

Client Relationships – Our Promise to You

Canaccord is focused on maintaining a positive relationship with you, our client. However, if you ever have a question or concern about your accounts or any transactions performed on your behalf, you can:

1. Contact your *Investment Advisor*. If your complaint is in regards to a service or product, your complaint should be discussed with your Canaccord Wealth Management Advisor. Typically, they should be able to address most of your concerns.
2. Contact your *Advisor's Branch Manager* if you feel that your issue cannot (or should not) be resolved with your Investment Advisor. Depending on the nature of the issue, the Branch Manager may ask you to provide a written summary of the problem or complaint. He or she may escalate the problem to the attention of the firm's Designated Complaints Officer (DCO), who is tasked with providing a fair and balanced investigation.
3. Contact the *Designated Complaint Officer (DCO)* directly if you feel that you have a complaint that requires immediate attention and cannot be resolved by the Branch Manager. Our dispute and complaint process is fair, impartial and confidential. Within five business days the DCO will send a letter informing you that an investigation is underway. The DCO office will also provide you with further details about Canaccord's complaint handling process, along with a copy of the Investment Industry Regulatory Organization of Canada's (IIROC) brochure titled *An Investor's Guide to Making a Complaint*.

Canaccord's Designated Complaints Officer is:

Mr. Bruce Maranda
Executive Vice President, Compliance
P.O. Box 10337
609 Granville Street, Suite 2200
Vancouver, BC
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