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VITAMIN SHOP

Non-Residential Real Estate Company in Texas

POLICIES & PROCEDURES MANUAL

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[COMPANY NAME] POLICIES AND PROCEDURES MANUAL

LOGO

Policy 1.0: General Policy and Purpose

1.1 Introduction and Purpose

1.1.1 Scope of the Manual

The Policy and Procedures Manual of [COMPANY NAME] is designed to provide a comprehensive framework for the organization, focusing on establishing standards and guidelines for all staff members, brokers, and agents within the company. It outlines procedures and ethical standards that comply with the Texas Real Estate Commission (TREC) guidelines, specifically addressing the unique requirements of the Houston, Texas, real estate market. Each employee is expected to integrate the values, guidelines, and steps outlined in this manual as the foundation of their daily practices. enabling [COMPANY NAME] to conduct business that is uniform, compliant, and respectful of client relationships.

This manual applies universally across all functional areas of [COMPANY NAME], addressing:

1.1.2 Purpose of the Manual

The purpose of this manual is to provide a clear, actionable resource that enables all associates at [COMPANY NAME] to conduct their roles with integrity and responsibility. Through consistent reference and adherence to this manual, [COMPANY NAME] commits to high standards of professionalism, regulatory compliance, and operational excellence.

The manual serves as:

1.1.3 Compliance with TREC Regulations (TREC §533.2)

Compliance with TREC §533.2 is a cornerstone of [COMPANY NAME]'s operating philosophy. This section governs the institution, conduct, and determination of adjudicative procedures required or permitted by TREC. [COMPANY NAME] adheres to this code by ensuring:

The objective of complying with TREC §533.2 is to foster a workplace where regulatory adherence becomes a habitual practice for all team members. Compliance here extends to every aspect of daily work, from initial client engagement through the final steps of property transactions, with clear references made to relevant TREC standards throughout this manual.

1.2 Objectives of the Manual

The Policy and Procedures Manual achieves several primary objectives that serve to reinforce [COMPANY NAME]'s commitment to both compliance and professional integrity. These objectives include:

Each objective is achieved through deliberate, carefully documented actions that reflect the company's commitment to a high standard of service and regulatory compliance.

1.3 Key Responsibilities

1.3.1 Management's Role

Management at [COMPANY NAME] assumes the responsibility of ensuring that all team members are not only familiar with but thoroughly trained in the procedures outlined in this manual. Management's duties encompass:

1.3.2 Agents and Brokers

[COMPANY NAME] agents and brokers are responsible for conducting their work in strict alignment with the procedures set forth in this manual. Key responsibilities include:

1.3.3 Managing Partners' Role

The Managing Partners at [COMPANY NAME] plays a central role in overseeing adherence to TREC and company-specific regulations. Responsibilities include:

		_		

•		_			-			
		_						

1.4 Scope and Applicability

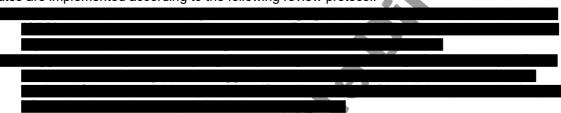
The provisions of this manual apply to all employees, agents, and independent contractors associated with [COMPANY NAME], creating a cohesive and consistent set of standards across all operations. The manual is tailored specifically to:



The manual is a mandatory reference point for every decision, transaction, and client interaction undertaken by [COMPANY NAME], enabling staff to conduct their duties with a clear understanding of compliance and operational excellence.

1.5 Update Frequency and Triggers

[COMPANY NAME] commits to keeping this manual current and fully aligned with TREC guidelines. Updates are implemented according to the following review protocol:



[COMPANY NAME]'s commitment to frequent and responsive updates minimizes compliance risk, ensuring that all associates have access to and are well-versed in current standards.

