

Complaints Handling Procedure

Effective Date: May 2017

1. Introduction

Your experience at Canaccord Genuity Wealth Management ('CGWM') is important to us. If we do not deliver the standard of service you expect or if we make a mistake, we would like to know about it so we can put things right as quickly as possible and make improvements to prevent a reoccurrence.

If you have a complaint about any aspect of our service please contact us by telephone, email or post.

Telephone: +44 (0)20 7665 4500

All calls will be recorded for training and monitoring purposes.

Email: CGWM_UK@canaccord.com

Address: 41 Lothbury, London, UK, EC2R 7AE

To help us investigate and resolve the complaint as quickly as possible, please provide us with the following information:

- ◆ Your name, address and account number
- ◆ A clear description of your concern or complaint
- ◆ Details of what you would like us to do to put it right
- ◆ Copies of any relevant documents and correspondence
- ◆ A telephone number where we can contact you and an indication of when is the best time to contact you.

We will try to resolve your complaint quickly and with minimum inconvenience to you. Please bear in mind that some complaints are more complex and will require longer investigation.

Below we set out how CGWM will handle your complaint and explain further rights you have should we not be able to resolve the issue to your satisfaction.

2. Procedure

- ◆ We will keep a record of your complaint.
- ◆ Where we are able to resolve your complaint within three business days following receipt and you indicate acceptance of our response/resolution, we will send you a written summary of our findings and our conclusion.

- ◆ Where we have not been able to resolve the matter, we will promptly provide you with a written acknowledgment of your complaint.
- ◆ The acknowledgment will detail who will investigate your complaint, their contact details and what our understanding of your complaint is.
- ◆ We will carry out a full, thorough and equitable investigation of your complaint using all reasonable means available to us.
- ◆ We will endeavour to provide a written response to your complaint within 8 weeks following receipt of your complaint, either rejecting the complaint or accepting it and, where appropriate, offering redress. We will also notify if there are any reasons for delay.
- ◆ We will also advise you in our final written response of the right to refer the matter to the Financial Ombudsman Service (FOS) should you be dissatisfied with our outcome.

3. Redress

Canaccord Genuity Wealth Management will offer fair compensation for acts or omissions for which the company is responsible.

4. Your rights

If you remain dissatisfied with our efforts to settle your complaint, you have the right to refer your complaint to the Financial Ombudsman Service (FOS) who deals with unresolved complaints from eligible complainants. You must refer your complaint to FOS within 6 months of the date of our final response letter. Please note if you do not refer your complaint in time, the Ombudsman will not have our permission to consider your complaint and so will only be able to do so in very limited circumstances. For example, if the Ombudsman believes that the delay was as a result of exceptional circumstances.

If your complaint is investigated by the Ombudsman, CGWM will co-operate fully with the Ombudsman's enquiries.

The contact details for the Financial Ombudsman Service are:

Address: The Financial Ombudsman Service, Exchange Tower, London, E14 9SR

Telephone: 0800 023 4567

Email: complaint.info@financial-ombudsman.org.uk

Website: www.financial-ombudsman.org.uk

Please check the FOS website to determine whether you are an eligible complainant.