

SAMPLE

Checklist for Handling Client Complaints

- Log receipt of complaint in the electronic complaint log (*insert firm's chosen timeline*).
 - See the [MSRB Rule G-8 Customer and Municipal Advisory Client Complaint Product and Problem Codes Guide](#) 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.

This checklist is provided only as a sample. This is not legal advice and does not create a safe harbor with respect to establishing supervisory procedures that are reasonably designed to achieve compliance with MSRB rules or other federal securities laws. Each firm retains the responsibility to establish, implement, maintain and enforce written supervisory procedures that are tailored specifically to the firm's business and are reasonably designed to achieve compliance.