

# Complaint Resolution Process

At Credential Securities Inc., we take customer complaints seriously and we have procedures in place to ensure we address them properly. This document is designed to summarize our internal resolution procedures.

## Part One

### Steps to Resolving a Complaint

#### Step 1 – Contact your Investment Advisor

If your complaint is in regards to a service or product, your dispute should be discussed with your Investment Advisor. Typically, they should be able to address most of your concerns.

#### Step 2 – Contact the Provincial Branch Manager

If your Investment Advisor is unable to satisfactorily address your matter, please forward your concern in writing to the Provincial Branch Manager, Credential Securities®. The Provincial Branch Manager will work with you to resolve your complaint. Contact information for the Provincial Branch Manager is provided below.

#### Contact Information

Credential Securities Inc.

Attention: **Provincial Branch Manager**

BC, AB, Atlantic	800 – 1111 West Georgia Street Vancouver, BC V6E 4T6 Tel: 1.800.688.9933 Fax: 604.714.3801
SK	200 – 2500 13th Avenue Regina, SK S4P 0W2 Tel: 306.569.5500 Fax: 306.359.7575
MB, ON	200 – 3430 South Service Road Burlington, ON L7N 3T9 Tel: 905.632.9200 Fax: 905.632.0032

#### Step 3 – Contact the Dealer

If you feel that the problem is not resolved or you wish to express concerns with the handling of the complaint, we encourage you to contact Credential Securities to resolve the matter. Our dispute and complaint process is fair, impartial and confidential. All inquiries should be sent in writing to the Designated Complaints Officer. Contact information for the Designated Complaints Officers is provided below.

#### Contact Information

Credential Securities Inc.

Attention: **Designated Complaints Officer**

800 – 1111 West Georgia Street  
Vancouver, British Columbia V6E 4T6

Fax: 604.714.3993 Email: [complaints@credential.com](mailto:complaints@credential.com)

## Part Two

### Summary of Complaint Handling Process

- When a written client dispute or complaint is received, an acknowledgement of receipt will be sent to you and a file opened.
- Your dispute and the circumstances that surround it will be reviewed thoroughly by our professional compliance staff. This will include reviewing your account opening documentation as well as other notes and correspondence.
- You may be called upon to provide further details and or information that may be reasonably required to resolve your complaint.
- Depending on the circumstances, the complaint process can be lengthy and may take up to 90 days. However we will endeavor to handle your complaint in a timely manner.
- You will be informed of the results once we have concluded our investigation and have reached a decision.

Canadian Investor Protection Fund. **CIPF**  
MEMBER

**Credential**  
Securities