

# TRANSPARENT RESOLUTION PROCESS

## Report a Complaint

Getting your constructive feedback can only help us improve the quality of products and services we provide. Any client may submit a complaint. If you're lodging a complaint on behalf of someone else or a group of persons, please be sure to provide identification for each individual and evidence of authority to represent them.

Unfortunately, we can't accept anonymous complaints. However, material can be submitted confidentially to support a complaint. This information will not be shared with any third parties without the consent of the person who provided the information.

We have a process in place if you ever have a concern with our service. To ensure your issue gets resolved efficiently and effectively, please follow these steps:

## How to Submit a Complaint

Written complaints should be sent by email, post or fax to:

Designated Complaints Officer  
Richardson GMP Limited  
Compliance Department  
145 King Street West, Suite 300  
Toronto, Ontario M5H 1J8  
Toll-free No: 1.866.263.0818.  
Fax: 416.941.0830  
[RGMPCompliance@RichardsonGMP.com](mailto:RGMPCompliance@RichardsonGMP.com)

You can also contact the Compliance Department at the above toll-free phone number.

## What to Include in a Complaint

While there isn't a specific format, we do ask that you please provide the following details:

- Your name, address and other contact information such as phone and fax numbers, cell phone and email address.
- If you are representing a complainant, please provide contact information for yourself and the person or group of persons you are representing.
- A description of the nature of the complaint.
- Background information on your complaint, including a chronology of events, and the steps you may already have taken in an attempt to resolve the issue or raise your concerns.

## Acknowledging Receipt

Our Compliance Department will acknowledge the receipt of your letter via postal mail within five (5) days of receiving your complaint. This acknowledgement will confirm the name and contact information of the individual handling your file. We will also enclose the Investment Industry Organization of Canada (IIROC) brochure entitled "An Investor's Guide to Making a Complaint" for your reference. You can also refer to the brochure by selecting the link below:

[http://www.iroc.ca/investors/makingacomplaint/Documents/InvestorProtectionBrochure\\_en.pdf](http://www.iroc.ca/investors/makingacomplaint/Documents/InvestorProtectionBrochure_en.pdf)

## Appraising a Complaint

Our Compliance Department will review your complaint and the circumstances surrounding it. In conducting our review, we may contact you or your authorized representative if we need more information

to resolve the complaint. The review and assessment stage may be completed promptly, or may need further in-depth analysis.

Within 90 days, we'll send you a substantive response to your complaint in writing. If more time is required to review your complaint, we'll let you know in writing along with an expected completion date of our review.

The response letter will include an outline of your complaint, Richardson GMP Compliance Department's decision on the complaint and the reason for our decision. Also included in the letter will be additional information regarding your options to escalate your concerns if you're dissatisfied with the outcome of this review. This includes the contact information for IIROC and the Ombudsman for Banking Services and Investments (OBSI).

If you are a Québec resident and you're not satisfied with our examination of your complaint or outcome, you may request that your complaint file be transferred to the Autorité des marchés financiers (AMF). Please note that you'll be required to wait for our final decision or the expiry of the 90 day time limit, but this request must be submitted no later than one year after we have provided our substantive response. Following the transfer of your complaint to the AMF, they may proceed with their investigation.