

# American Association of Private Lenders

## Ethics Advisory Committee

### COMPLAINT FORM FOR ALLEGED VIOLATION(S) OF THE AAPL CODE OF ETHICS

- In filing this complaint, I understand that:
- A copy of this complaint form and all attachments will be provided to the individual or entity against whom this complaint is filed;
- The complaint must be in writing and include any/all supporting documentation;
- Anonymous complaints are not permitted;
- You must name individuals with whom your complain lays.

DATE: \_\_\_\_\_

**COMPLAINANT:** (Individual filing the complaint)

PRINTED Name: \_\_\_\_\_

Complete Address: \_\_\_\_\_

Contact Number: \_\_\_\_\_ E-mail: \_\_\_\_\_

**RESPONDENT:** (Individual against whom the complaint is directed)

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

Organization: \_\_\_\_\_

Address (if known): \_\_\_\_\_

Contact Number: \_\_\_\_\_ E-mail: \_\_\_\_\_

**COMPLAINANT SIGNATURE:** (Read, then check all boxes below and sign)

I read the instructions for Filing a Complaint of Alleged Violation of the AAPL Code of Ethics\*

I read the Code of Ethics\* and cited the sections(s) that have allegedly been violated.

I enclosed a written summary of facts on which this complaint is based.

I enclosed supporting documentation (if any) that corroborates and supports the allegations in the complaint and redacted confidential information, if any.

If this complaint was filed with another organization (e.g., licensing board), I enclosed correspondence related to this filing and status/final resolution.

I affirm that the statements and information in this complaint are correct, complete, and truthful to the best of my knowledge and belief.

\*Visit [www.aaplonline.com/about-us/code-of-ethics](http://www.aaplonline.com/about-us/code-of-ethics) for these resources

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**Signature of Complainant**

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**Date**

**Note to Complainants who are AAPL members:** It is the duty of AAPL members to come forward with evidence of perceived violations of the AAPL Code of Ethics. However, each AAPL member should be mindful of his or her obligation regarding confidentiality and possible sanctions for abuse of complaint procedures. Your signature above signifies that the complaint brought to the Ethics Advisory Committee in good faith and not for the purpose of resolving private, business, legal, or other disputes for which a more appropriate forum exists.

Send completed and signed complaint form and accompanying documentation in an envelope marked **CONFIDENTIAL** to:

American Association of Private Lenders  
7509 NW Tiffany Springs Pkwy, Ste 200  
Kansas City, MO 64153

For general questions about the ethics complaint filing process contact:

- Chrissey Breault, Director of Marketing & Education Services  
[cbreault@aaplonline.com](mailto:cbreault@aaplonline.com)
- Linda Hyde, Director of Operations & Member Services  
[LHyde@aaplonline.com](mailto:LHyde@aaplonline.com)

**Office Use Only:**

Respondent's Membership/Certification status verified?  Yes  No

Membership Dates: \_\_\_\_\_