

SAMPLE

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**** It is provided as a minimum statement of acceptable policies. ****

STATEMENT OF POLICY AND PROCEDURES FOR CUSTOMER GRIEVANCES

To provide our customers with the most professional mortgage brokerage services at our disposal.

PROCEDURES FOR PROCESSING A CUSTOMER'S GRIEVANCE

1. When a grievance (either in writing or verbally) is registered with our company, we will ask to discuss the matter with the client. An in-person meeting at the company office will be offered to the client.
2. The client's file will be reviewed with the client and the specific complaints will be discussed.
3. A memo will be written to the client's file summarizing the discussion and the resolution of the complaint. A copy of the memo will be sent to the client. Any subsequent responses from the client will be placed in the client's file. A copy of the complaint and responses will be maintained in the company's required complaint file.
4. Every reasonable effort will be undertaken to satisfy the customer's complaint.
5. All client complaints will be handled by ...(insert name and title)..., who will be reasonably available during business hours.
6. A complaint which is forwarded by the Department of Banking and Finance will be promptly reviewed and a response provided to the Department within 15 business days of the receipt of the complaint by the company.