1.6 Reference Code and Compliance Standards

In developing this manual, the Texas Administrative Code §533.2 serves as the foundational reference for compliance. All sections of this manual that involve legal or regulatory obligations make specific reference to §533.2, ensuring consistent adherence to Texas real estate law. Key compliance standards embedded in this policy include:

		-	
	-		
	-		

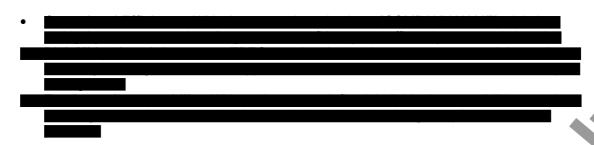
Summary and Citations

The "General Policy and Purpose" section of the [COMPANY NAME] Policy and Procedures Manual sets a critical foundation for the company's operations, ensuring that all actions align with the Texas Real Estate Commission (TREC) guidelines and that personnel carry out their duties with consistency, professionalism, and full regulatory compliance. This section encapsulates the core objectives and expectations of [COMPANY NAME] in delivering high-caliber service within the Houston commercial real estate market. Below, each priority within this section is explored further to underscore how these values are interwoven into the manual's structure and purpose.

Uniformity in Procedure Across All Transactions

[COMPANY NAME] emphasizes consistency across all business transactions by outlining detailed, standardized processes that each employee, agent, and broker follows. Uniformity is achieved through precise procedures that define how each transaction is documented, from initial client contact to final contract closure, ensuring that every action taken is aligned with TREC §533.2 regulations. This consistency not only reduces risk but also fosters operational efficiency and reliability, as all team members follow an established, regulated process.

This standardization supports:



Professionalism in Client Engagements to Foster Trust

A cornerstone of [COMPANY NAME]'s operations is professionalism, particularly in client-facing roles where trust and transparency are essential. This manual provides explicit guidance on ethical client interactions, confidentiality, and transparency, with a focus on building lasting client relationships based on mutual trust and respect. Each step of the client engagement process—from initial meetings, disclosures, and contract negotiations to finalizing agreements—requires team members to prioritize integrity and open communication, aligning with TREC's principles of ethical practice.

Key elements include:				

A Culture of Compliance with Regular Updates and Proactive Risk Management

Compliance with TREC standards is a top priority for [COMPANY NAME], and the "General Policy and Purpose" section details how this culture of compliance is built, monitored, and sustained. By incorporating TREC §533.2, [COMPANY NAME] ensures that all agents and brokers adhere to the latest regulatory requirements and are trained in proactive risk management practices. Through regular manual updates, workshops, and compliance checks, [COMPANY NAME] cultivates an environment where regulatory awareness and adherence are ingrained in everyday operations.

Elements that sustain this culture of compliance include:

Supporting the Company's Commitment to Regulatory Compliance, Operational Integrity, and Exceptional Service

Each component within the "General Policy and Purpose" section is crafted to reflect [COMPANY NAMEI's unwavering commitment to upholding regulatory standards, operational excellence, and high-quality service delivery. By integrating TREC §533.2 guidelines throughout this manual, the company establishes a framework that supports compliance across all levels, emphasizing the importance of regulatory adherence, ethical behavior, and service integrity. This section ultimately reinforces:

•	[COMPANY NAME]'s	

where it framework y. By adopting this foundational approach, [COMPANY NAME] creates an environment where all team members are empowered to operate confidently, effectively, and ethically within the framework set by TREC and company standards, ensuring sustainable, high-quality service delivery.

Policy 002: Professional Ethics and Conduct

Effective Dates: [Insert Effective Date]

Reviewed and Revised Dates: [Insert Reviewed/Revised Dates]

2.1 Purpose

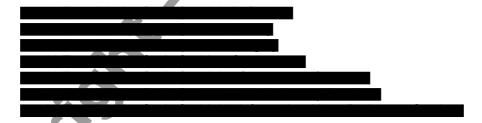
The purpose of this section is to ensure that all licensed real estate agents and brokers operating under [COMPANY NAME] uphold the highest standards of professional ethics and conduct in accordance with the guidelines set forth by the Texas Real Estate Commission (TREC). This policy focuses on maintaining a strong commitment to fidelity, integrity, and competency, which are the cornerstones of ethical real estate practice. The goal of these standards is not only to safeguard the interests of clients but also to foster a transparent, fair, and equitable real estate market. Compliance with the TREC Chapter 531 - Canons of Professional Ethics and Conduct is mandatory, and every agent is expected to internalize these principles and apply them in every transaction and interaction with clients, partners, and third-party entities.

The purpose further includes setting clear guidelines on consumer information, ensuring all clients and consumers are aware of their rights and the ethical obligations of **[COMPANY NAME]**. Discrimination, whether based on race, color, religion, national origin, sex, disability, or familial status, is strictly prohibited. This policy also mandates that agents and brokers fully disclose their roles in real estate transactions to ensure no confusion or misrepresentation occurs.

