



## **REGENT CAPITAL PARTNERS INC. CLIENT COMPLAINT PROCESS**

At Regent Capital Partners Inc., we strive for excellence in serving our clients. To ensure that client complaints are handled correctly, we have provided procedures that will assist you in the event that you need to file a complaint with us.

### **Complaint-Handling Process for Regent Capital Partners Inc.**

The following document outlines client complaint-handling policies and procedures

#### **Who Can File A Complaint?**

Any client may submit a complaint. If a complaint is being lodge on behalf of a person or a group of persons, each should be identified and evidence of authority to represent such person(s) must be provided.

#### **How To Submit A Complaint?**

Written complaints should be sent via email or post to:

Anita Tyler (Designated Complaints Officer)

55 University Ave Suite M002, P O Box 47, Toronto Ontario, M5J 2H7

Email: [atyler@regentcp.ca](mailto:atyler@regentcp.ca)

#### **What To Include In A Complaint?**

Please provide the following details:

Your name, address and other contact information such as phone number and email address

If you are representing a complainant, please provide contact information for yourself and the person or group of persons you are representing

#### **A Description Of The Nature Of The Complaint:**

Background information on your complaint, including a chronology of events, and the steps you may already have taken in an attempt to resolve the issue or raise your concerns.

#### **Acknowledging Receipt:**

Within five (5) days of receiving your complaint, the designed complaints officer (DCO) will send an acknowledgement letter by mail confirming the name and contact information of the individual handling your file. We will also enclose the IIROC brochure entitled

"An Investor's Guide to Making a Complaint" for your reference

#### **Appraising A Complaint:**

Our DCO will review your complaint and the circumstances surrounding it. In conducting our review, we may contact you or your authorized representative should more information be required to resolve the complaint. The review and assessment stage may be completed promptly or may require further in-depth analysis.

Within 90 days, you will receive in writing our substantive response to your complaint. If additional time is required to review your complaint, we will acknowledge this in writing and convey to you the expected completion date or our review.

The substance response letter will include an outline of your complaint and decision on the complaint and the reason for your decision. Also included in the letter will be additional information regarding your options to escalate your concerns should you not be satisfied with the outcome of this review. This includes contact information for the Investment Industry Organization of Canada ("IIROC") and the Ombudsman for Banking Services and Investments ("OBSI").