



## Complaint Review

Registered Representatives are required to notify the OSJ Manager and the Compliance Department immediately upon receipt of a complaint.

Regulatory rules require that each Registered Representative maintain a current complaint file containing fully documented explanations of the nature and disposition of all sales practice complaints and written operational complaints. This file is required, even if a Registered Representative has no complaints.

If there are no complaints, the Registered Representative and the OSJ Manager should sign a memorandum indicating there were no complaints.

Associate Name: \_\_\_\_\_

Complaints for the Quarter Ending (MO/YR): \_\_\_\_\_

\_\_\_\_\_ I have had complaints during the time period represented above.

*For each complaint, list the client's name below and attach a copy of the complaint, correspondence to or from your OSJ and correspondence to or from SagePoint Financial, Inc., in response to this complaint.*

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_ I have had NO complaints during the time period represented above.

*As the Associate named above, I certify that the above information is true and correct for the time period stated.*

\_\_\_\_\_  
Associate Signature

\_\_\_\_\_  
Date

Bill Steckelberg  
MBO Manager

\_\_\_\_\_  
Signature of MBO Manager

\_\_\_\_\_  
Date