

Client Signature

<i>For internal use only:</i>	
Complaint Received by:	Date:
Acknowledgement sent to Client:	☐ Yes - ☐ No
Informed Client of initial action:	☐ Yes - ☐ No
Final response provided to Client:	☐ Yes - ☐ No
Holding response provided to Client:	☐ Yes - ☐ No - ☐ N/A
Compliance Officer Notified by:	Date: