

# Complaint Resolution Process

At GF Securities (Canada) Co., Ltd., 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 Dealer

If you feel that the problem is not resolved or you wish to express concerns with the handling of the complaints, we encourage you to contact GF to resolve the matter. Our dispute and complaint process is faire, 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

GF Securities (Canada) Co., Ltd.  
**Attention: Designated Compliance Officer**  
130 – 5911 No. 3 Road  
Richmond, British Columbia V6X 0K9

**Tel:** 778.297.5888

**Fax:** 778.297.8080

**Email:** [complaints@gfsecurities.ca](mailto:complaints@gfsecurities.ca)

## Part Two

### Summary of Complaint Handling Process

- When a written client dispute or complaint is received, an acknowledgement or receipt will be sent to you and a file opened.
- Your dispute and the circumstance 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 complaints.
- 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.