustee, and its decision will normally be communicated within four months of receipt of the complaint.

- (VI) If the complainant is dissatisfied with the decision of the Trustee, he or she can pursue this with the Pensions Ombudsman which is available to assist members and beneficiaries of the Scheme in connection with difficulties which they have failed to resolve with the Trustee.

The Pensions Ombudsman

If you are unhappy with our response, you can refer your complaint to The Pensions Ombudsman free of charge.

The Pensions Ombudsman deals with complaints and disputes which concern the administration and/or management of occupational and personal pension schemes.

Contact with The Pensions Ombudsman about a complaint needs to be made within three years of when the event(s) you are complaining about happened – or, if later, within three years of when you first knew about it (or ought to have known about it). There is discretion for those time limits to be extended.

The Pensions Ombudsman can be contacted at:

10 South Colonnade, Canary Wharf, London E14 4PU

Tel: 0800 917 4487

Email: enquiries@pensions-ombudsman.org.uk

Website: www.pensions-ombudsman.org.uk

You can also submit a complaint online: <http://www.pensions-ombudsman.org.uk/making-complaint>

Money and Pensions Service

If you have any general questions about your pension or require impartial assistance or support, MoneyHelper, part of the Money and Pensions Service, is available at any time to assist with pensions questions. You can contact the Money and Pensions Service at:

Money Helper, Money and Pensions Service, Borough Hall, Cauldwell Street, Bedford, MK42 9AB

Tel: 0800 011 3797

Email: pensions.enquiries@moneyhelper.org.uk

Website: <https://www.moneyhelper.org.uk/en>

Data Protection

The Trustee is a “controller” for the purposes of the Data Protection Act 2018 and the UK General Data Protection Regulation (Retained Regulation (EU) 2016/679) and, as such, is subject to statutory requirements to protect your personal data.

The Trustee has a legal obligation to and legitimate interest in processing personal data relating to you in administering the Scheme (this may include providing personal data to third parties).

A copy of the Trustee’s data protection privacy notices is available at [Privacy statement | Fidelity](#)

The term "A&O Shearman" means Allen Overy Shearman Sterling LLP and/or its affiliated undertakings.