

# STIFEL

## Who Can File a Complaint

Any client may submit a complaint. If a complaint is being made on behalf of another party, that group should be identified and evidence of authority to represent that group must be provided.

Anonymous complaints will not be accepted. However, material can be submitted confidentially to support a complaint. This information will not be shared with any third parties without the consent of the party who provided the information.\*

## How to Submit a Complaint

Complaints must be made in writing and delivered by e-mail, post, or fax to:

Stifel Nicolaus Canada Inc.

Compliance Department

145 King Street West, Suite 300

Toronto, M5H 1J8

(416) 367-8600

[SNCCompliance@stifel.com](mailto:SNCCompliance@stifel.com)

## What to Include in a Complaint

The complaint does not need to follow a specific format. However, please provide the following details:

- Your name, address, and other contact information, such as phone and fax numbers, cell phone, and e-mail address.
- If you are representing a complainant, please provide contact information for yourself and the group/person you are representing.
- A description of the nature of the complaint.
- Background information on your complaint, including the names of your Investment Advisor or branch manager, 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

Stifel Nicolaus Canada Inc. will endeavor to acknowledge receipt of your complaint within five business days.

## Appraising a Complaint

The review and assessment stage may be completed quickly, or may require further in-depth assessment. We will review your complaint and the circumstances surrounding it. Should we require more information, we will contact you at the contact information provided. Once we have concluded our review, we will notify you in writing how your complaint will be resolved.

*\* Unless otherwise required by regulation or law.*