



Complaint Handling Process

AltaCorp Capital Inc. (“AltaCorp”) regards the handling of any client complaint as an important aspect of providing client service and we have written policies and procedures to ensure that any complaint is appropriately dealt with in a prompt fashion.

While we are always willing to discuss minor service-related and administrative concerns that you might have, we encourage you to put your concerns related to compliance matters in writing to the attention of the Chief Compliance Officer (who is the Designated Complaints Officer at AltaCorp):

Chief Compliance Officer
410, 585 – 8th Avenue SW
Calgary AB, T2P 1G1
compliance@altacorpcapital.com
(403) 539-8600

Generally a compliance related concern for your account would pertain to matters such as;

- Breach of confidentiality
- Theft
- Fraud
- Misappropriation or misuse of funds or securities
- Forgery
- Unsuitable investments
- Misrepresentation
- Unauthorized trading
- Securities activities outside of AltaCorp.

AltaCorp will acknowledge to you in writing within 5 business days any receipt of either a written or verbal complaint which is deemed to be compliance related.

AltaCorp will review and investigate your complaint thoroughly and will strive to provide you with a written response within 90 days of receipt of your complaint. If we are unable to complete our investigation within 90 days we will advise you of that fact in writing and provide an explanation for the delay.

Our investigation will include providing a written copy of the complaint to all employees of AltaCorp associated with the issues and will require a written response from them. Our written response will include a summary of the complaint; the results of our investigation, our final decision on the complaint including our rationale for the decision, and an outline of options available to you if you are not satisfied with our response. These options include arbitration available through the Investment Industry Regulatory Organization of Canada, filing a complaint with the ombudsperson of financial service and investments, litigation/civil action and any other applicable options available.