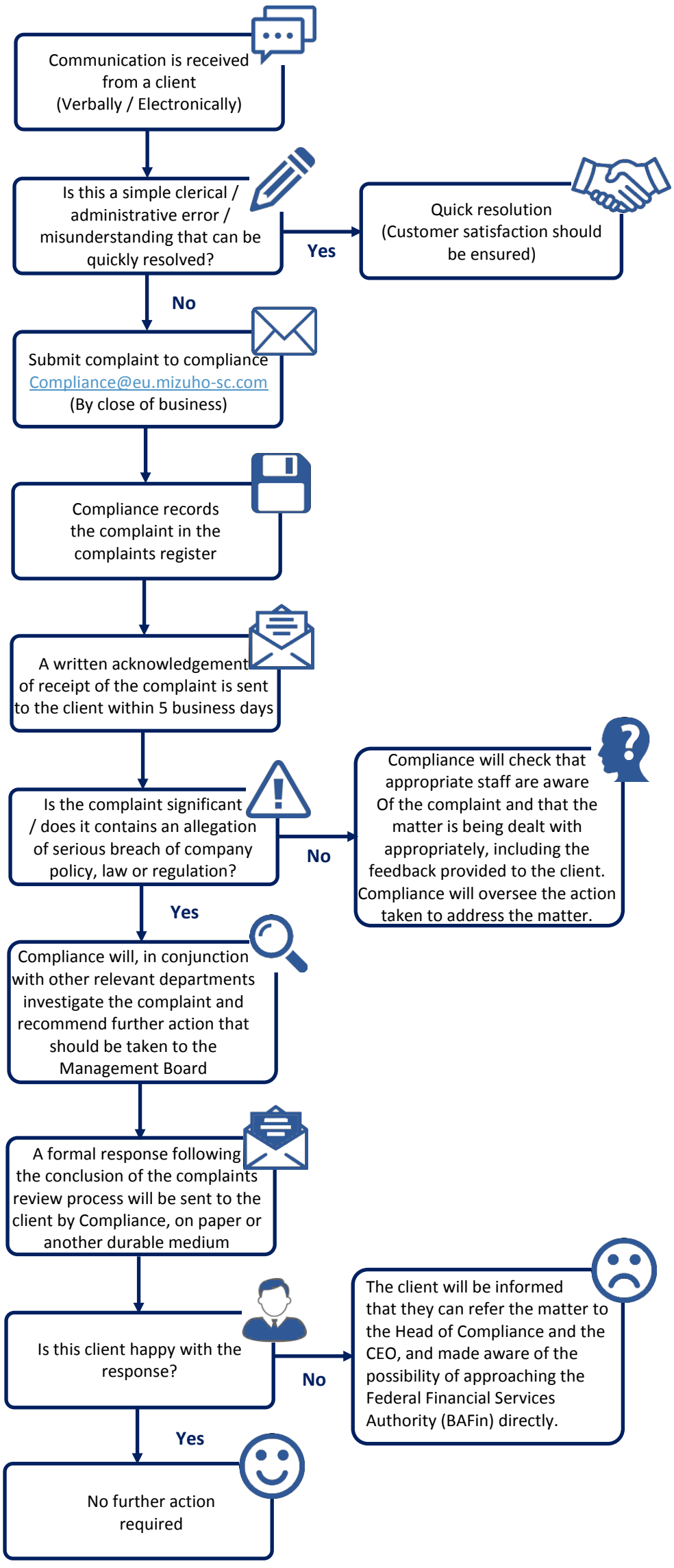
Communication is received from a client (Verbally / Electronically)
Is this a simple clerical / administrative error / misunderstanding that can be quickly resolved?
Yes
Quick resolution (Customer satisfaction should be ensured)
No
Submit complaint to compliance Compliance@eu.mizuho-sc.com (By close of business)
Compliance records the complaint in the complaints register
A written acknowledgement of receipt of the complaint is sent to the client within 5 business days
Is the complaint significant / does it contains an allegation of serious breach of company policy, law or regulation?
No
Compliance will check that appropriate staff are aware Of the complaint and that the matter is being dealt with appropriately, including the feedback provided to the client. Compliance will oversee the action taken to address the matter.
Yes
Compliance will, in conjunction with other relevant departments investigate the complaint and recommend further action that should be taken to the Management Board
A formal response following the conclusion of the complaints review process will be sent to the client by Compliance, on paper or another durable medium
Is this client happy with the response?
No
The client will be informed that they can refer the matter to the Head of Compliance and the CEO, and made aware of the possibility of approaching the Federal Financial Services Authority (BAFin) directly.
Yes
No further action required