



January 2018

CONTACT

Asia Pacific
+852.2846.3500

Canada
+1.416.874.0900

EMEA
+44.20.7670.4000

United States
+1.212.588.4000

info@itg.com
www.itg.com

ITG Canada Corp.

Complaint Resolution Process

ITG Canada Corp. (“ITG” or “the Firm”) is an Investment Industry Regulatory Organization of Canada (“IIROC”) member firm. ITG has created an internal process for documenting, handling and resolving complaints in an efficient and expedient manner. The process has been designed to meet or exceed legal and regulatory requirements.

In the unlikely situation that you have a complaint, ITG encourages you to follow the steps outlined below.

1. Contact your ITG Representative

In many instances complaints may be simple misunderstandings and may be resolved quickly and over the telephone or in person. As a first step, please contact your Representative if you have questions or concerns about a particular issue.

2. Send your complaint in writing to Compliance

If the problem you have is not solved to your satisfaction after discussing with your ITG Representative, please detail your complaint in writing and send it to the Firm’s Compliance department, at the following address:

Attention: Kuno Tucker
Designated Complaints Officer
ITG Canada Corp
130 King Street West, Suite 1040
Toronto, Ontario
M5X 1B1

Or via e-mail: can-compliance@itg.com.

Once we have your complaint in writing it will be handled in accordance with the Firm’s complaint process.

An acknowledgement will be sent by our Designated Complaints Officer within five (5) business days of receipt of your complaint. This acknowledgement will include a description of the next steps to be taken by ITG, as well as other information, such as a designated contact person, complaint reference number, the protocol you should follow once you have sent your complaint to us, and the timelines which we follow in order to process your complaint in a timely manner.

The entire process should take no longer than ninety (90) days before you are in receipt of a substantive response letter from the Designated Complaints Officer, which will include the following information:

- A summary of your complaint,
- The results of our investigation,



- Our final decision on the complaint, including an explanation, and
- A statement describing the options available to you should you not be satisfied with our response.

3. Other options available to you

If after following above steps, your complaint has not been resolved to your satisfaction, there are other options available to you, including but limited to: escalation to IIROC Enforcement or the Ombudsman for Banking Services, and litigation/civil action or arbitration. The Ombudsman for Banking Services will consider a client complaint at the earlier of:

- The date the complaint substantive response is provided to the client, or
- Ninety (90) days after the receipt of the complaint.

More information can be found in the following brochures from IIROC:

- Making a Complaint, A Guide for Investors
- How Can I Get My Money Back, A Guide for Investors

Copies of these brochures are available on our website under **Canada Regulatory Disclosures** at: <https://www.itg.com/about/compliance/>

© 2017 Investment Technology Group, Inc. All rights reserved. Not to be reproduced or retransmitted without permission. [insert compliance number here]

Broker-dealer products and services are offered by: in the U.S., ITG Inc., member FINRA, SIPC; in Canada, ITG Canada Corp., member Canadian Investor Protection Fund ("CIPF") and Investment Industry Regulatory Organization of Canada ("IIROC"); in Europe, Investment Technology Group Limited, registered in Ireland No. 283940 ("ITGL") (the registered office of ITGL is Block A, Georges Quay, Dublin 2, Ireland). ITGL is authorized and regulated by the Central Bank of Ireland; in Asia, ITG Hong Kong Limited (SFC License No. AHD810), ITG Singapore Pte Limited (CMS License No. 100138-1), and ITG Australia Limited (AFS License No. 219582). All of the above entities are subsidiaries of Investment Technology Group, Inc. MATCHNowSM is a product offering of TriAct Canada Marketplace LP ("TriAct"), member CIPF and IIROC. TriAct is a wholly owned subsidiary of ITG Canada Corp.

All trademarks, service marks, and trade names not owned by ITG are the property of their respective owners.