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ITG Canada Corp.

Complaint Resolution Process

ITG Canada Corp. is an Investment Industry Regulatory Organization of Canada (“IIROC”) member firm and ITG Non-Institutional Trading Services is a division of ITG Canada Corp. (“ITG”). 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.

Step 1 – Contact 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.

Step 2 – Send your complaint in writing to Compliance

If the problem you have is not solved to your satisfaction after completing Step 1, please detail your complaint in writing and send it to the ITG Compliance department, at the following address:

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

Or via email: can-compliance@itg.com

Once we have your complaint in writing it will be handled in accordance with ITG’s complaint process. An acknowledgement will be sent by our Designated Complaints Officer within 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 90 days before you are in receipt of a substantive response letter from the Designated Complaints officer, which will include the following information:

1. A summary of your complaint
2. The results of our investigation
3. Our final decision on the complaint, including an explanation; and
4. A statement describing the options available to you should you not be satisfied with our response

Step 3 – Other options available to you

If after following Step 2 your complaint has not been resolved to your satisfaction there are other options available to you, including but limited to: escalation to IROC Enforcement or the Ombudsman for Banking Services (“OBSI”), and litigation/civil action or arbitration. OBSI will consider a client complaint at the earlier of:

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

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