



## **Client Complaints**

Where you have a complaint regarding the servicing of your account(s), we ask that you promptly raise your concern with your Advisor or his/her Branch Manager. Where you are alleging misconduct in the handling of your account, including but not limited to theft, fraud, breach of confidentiality, misappropriation or misuse of funds or securities, forgery, unsuitable investments, misrepresentation, unauthorized trading or other inappropriate financial dealings, you or a person authorized to act on your behalf, should raise your dissatisfaction directly with our Designated Complaints Officer.

Global Maxfin Capital Inc. has a regulatory obligation to acknowledge a client complaint within five business days of receipt and to review all client complaints in detail. Upon completion of our review, we provide a summary of the complaint, results of our investigation, and an explanation of our decision. Global Maxfin Capital Inc. will provide a final decision with respect to a complaint within 90 days, or an interim response with an explanation for the delay and the expected new response time. Should you be dissatisfied with our response, we will provide you with alternative options of recourse that are available to you.

For further information, please refer to IIROC's pamphlet "An Investor's Guide to Making A Complaint" or contact our Designated Complaints Officer at Global Maxfin Capital Inc., 100 Mural Street, Suite 203, Richmond Hill, Ontario, L4B 1J3. Attention: Compliance, Designated Complaints Officer.