By adhering to these standards, **[COMPANY NAME]** guarantees that all licensed professionals under its management operate at the highest levels of ethical conduct, fostering trust, building client relationships, and enhancing the company's reputation within the commercial real estate market, particularly in Houston and beyond.

2.2 Additional Authority

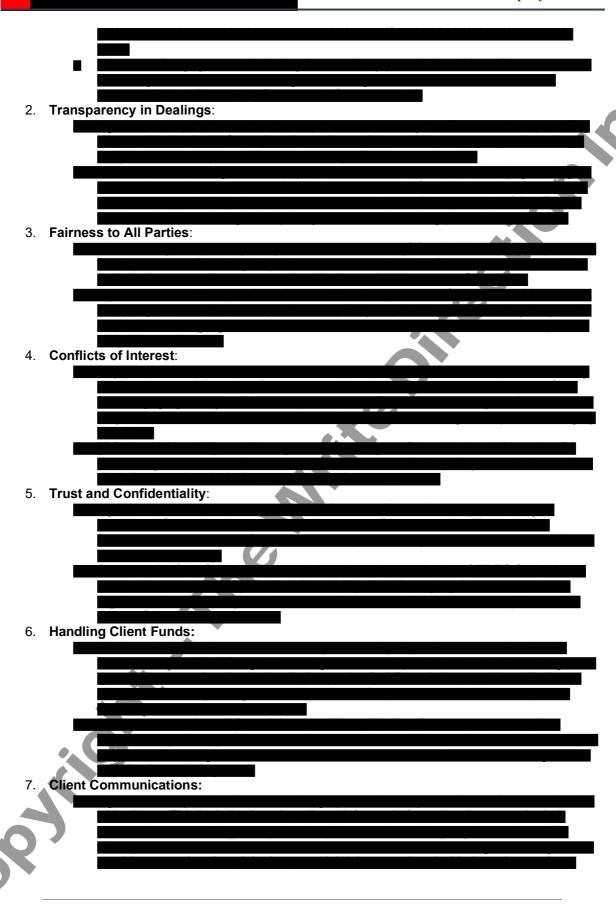
The following regulations and administrative codes govern the ethical standards and professional conduct required of all license holders operating under [COMPANY NAME]. Compliance with these rules ensures that all agents and brokers meet the regulatory and ethical expectations of the **Texas Real Estate Commission (TREC)** and maintains the integrity of the profession.



Each of these sections provides clear guidelines on the expectations placed on real estate professionals regarding their interactions with clients, the provision of accurate information, and maintaining fairness and transparency in all transactions. These codes serve as the foundation upon which **[COMPANY NAME]** builds its ethical practices and operational procedures.

