# ESOLVING YOUR COMPLAIN

AT COMPUTERSHARE, WE CARE ABOUT THE QUALITY OF THE SERVICE YOU RECEIVE FROM US. WE EXPECT EVERY EMPLOYEE WHO RECEIVES A CLIENT OR CUSTOMER COMPLAINT TO GIVE IT THE ATTENTION IT DESERVES. AND WE WILL TRY TO RESOLVE YOUR COMPLAINT QUICKLY. IF YOU HAVE A COMPLAINT OR CONCERN, WE ENCOURAGE YOU TO FOLLOW THE COMPLAINT PROCEDURE OUTLINED HERE.

## STEP 1 - START WITH YOUR SERVICING OFFICER OR THE OFFICE YOU DEALT WITH

If the person you first speak to is not able to resolve your concern to your satisfaction, or direct you to someone who can, please ask to speak directly to their superior, who will have the authority to deal with most situations. Or, if you are unsure whom to contact, you can reach us by email at <a href="mailto:service@computershare.com">service@computershare.com</a>, or through our website at <a href="mailto:www.computershare.com">www.computershare.com</a>. Usually, a complaint can be cleared up just by discussing it with us.

### STEP 2 - CONTACT THE PRESIDENT'S OFFICE

If your complaint is not resolved to your satisfaction, a representative of the President will be pleased to assist you. Please write to:

Office of the President Computershare 100 University Avenue, 9th Floor Toronto, Ontario M5J 2Y1

**Fax:** 416 263 9538

Please be sure to include:

- > Your name
- Your mailing address, email address or fax number (with area code), wherever you prefer to receive a written reply
- Your telephone number (with area code) in the event we need to contact you for additional information
- > The nature of your complaint
- Details relevant to the matter, including dates of requests or contacts, the issuer of the security and your Holder Identification Number (if applicable), and the names of any persons at Computershare with whom you have already discussed your complaint

In most cases you will receive a resolution to your concerns within 10 business days if the transaction about which you are inquiring was delivered or performed within the last 6 months. Older items could require as long as 20 business days to allow for archival research. If we require more than 10 business days to complete our response, we will send you an acknowledgement, so you know we are working on it.

If you are still not satisfied with the response you receive, you may contact or be directed to the Computershare Ombudsman.

### **STEP 3 - COMPUTERSHARE OMBUDSMAN**

The Computershare Ombudsman's principal function is to review the merits of any complaint objectively and impartially. Assuming you have followed the complaint escalation steps outlined above, and provided that legal action has not been taken on the matter, the Ombudsman will promptly acknowledge and review your

complaint. In most cases, you will receive a decision regarding your concern within 15 business days. Please write to:

Computershare Ombudsman 100 University Avenue, 9th Floor Toronto, Ontario M5J 2Y1

**Fax:** 416 263 9538

# THE OMBUDSMAN FOR BANKING SERVICES AND INVESTMENTS

If the above steps do not resolve your concern, you can consider escalating the matter further. The Ombudsman for Banking Services and Investments, who is independent from Computershare, provides an impartial process for the investigation and resolution of financial services complaints for clients of financial services providers who are either small businesses or individuals. You may wish to contact the Ombudsman for Banking Services and Investments:

Ombudsman for Banking Services and Investments 401 Bay Street, Suite 1505 P.O. Box 5 Toronto, ON M5H 2Y4

Telephone: 1 888 451 4519
Fax: 1 888 422 2865
Email: ombudsman@obsi.ca
Web Site: www.obsi.ca

# THE FINANCIAL CONSUMER AGENCY OF CANADA

The Financial Consumer Agency of Canada supervises federally-regulated financial institutions, such as Computershare Trust Company of Canada, to ensure they comply with federal consumer protection laws.

If you have a complaint about a regulatory matter, you can contact the FCAC in writing at:

Financial Consumer Agency of Canada 6th Floor, Enterprise Building 427 Laurier Avenue West Ottawa, Ontario K1R 1B9

Telephone: 1 866 461 3222 Web Site: www.fcac-acfc.gc.ca

The FCAC will determine whether a financial institution is in compliance. It will not, however, resolve individual consumer complaints.

In this document, "Computershare" refers to either or both of Computershare Trust Company of Canada and Computershare Investor Services Inc.

