



Instructions for Filing an Ethics Complaint

PLEASE READ: “Before you file an Ethics Complaint”. This document contains valuable information pertaining to the process of filing an ethics complaint.

COMPLETE: The “Ethics Complaint” form that follows this instruction sheet. Use the following directions to complete the complaint form and file your complaint. Following these instructions may help avoid delays in processing. If at any time you have questions, please contact the [Director of Professional Development](#).

- a) List all persons who wish to be considered complainants. Only those people named as complainants may be present for the entire hearing. Once the complaint is filed any additional participants in your complaint will be treated as witnesses. Witnesses have limited access to the hearing room.
- b) Be sure to fill in the name of the respondent. The respondent is the person or persons against whom you are filing this complaint. If there are multiple respondents complete one form for each respondent. The Respondent must be a member of the Greater Lehigh Valley REALTORS®. If you are not sure of the membership status of an individual, contact the [Director of Professional Development](#) for assistance.
- c) Complete the blank in the first paragraph, which tells the Association the articles you feel have been violated. Review the current year [Code of Ethics](#) to determine which articles to cite. You may cite standards of practice in support of the article. If there are multiple respondents, they do not necessarily have to be charged with a violation of the same articles. It is preferable that you complete one form for each individual respondent.
- d) Answer yes or no if the matter is subject to any other proceeding. If yes, provide the name of the agency or court where the additional proceedings are being handled. Provide a case or docket number, when asked.
- e) Answer yes or no if an ethics complaint relating to the same circumstances has been filed or will be filed with another REALTOR Association.
- f) Be sure to type or print and sign your name in the space provided. Also include your address and daytime phone number. If there is a reason you do not wish your address to be disclosed to the other party, please notify the Association office in writing.

COMPLETE: The “Permission to Use Email” form. (Found at the end of this document)

TYPE: A detailed narrative of the events leading you to file an ethics complaint. This is very important. The first step in the process is review by the Grievance Committee. You will not be present for this review so you must submit any and all pertinent information for the Committee to consider. Please be sure to include all pertinent dates in your narrative. The Grievance Committee must be able to accurately determine that a complaint was timely filed. Include in your narrative a statement as to how/why you feel each article cited.

ATTACH COPIES, not originals, of pertinent documents, if any, that support your claim. Be careful to include only pertinent documents rather than your entire transaction file. You want to point the Grievance Committee to the facts pertaining to your allegations and avoid having your point(s) be lost among unnecessary papers.

MAIL: The completed complaint forms, your narrative of events, and copies of any supporting documents to: Director of Professional Development, Greater Lehigh Valley REALTORS®, 10 S. Commerce Way Bethlehem, PA 18017. The initial filing of the complaint must be done by mail or hand delivery. Electronic submissions of the original filing are not acceptable.



ETHICS COMPLAINT

Filed: _____, 20____

To the **Grievance Committee** of the Greater Lehigh Valley REALTORS®

Complainant(s)	Respondent(s)

Complainant(s) charge(s): An alleged violation of Article(s) _____ of the Code of Ethics and/or other membership duty set forth in the Bylaws of the Greater Lehigh Valley REALTORS® and alleges that the above charge(s) is/are supported by the attached statement, which is signed and dated by the complainant(s) and which explains when the alleged violation(s) occurred and, if a different date, when the complainant(s) first knew about the alleged violations.

This complaint is true and correct to the best knowledge and belief of the undersigned and is filed within the one hundred eighty (180) days after facts constituting the matter complained of could have been known in the exercise of reasonable due diligence or within one hundred eighty (180) days after the conclusion of the transaction, or event, whichever is later.

Date(s) alleged violation(s) took place: _____

Date(s) you became aware of the facts on which the alleged violation(s) is/are based: _____

I (we) declare that to the best of my (our) knowledge and belief, my (our) allegations in this complaint are true.

Are the circumstances giving rise to this ethics complaint involved in civil or criminal litigation?

☐ YES _____

☐ NO

(Where? Include Case Docket Number)

Are the circumstances giving rise to this ethics complaint involved in any proceeding before the state real estate licensing authority or any other state or federal regulatory or administrative agency?

☐ YES _____

☐ NO

(Where?)

You may file an ethics complaint in any jurisdiction where a REALTOR® is a member or MLS participant. Note that the REALTORS® Code of Ethics, Standard of Practice 14-1 provides, in relevant part, "REALTORS® shall not be subject to disciplinary proceeding in more than one Board of REALTORS® . . . with respect to alleged violations of the Code of Ethics relating to the same transaction or event."

Have you filed, or do you intend to file, a similar or related complaint with another Association(s) of REALTORS®?

☐ YES ☐ NO

If YES, name of other Association(s): _____

Date(s) filed: _____

I understand that should the Grievance Committee dismiss this ethics complaint in part or in total, that I have twenty (20) days from the transmittal notice to appeal the dismissal to the Board of Directors.

Complainant(s):

Type/Print Name

Type/Print Name

Signature

Signature

Address

Address

Daytime Phone #

Daytime Phone #

Email Address

Email Address

PLEASE NOTE: Contact information is required for each complainant. Some documents pertaining to this complaint will be jointly addressed to both parties.



Permission to Use Email

The Board of Directors has approved a policy allowing limited use of email for correspondence in an Ethics Complaint or a Request for Arbitration. Please confirm or decline the use of email by returning a signed copy of this memo to the [Director of Professional Development](#).

The email policy **allows** the use of email for the following:

- Notice of right to challenge tribunal members
- Challenge to qualifications of tribunal members
- Hearing notice; including postponements and rescheduling
- "Decision of an Ethics Hearing Panel" and the "Award of the Arbitrators"
- Action of the Board of Directors (Ethics Hearing)
- Decision of the Procedural Review Hearing Tribunal (Arbitration)

The policy specifically **prohibits** the use of email for the following:

- Submitting an ethics complaint
- Submitting a request for arbitration
- Filing a response
- Filing an appeal or requests for procedural review

The privilege of using email for an ethics complaint or request for arbitration **requires** that the intended recipient acknowledge receipt of any and all email from the Association, pertaining to the ethics or arbitration matter, within 24 hours of receipt by return email. Should the intended recipient fail to acknowledge receipt within 24 hours, the Association at its sole discretion may refuse to deliver or receive future notices via email.

Should a party choose to use email to notify the other party and the association of the attendance of witnesses or counsel, that party is responsible for proving timely receipt.

☐ I have read and understand the email policy and **AGREE** to accept delivery via email for subsequent notices related to this complaint.

PRINT NAME

SIGNATURE

DATE

EMAIL ADDRESS (PRINT CLEARLY)

-OR-

☐ I have read and understand the email policy and **DECLINE** delivery via email for subsequent notices related to this complaint.

PRINT NAME

SIGNATURE

DATE