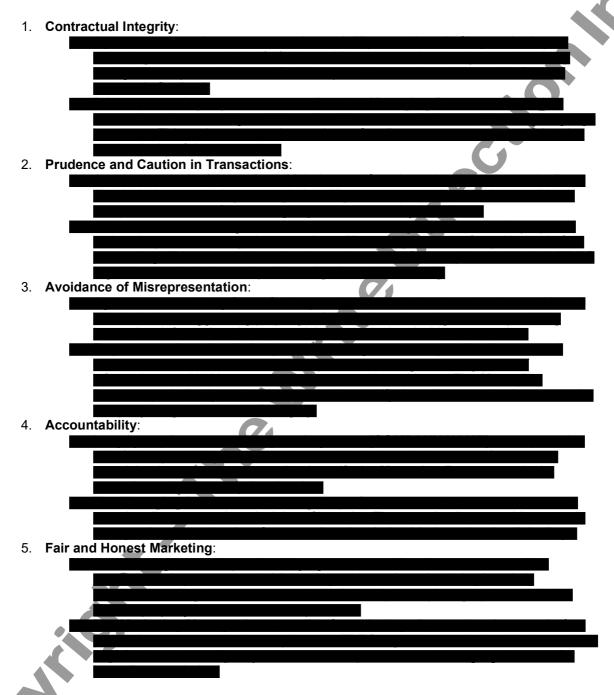
2.3 Scope

	Non-Residential Real Estate Company in Texas
2.6 Policy Statement	
agent and broker associated with our company is integrity, and competency in every aspect of the designed to ensure compliance with the TREC Ca	ir professional activities. This policy is not only nons of Professional Ethics and Conduct to providing exceptional service to our clients while
Our firm takes its fiduciary responsibilities serious	v. always placing the client's best interests above
any personal gain.	
Furthermore, [COMPANY NAME] places a strong brokers to continually improve their knowledge of clients.	emphasis on competency, requiring all agents and the market, the law, and the evolving needs of
In line with TREC regulations, we	
2.7 Policy	
The policies outlined below provide detailed guida conduct expected of all agents and brokers working corresponds to a specific TREC regulation, ensuring across all business activities.	
2.7.1 Fidelity (TREC § 531.2)	
At [COMPANY NAME] , fidelity to the client is para	amount. This duty is not only a legal obligation but
also a moral imperative that defines the ethical sta	
1. Client Representation:	



2.7.2 Integrity (TREC § 531.3)

Integrity is a core value at **[COMPANY NAME]**, and all agents and brokers are expected to demonstrate honesty, fairness, and transparency in every interaction, whether with clients, colleagues, or third-party entities. The following guidelines ensure that integrity remains a guiding principle in all professional activities.



2.7.3 Competency (TREC § 531.4)

Competency in the real estate profession goes beyond basic knowledge and requires continuous learning, adaptability, and the ability to provide clients with expert advice and guidance in a constantly changing market. **[COMPANY NAME]** is committed to ensuring that all agents and brokers remain at the forefront of the industry through ongoing education, training, and skill development.

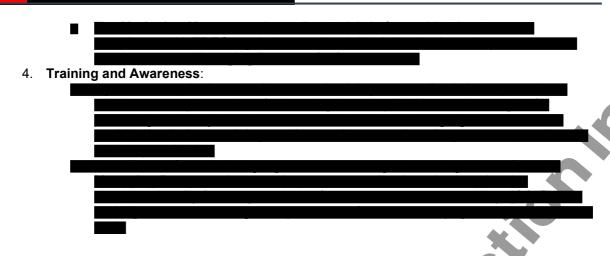
1.	Knowledge of Local and National Markets:
2.	Continuing Education:
3.	Skill Development:
4.	Judgment and Professionalism:
5.	Specialization in Real Estate Types:

2.7.4 Consumer Information (TREC § 531.18)

Consumer protection is a priority at **[COMPANY NAME]**, and all agents are required to provide clients with clear, accessible, and comprehensive information about their rights and the services offered by the company. The following procedures ensure compliance with **TREC § 531.18** and promote transparency in all client interactions.

1. Display of Consumer Protection Notice:

2.	Website	e Compliance:
3.	Provision	on of Consumer Information to Clients:
4.	Client A	Acknowledgment:
2.7.5 D)iscrimina	atory Practices (TREC § 531.19)
[COMP	PANY NA	ME] is
1.	Prohibit	tion of Discriminatory Inquiries:
2.	Compla	aint Handling and Resolution:
	3	
3.	Inclusiv	ve Marketing Practices:



2.7.6 Information About Brokerage Services (TREC § 531.20)

Providing clear and comprehensive information about brokerage services is essential for ensuring that clients understand the role of the broker or agent in a real estate transaction.

