



Policies and Procedures

Consumer Complaints

Purpose	To establish a process for receiving and addressing consumer complaints to help ensure that Thomas C. Santoro addresses any instances of poor service or non-compliance.
Scope	These policies and procedures are for all of Thomas C. Santoro PA (hereafter referred to as “The Company”) locations including all satellite offices. These procedures are to be followed by all employees and independent contractors where applicable.
Procedures	<p>Maintain a standard consumer complaint form that identifies information that connects the complaint to a specific transaction.</p> <p>The Company has a standard consumer complaint form (attached) and uses this to record any/all consumer complaints. As circumstances warrant, supporting documents are attached to the complaint form which provide additional information including communications, facts or specific details. Management documents approval on completed consumer complaint forms.</p> <p>Single point of contact for consumer complaints and process for routing consumer complaints to appropriate personnel.</p> <p>The office manager is the single point of contact at The Company for consumer complaints. The nature of the complaint determines to which appropriate personnel the complaint will be forwarded, if necessary.</p> <p>Log of consumer complaints that includes whether and how the complaint was resolved.</p> <p>The Company maintains a Consumer Complaint Log (attached) with information on all consumer complaints and their status. Company Management will periodically review, date and sign-off on the Consumer Complaint Log.</p>

Contact Officer	<i>Thomas C. Santoro</i>
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Date Approved	<i>September 1990</i>
Date of Commencement	<i>September 1990</i>
Amendment Dates	<i>January 2014 January 2015 January 2016 January 2017 January 2018 January 2019</i>
Date for Next Review	<i>January 2020</i>
Related References and Links	<ul style="list-style-type: none"> • <i>Consumer Complaint Form is kept in our office and our website.</i> • <i>Consumer Complaint Log is kept in our office.</i>