

Complaints handling procedure

1. Introduction

Your experience at Canaccord Genuity Wealth (International) Limited ('CGWI') 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.

T: +44 1481 733 900 (all calls are recorded for training and monitoring purposes)

E: CGWComplianceAdvisory@canaccord.com

Address:

Compliance Department,
Canaccord Genuity Wealth (International) Limited,
Dorey Court, Elizabeth Avenue,
St. Peter Port, Guernsey, GY1 2HT

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 (if applicable)
- A clear description of your complaint or concern
- Details of what you would like us to do to put it right
- Copies of any relevant documents and correspondence
- A telephone number and/or email address 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 may be more complex and will require a longer investigation.

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

2. Procedure

These procedures will apply to all complaints, provided the complaint has been made by reasonable means. The complaint will be referred to the Compliance Officer, who will:

- Log your complaint
- Provide a formal acknowledgement as soon as possible but in any event no later than within 5 business days of receipt
- Carry out a full, thorough and equitable investigation of your complaint using all reasonable means available to them
- Provide a substantive response to your complaint, either accepting or rejecting the complaint and, where appropriate, offering appropriate redress, as soon as possible.

If a substantive response cannot be sent to you within six weeks of receipt, you will receive a letter explaining why and advising you of your right to refer the matter to the Independent Financial Ombudsman for Financial Services Providers ('FAIS Ombud') should you be dissatisfied with the continuing delay.

3. Redress

CGWI will offer fair redress for acts or omissions for which it is responsible.

4. Your rights

If you remain dissatisfied with our efforts to settle your complaint, you may have the right to refer your complaint to FAIS Ombud who deals with unresolved complaints from eligible complainants. You must refer your complaint to FAIS Ombud within 6 months of the date of our final response letter or FAIS Ombud may not be able to review your complaint.

If your complaint is investigated by FAIS Ombud, CGWI will co-operate fully with their enquiries.

Please check the FAIS Ombud website for further details.

FAIS Ombud can be contacted via:

Address: PO Box 41, Menlyn Park,
0063, South Africa

E: info@fiasombud.co.za

T: 012 762 5000

Sharecall: 086 066 3274

www.faisombud.co.za