

## **COMPLAINT HANDLING PROCEDURES**

FundEX has procedures in place to handle any written or verbal complaints received from clients in a fair and prompt manner. This is a summary of those procedures, which we provide to new clients, clients who have filed a complaint and is also available for review on our website at [www.fundex.com](http://www.fundex.com)

### ***The Client Complaint Information Form***

The Client Complaint Information Form (“CCIF”) provides general information about options available to clients for making a complaint. The CCIF can be found on the New Client Application Form (“NCAF”) as part of the “Statement of Disclosure” and it is also available as a standalone document to provide to clients at the time of complaint.

### ***How to File a Complaint with FundEX***

Clients wishing to complain to FundEX may make their complaint to our head office by contacting the Assistant Chief Compliance Officer - Complaints or to any branch manager or FundEX representative. All complaints are forwarded to qualified compliance or supervisory personnel to be handled. We encourage clients to make their complaint in writing or by email where possible. Where clients have difficulty putting their complaint in writing, they should advise us so that we can provide assistance. For confidentiality reasons, we will only deal with the client or another individual who has the client’s express written authorization to deal with us.

### ***Complaint Handling Procedures***

We will acknowledge receipt of complaints promptly, generally within five days. We review all complaints fairly, taking into account all relevant documents and statements obtained from the client, our records, our representatives, other staff members and any other relevant source. Once our review is complete we provide clients with our response, which will be in writing if the complaint was made in writing. Our response may be an offer to resolve your complaint, a denial of the complaint with reasons or another appropriate response. Where the complaint relates to certain serious allegations, our initial acknowledgement will include copies of this summary and the CCIF. Our response will summarize your complaint, our findings and will contain a reminder about your options with the Ombudsman for Banking Services and Investments.

We will generally provide our response within ninety days, unless we are waiting for additional information from you, or the case is novel or very complicated.

We will respond to communications you send us after the date of our response to the extent necessary to implement a resolution or to address any new issues or information you provide.

### ***Settlements***

If we offer you a financial settlement, we may ask you to sign a release and waiver for legal reasons.

### ***Contacting FundEX Investments Inc.***

Clients may contact us at any time to provide further information or to inquire as to the status of their complaint, by contacting the individual handling their complaint or by contacting the Assistant Chief Compliance Officer – Complaints by email to [complaints@fundex.com](mailto:complaints@fundex.com)