

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,
Trafalgar Court, Admiral Park,
St Peter Port, Guernsey, GY1 2JA

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 complaints that cannot be resolved by the end of the third business day following the day on which the complaint was received, 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 twelve weeks of receipt, you will receive a letter explaining why and advising you of your right to refer the matter to the Guernsey Financial Services Commission and the Channel Islands Financial Ombudsman ('CIFO') 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 CIFO who deals with unresolved complaints from eligible complainants. You must refer your complaint to CIFO within 6 months of the date of our final response letter or CIFO may not be able to review your complaint. You must also contact CIFO within 6 years of the event complained about or (if later) within 2 years of when you could reasonably have been expected to become aware that you had reason to complain.

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

Please check the CIFO website for further details.

CIFO can be contacted via:

Address:

The Channel Islands Financial Services
Ombudsman, PO Box 114,
Jersey, JE4 9QG

E: enquiries@ci-fo.org

T: +44 1481 722218

F: +44 1534 747629

www.ci-fo.org