SAMPLE

Checklist for Handling Client Complaints

- □ Log receipt of complaint in the electronic complaint log (*insert firm's chosen timeline*).
 - See the <u>MSRB Rule G-8 Customer and Municipal Advisory Client Complaint</u> <u>Product and Problem Codes Guide</u> for more information on codes relevant to municipal securities and municipal advisory activities.
- Forward complaint to appropriate internal parties responsible for handling complaints.
- □ Send client acknowledgment letter (*insert firm's chosen timeline*).
- □ Send communication to appropriate internal parties.
- Set reminders for appropriate internal parties regarding due date for complaint response.
- □ Draft response and send copies to appropriate internal parties for review.
- □ Send response to client and a copy to the appropriate internal parties.
- □ Update electronic complaint log with response information.
- □ Update electronic complaint log with date complaint was resolved, if different from response date, no later than (*insert firm's chosen timeline*) from response date.