Hitachi Capital Canada

# Hitachi Capital Canada Client Feedback and Complaints Procedure

# Revision History

| Revision | Issue Date | Notes/Changes |
|---|---|---|
| 1 | April 1, 2014 | Initial version |
| 2 | December 1, 2020 | Reviewed |

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# 1. Purpose and Scope

At CLE Capital Inc., a subsidiary of Hitachi Capital Canada Corporation ("the Company" or "HCC") we recognize our clients can include vendor, brokers, and end users. We strive to provide an excellent customer service experience for all our clients, including those that have disabilities. This commitment is shown throughout the process of initiating the business relationship through to delivery of service and how we respond to customer feedback and complaints.

Clients can provide feedback and complaints through mail, phone, fax, or email:

Human Resources Manager
CLE Capital/Hitachi Capital Canada
3390 South Service Rd., Ste. 301
Burlington, ON
1-(855) 840-1298 ext. 2101
rh@hitachicapital.ca

# 2. Accountability

Once feedback and/or complaints are received all business-related items will remain with the Customer Service Manager and any Human Resources related items will remain with Human Resources. Should managers or employees receive any business feedback or complaints directly, they are expected to provide it to the appropriate team.

# 3. Procedure

Both Customer Service and Human Resources will follow the same steps in reviewing the feedback/complaint. This process can be altered at any point depending on the situation and at the Customer Service Manager or HR Manager's discretion. Steps include but are not limited to:

- Contact the individual to understand the concern and determine what the individual requires and if a response is needed.
- Gather all appropriate information which can include review of files or correspondence, speak with employees, and listen to any recorded information.
- Review past precedents, resources available and previous solutions provided.
- Speak with impacted department leaders. Notify the local Privacy Officer on any complaints which are privacy related.
- Determine solution with the impacted department(s). Solutions without precedents will be reviewed by leader of the impacted team. Solutions that do not have

agreement of the impacted departments will require Vice President approval from impacted departments.

- Document the outcome in writing and maintain the file for minimum of five (5) years. All feedback and complaints will be logged in the preferred company database showing the name of the person providing the feedback, the departments involved, the issue, outcome, date and file or client number.
- Complaints will be documented in the company preferred database and provided to the Senior Leadership Team annually.
- Communicate to the client in a manner that considers the person's abilities and their feedback.

## 4. Documentation

Each file is expected to include, but not limited to, the following:

1. Original communication or feedback from the client/applicant
2. Contact information for the client/applicant and a list of the departments involved
3. Notes on the communication between the company and the client/applicant
4. Researched information used to investigate issue and make the response including precedent and tools used
5. The decision
6. Copy of what was provided to the client/applicant

Information included in the file is determined by the Customer Service Manager/HR Manager, including the level of detail. Client or applicant can expect a response within 28 business days. The procedure will be reviewed every five (5) years and updated as needed.