

# Scott Capital Group

## CUSTOMER COMPLAINT POLICY

It is the policy of our company to respond to customer complaints, disputes and issues immediately, to take each complaint seriously, to investigate each complaint however small it is – immediately and to take remedial actions swiftly.

As soon as a complaint is received, it is documented and is logged into a special log. The complaint is sent directly to the Customer Complaint Officer or his designate, in order to take action.

All complaints and records of complaints are kept in a special complaints binder along with all the Customer Complaint Officer's Quality Control Files and other written policies so employees can easily access them and use them to provide better customer service. Reports on complaints are reviewed during the Customer Complaint Officer's meetings with our Board. We are focused on providing financial products and services to all customers in compliance with all Federal and State regulatory policies including but not limited to consumer protection, fair lending and civil rights laws. For more information, contact us at the number on the Home Page.