



HONG KONG MONETARY AUTHORITY
香港金融管理局

Circulars

22 Feb 2002

Supervisory Policy Manual ("SPM") IC-4: Complaint Handling Procedures

Our Ref : B9/67C
B1/21C

22 February 2002

The Chief Executive
All authorized institutions

Dear Sir/Madam,

Supervisory Policy Manual ("SPM") IC-4: Complaint Handling Procedures

I am pleased to inform you that, following consultation with the industry, the Monetary Authority is issuing the above module of the SPM today.

This module, which sets out the HKMA's recommendations on the key elements of effective complaint handling procedures, is being issued as a guidance note. The HKMA expects AIs to take active steps to ensure compliance with the recommendations as soon as possible and, in any case, not later than 30 June 2002.

As stated in the module, in order to enhance communication with the HKMA in relation to complaint handling, AIs are requested to provide the HKMA with details of a single contact point within the AI for handling complaints. The required information should reach the HKMA by 20 March and should be sent to Mr M.F. Wan of the Banking Development Department. For newly authorized institutions, the same information should be provided to the HKMA upon authorization.

On-line access to the above module is available under the icon of "Supervisory Policy Manual" in the HKMA's public (<http://www.info.gov.hk/hkma/eng/bank/spma/index.htm>) and private (<http://www.hkfin.net>) web-sites.

Should you have any questions relating to this module, please feel free to contact Ms Carman Chiu on 2878 1474 or Miss Jocelyn Chan on 2878 1275.

Yours faithfully,

Raymond LI
Executive Director (Banking Development)

c.c. The Chairman, Hong Kong Association of Banks
 The Chairman, The Deposit-taking Companies Association
 Chief Executive, Consumer Council
 SFS (Attn: Miss Clara Tang)

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