

**SALMAN PARTNERS INC.**

**RETAIL CLIENT COMPLAINT HANDLING PROCEDURES**

Our complaint handling practices, Investment Industry Regulatory Organization of Canada (“IIROC”)’s “An Investor’s Guide to Making a Complaint” brochure will be provided at the time of account opening and posted on the Salman Partners Inc. (“SPI”) website on an ongoing basis.

**Submitting a Complaint**

Complaints from retail clients, from the client directly or a person authorized to act on their behalf may be submitted to the Compliance department to the attention of:

Chief Compliance Officer  
1095 West Pender St, Suite 1700  
Vancouver, B.C.  
V6E 2M6  
Phone: (604) 685-2450  
Fax: (604) 685-2471

For verbal expressions of dissatisfaction alleging misconduct where a preliminary investigation indicates that the allegation may have merit, the complaint will be treated in the same manner as a recorded expression of dissatisfaction.

Should a retail client be handicapped in any way, is a senior with special needs or language or literacy issues are involved, the SPI CCO is prepared to assist clients in submitting a complaint.

**Acknowledging a Complaint**

The CCO will send an acknowledgement letter to the complainant within five (5) business days of receipt of a complaint.

The acknowledgement letter will include the following:

- (a) The name, job title, and full contact information of the individual at SPI handling the complaint;
- (b) A statement indicating that the client should contact the individual at SPI handling the complaint if he/she would like to inquire about the status of the complaint;
- (c) An explanation of SPI’s internal complaint handling process, including but not limited to the role of the designated complaints officer;
- (d) A reference to an attached copy of the IIROC approved complaint handling process brochure and a reference to the statutes of limitations contained in the document;
- (e) The 90 calendar days timeline to provide a substantive response to complaints, after which time the client may submit their complaint to Ombudsman for Banking Services and Investments (“OBSI”) if the matter has not been resolved;
- (f) A request for any information reasonably required to investigate the complaint.

The CCO will enclose a copy of IIROC’s “An Investor’s Guide to Making a Complaint” brochure.

## Investigating a Complaint

The SPI employee and his/her supervisor involved in the complaint will be provided with a copy of the complaint and be asked to submit a written reply to the CCO. Under no circumstances will the subject person of a complaint be the sole investigator of the complaint.

The CCO will review all aspects of the complaint and recommend a course of action. This recommendation will be discussed with the SPI employee involved in the complaint. This recommendation will objectively consider the interests of the complainant and of the SPI employee and the firm.

Final recommendations to deal with the complaint must be approved by the CEO prior to conveying the results of the investigation in a substantive response to the client.

## Substantive Response to a Complaint

SPI will send a substantive response letter to the complainant, along with IIROC's "An Investor's Guide to Making a Complaint", within 90 calendar days from the date of receipt of the complaint by the firm.

The substantive response letter will include the following:

- (a) A summary of the complaint;
- (b) The results of SPI's investigation;
- (c) SPI's final decision on the complaint, including an explanation; and
- (d) A statement describing to the client the options available if the client is not satisfied with SPI's response, including:
  - (i) arbitration through the IIROC program;
  - (ii) submitting a complaint to the ombudsperson service through OBSI;
  - (iii) submitting a regulatory complaint to IIROC for an assessment of whether disciplinary action is warranted;
  - (iv) litigation / civil action; and
  - (v) other applicable options.

SPI will advise the complainant if a final response will not be sent within the stated timeline, in addition to contacting IIROC through ComSet with an explanation for the delay.