

# The Complaint Process

MDI has policies and procedure in place to deal with client complaints to ensure they are dealt with in a fair and prompt manner. If you are unable to resolve any issues with the handling of your account or other concerns directly with your advisor, please direct them to our Chief Compliance Officer. It is preferred that you take the additional time to put your complaint or concern in writing. This will form an accurate record and will help expedite a resolution. You do have the option to verbally file a complaint; however you will be asked to document your complaint in writing as a follow up to the conversation.

Our complaint process is also posted on our website at [www.mawer.com/individual-investors/mawer-direct-investing/](http://www.mawer.com/individual-investors/mawer-direct-investing/)

You can send your complaint with supporting documents:

**By Mail to:**

**Mawer Direct Investing Ltd.**

Attn: The Chief Compliance Officer  
600 – 517 10th Avenue SW  
Calgary, AB T2R 0A8

**By Fax to:**

403-262-4099

Attn: Compliance Department

**By Email to:**

[compliance@mawer.com](mailto:compliance@mawer.com)

We will acknowledge the receipt of your complaints promptly, generally within 5 business days. At that time we will provide you the name of our internal person investigating the complaint with their contact information for your records. You will also receive the brochure “An Investor’s Guide to Making a Complaint”. You also have the option to visit the website for the Investment Industry Regulatory Organization of Canada’s (“IIROC”) at [www.iiroc.ca/investors/makingacomplaint/Pages/default.aspx](http://www.iiroc.ca/investors/makingacomplaint/Pages/default.aspx) for further information about making a complaint.

MDI will conduct an internal investigation into your complaint. We will gather a written response from your Advisor addressing the issue, copies of documentation completed and supporting documentation such as correspondence between you and your advisor, trading records and notes. You may be contacted to provide further documentation is applicable.

A written summary of our conclusion will be sent to you within 90 days of your complaint. You will be notified in writing if an extension of this time frame is required with an explanation of why we require extra time.

Please notify us in writing if you are dissatisfied with our complaint process or resolution to your issue. You may refer to the brochure “An Investor’s Guide to Making a Complaint” for other options available to you should you wish to pursue the matter further.