



## **Complaint Handling**

TradeZero Canada Securities, ULC (“TradeZero Canada”) is a member of the Investment Industry Regulatory Organization of Canada (“IIROC”). A brochure entitled [“An Investor’s Guide to Making a Complaint”](#) will be provided to you upon account opening. This brochure outlines your options should you have a complaint which cannot be resolved by our Compliance Department.

The Company has procedures in place to handle written or verbal complaints received from clients in a fair and prompt manner. This is a summary of those procedures:

### **What Constitutes a Complaint?**

A complaint is a recorded or verbal expression of dissatisfaction with TradeZero Canada or one of its employees alleging misconduct.

### **Client Access to the Complaint Process**

At the time of account opening, clients are provided with:

- a written summary of the TradeZero Canada Complaint Handling Procedures; and
- a copy of an approved complaint handling process brochure [An Investor’s Guide to Making a Complaint](#)

### **How to File a Complaint with TradeZero Canada**

Complaints are required in writing and must be report to Chief Complaints Officers. Clients wishing to complain to TradeZero Canada may contact us by e-mail at [support@tradezero.ca](mailto:support@tradezero.ca) or by mail to:

**Chief Complaints Officer**, Compliance Department

TradeZero Canada Securities, ULC

📍 323 Church St, Unit 14

Oakville, Ontario L6J 1P2



☎ Toll-Free: 1 (866) 995-9585

☎ Telephone: 1 (289) 236-0777

## **Complaint Acknowledgment Letter**

A letter acknowledging receipt of the complaint is sent within five (5) business days, along with a copy of TRADEZERO CANADA's Complaint Handling Procedures.

## **Complaint Investigation Process**

The TRADEZERO CANADA Compliance Department will gather the facts, information and documentation and objectively consider the complaint.

## **Substantive Response Letter**

When the investigation is completed, but no later than ninety (90) calendar days after the complaint is received, TRADEZERO CANADA will send a substantive response letter outlining the complaint, TRADEZERO CANADA's decision and the reasons for the decision.

## **Alternative Resolution**

Clients who are not satisfied with the outcome are provided with the IIROC complaint handling process brochure ( [An Investor's Guide to Making a Complaint](#)) and reminded of other options including arbitration; the Ombudsman for Banking Services and Investments (OBSI); filing a complaint to IIROC; or legal action.