1. Provision of the Information About Brokerage Services (IABS) Notice:



2. Documenting Client Acknowledgment:



3. Electronic Delivery and Website Compliance:

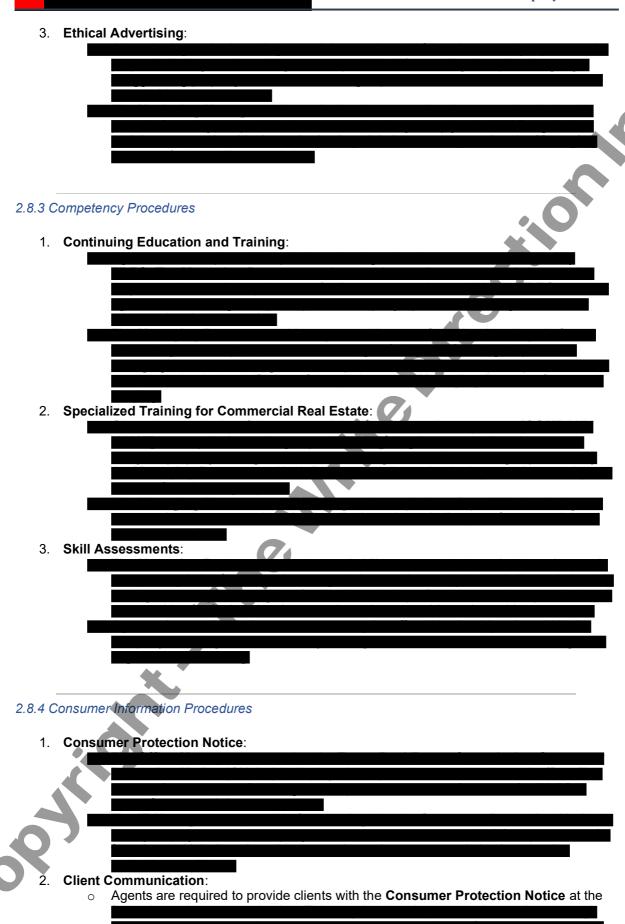


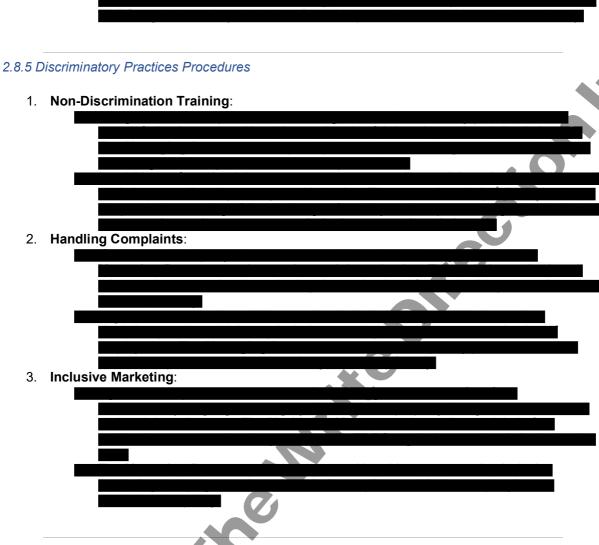
4. Follow-up Communications:



2.8 Procedure

The procedures outlined below provide detailed step-by-step instructions for complying with the ethical standards and professional conduct policies of [COMPANY NAME]. 2.8.1 Fidelity Procedures 1. Client Engagement: 2. Transaction Management: 3. Client Confidentiality: 2.8.2 Integrity Procedures 1. Contract Review: Misrepresentation Prevention:



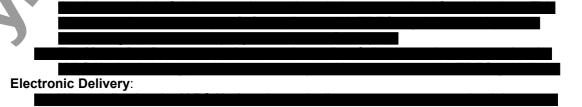


2.8.6 Information About Brokerage Services Procedures

1. Providing the IABS Notice:



2. Documenting Delivery:



	Non-Residential Real Estate Company in Te
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Review and Revision	
	•
s policy will be reviewed and revised annually, ulations or company practices.	or whenever there are significant changes in TF
placific of company practices.	
0 References	
- 10.0.0.0.000	
1 Policy Review and Approval	
is policy is reviewed and approved by the [CON	MPANY NAME] Board of Directors. Any
endments are documented and approved by the	ne same authority.
2 Amproval Signatures	•
2 Approval Signatures	
Managing Partner:	Date:
Managing Partners:	Date:
, (0)	



Policy 003: Procedural Compliance and Standards

Effective Dates: [Insert Effective Date] Reviewed and Revised Dates: [Insert Reviewed/Revised Dates] 3.1 Purpose The purpose of this policy is to ensure that all real estate agents and brokers working under [COMPANY NAME] comply with the Texas Real Estate Commission (TREC) guidelines regarding procedural standards. The guidelines established by TREC serve as the backbone of the company's ethical and legal operations, protecting [COMPANY NAME], its agents, and clients by promoting transparency, accountability, and due process. Procedural compliance minimizes risks associated with non-compliance and ensures that all parties— 3.2 Additional Authority This policy is governed by the following sections of the Texas Administrative Code (TAC), which outline procedural standards relevant to real estate professionals licensed in Texas. These codes must be adhered to in all activities covered under this policy:

3.3 Scope

This policy applies to all licensed agents and brokers at **[COMPANY NAME]**, as well as any administrative staff involved in the execution of procedural duties related to compliance, complaints,

hearings, and administrative filings. The procedural standards outlined herein affect the company's response to external and internal matters, ensuring compliance with TREC regulations.

The policy applies to:



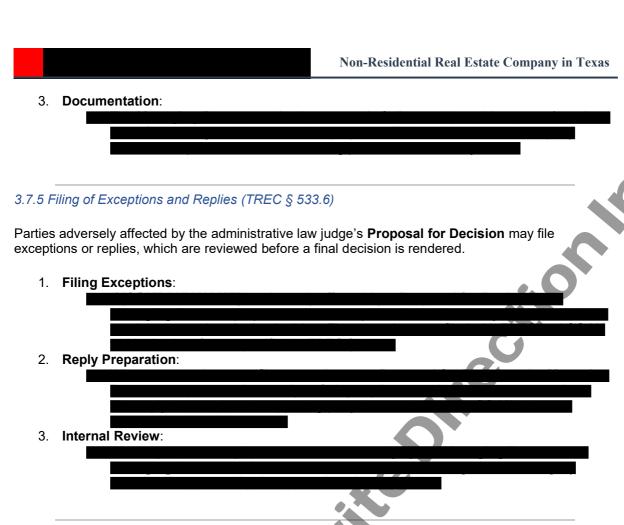
All agents and brokers at **[COMPANY NAME]** are responsible for familiarizing themselves with these guidelines and adhering to the correct procedures when handling any situation that involves administrative or procedural actions governed by **TREC**. Failure to comply with these standards may result in disciplinary action by both the company and **TREC**.

3.4 Responsible Party

3.5 Definitions

	Non-Residential Real Estate Company in Texas
	
3.6 Policy Statement	,0
-	
[COMPANY NAME] is committed to ensuring produced	cedural compliance with all TREC regulations.
By following these procedural guidelines, [COMPA the company from legal repercussions, while foste disputes and compliance issues. Through diligent reinforces its commitment to ethical business practices.	adherence to these standards, the company
3.7 Policy	
3.7.1 Definitions (TREC § 533.1)	
The definitions provided in TREC § 533.1 establish procedural processes covered by this policy. Thes understand their roles and responsibilities during leading to the control of the co	e definitions are critical for ensuring all parties
1. Compliance and Understanding:	
3.7.2 Filing and Notice (TREC § 533.3)	
Filing and notice procedures ensure that all legal of	communications between [COMPANY NAME],

1.	Compla	int Handling and Filing:
2.	Notifica	tions and Deadlines:
3.	Timely	Submissions:
3.7.3 F	ailure to	Answer, Attend Hearings, and Default (TREC § 533.4)
authori	ty to issu	or broker fails to answer a complaint or attend a scheduled hearing, TREC has the e a default order. This section outlines the consequences for failing to respond to attend hearings.
1.	Managi	ng Defaults:
2.	Prevent	ting Defaults:
3.	Investiç	gating Non-Compliance:
3.7.4 7	ranscript	Cost; Interpreters and Translators (TREC § 533.5)
This se	ection out irings or c	lines the requirements for covering the costs of transcripts, interpreters, or translators other legal proceedings.
1.	Transci	ript Costs:
S	Interpre	eter or Translator Requests:
Z.	merpre	sei oi Transialoi Neguesis.



3.7.6 Final Decisions and Orders (TREC § 533.7)

Once a final decision is issued by TREC or an administrative law judge, this section governs the process for enforcing disciplinary actions and finalizing administrative orders.

1. Reviewing Final Decisions: 2. Managing Appeals: 3. Final Decision Documentation:

3.7.7 Motions for Rehearing (TREC § 533.8)

If an agent or broker believes a significant error was made in the final decision, they may file a motion for rehearing. This section outlines the steps for requesting a rehearing and addressing errors in the final decision.

1. Filing Motions for Rehearing:

Non-Residential Real Estate Company in Te
2. Judicial Review:
3. Legal Oversight:
3.7.8 Computation of Time (TREC § 533.9)
This section governs the calculation of deadlines for procedural actions, filings, and responses.
1. Calculating Deadlines:
2. Deadline Tracking:
3.7.9 Hearing: Subpoenas and Fees (TREC § 533.10)
This section governs the issuance of subpoenas and payment of witness fees for administrative hearings.
1. Issuing Subpoenas:
2. Witness Fees:
3. Record-Keeping:
5. Record-Reeping.
3.8 Procedure
The procedures outlined in this section provide a step-by-step guide to handling administrative, legand procedural matters at [COMPANY NAME] .

3.8.1 Filing and Notice Procedures

Proper filing and notice procedures are essential to ensure that all legal and regulatory matters are handled in a timely, transparent, and compliant manner.

1. Complaint Filing

When a complaint is filed against an agent or broker at **[COMPANY NAME]**, the **Managing Partners** follows a structured process to ensure the complaint is managed appropriately.

Response Pre	eparation:		
		N	
he response i	includes:		
Submission:			 _

2. Notification Management

Effective notification management ensures that all parties are aware of important deadlines, hearings, or decisions that need attention.

Monitoring	Deadlines:		_	
_				
		 _		

Notification Reviews:	
Informing Parties:	l. 4
. Record-Keeping	
laintaining a thorough and accurate record of all complaint-related documentation is crucial for fue ference, compliance reviews, and legal audits.	ıture
Centralized Documentation:	
Audit and Access:	
.8.2 Hearing Preparation and Attendance Procedures	
reparation for hearings is critical to ensuring that [COMPANY NAME] is fully equipped to defend gainst allegations or present evidence in support of its agents or brokers.	ł
. Scheduling Hearings	

2. Preparation for Hearings

		-		
Document Com	npilation:			70
Case Summario	es:		7	
nsuring Attendance				
ring full participation	n in the hearing is c	ritical to the success o	f the defense	
aring run participation	ir iir tile riearing is or	intical to the success o	i tile deletise.	
Attendance Tra	acking:			
Attendance Tra	acking:			
Attendance Tra Emergency Res				
	scheduling:			
• Emergency Res	scheduling:			
• Emergency Res	scheduling:			
Emergency Res	scheduling:	es s		
Emergency Res Alternative Res Default and Non-Rure to respond to con	scheduling: solution: esponse Procedure mplaints or attend he	earings can result in se	evere consequen	ces, including
Emergency Res Alternative Res Default and Non-R ure to respond to con	scheduling: solution: esponse Procedure mplaints or attend he		evere consequen	ces, including
Alternative Res B Default and Non-R ure to respond to coult judgments. Facking Responses	scheduling: solution: Response Procedure mplaints or attend he	earings can result in so		
Alternative Res B Default and Non-R ure to respond to coult judgments. Facking Responses	scheduling: solution: Response Procedure mplaints or attend he			

Processing Payments:

3.9 Review and Revision

3.10 References

3.11 Policy Review and Approval

This policy is reviewed and approved by the **[COMPANY NAME] Board of Directors**. All amendments are documented and formally approved by the same authority.

3.12 Approval Signatures

Managing Partner: _____ Date: _____
Managing Partners: _____ Date: _____

Policy 003: Alternative Dispute Resolution (ADR) and Mediation Policy

Effective Dates: [Insert Effective Date] Reviewed and Revised Dates: [Insert Reviewed/Revised Dates]
3.1 Purpose
The Alternative Dispute Resolution (ADR) and Mediation Policy of [
3.2 Additional Authority
This policy is based on the following regulatory provisions:
These provisions serve as the foundation for the ADR mechanisms applied within the firm, ensuring compliance with TREC and enhancing dispute resolution processes.
3.3 Scope
This policy applies to all employees, brokers, agents, contractors, and legal representatives of [COMPANY NAME] who are involved in any form of dispute related to real estate transactions.
3.4 Responsible Party
The Managing Partners of [COMPANY NAME] oversee the adherence to this ADR and Mediation Policy, ensuring that all brokers and agents comply with its provisions.

3.7.2 Negotiated Settlement (TRFC § 533.21)

When disputes arise, [COMPANY NAME] encourages a negotiated settlement process between the arties. • Settlement Discussions: • Documentation: • Timeline for Settlement: • Timeline for Settlement	Settlement Discussions: Documentation: Timeline for Settlement: 7.3 Informal Proceedings (TREC § 533.25) cases where a formal resolution is necessary, but litigation can still be avoided, [1] 7.4 Staff Mediation (TREC § 533.30) The Texas Real Estate Commission provides for staff mediation as a resolution tool, which	.r.z Negotiated Settlement (TNEO § 555.21)	
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3.7.5 Appointment of Mediator (TREC § 533.32)

When disputes cannot be settled through staff mediation, [COMPANY NAME] collaborates with TREC to appoint an independent mediator. 3.7.6 Outside Mediation (TREC § 533.33) For complex disputes requiring external expertise, [COMPANY NAME]

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