



GP WEALTH MANAGEMENT

INDEPENDENT THINKING WORKING FOR YOU

Summary of Complaint Handling Information



GP Wealth Management has procedures in place to handle any written or verbal complaints received from clients in a fair and prompt manner. This is a summary of those procedures, which we provide to new clients and any clients who have filed a complaint.

The Client Complaint Information Document

We also provide new clients and clients who complain with an additional document called the **Client Complaint Information Document** that provides general information about options for making a complaint.

How to File a Complaint with GP Wealth Management

Clients wishing to lodge a complaint may make their complaint to our head office by contacting the **Compliance Department** or to any branch manager or financial advisor. All complaints are forwarded to qualified compliance or supervisory personnel to be handled. We encourage clients to make their complaint in writing or by email where possible. Where clients have difficulty putting their complaint in writing, they should advise us so that we can provide assistance.

For confidentiality reasons, we will only deal with the client or an individual who has the client's express written authorization to deal with us.

To deliver your complaint to us

GP Wealth Management Corporation

Attention: Compliance Department
400-5045 Orbitor Drive, Building 11
Mississauga, Ontario L4W 4Y4

Fax: 905-366-0303
Email: complaints@gpwealth.ca¹

Telephone: 416-622-9969
Toll Free: 1-800-608-7707



Complaint Handling Information *(Continued)*



Complaint Handling Procedures

We will acknowledge receipt of complaints promptly, generally within **five days**. We review all complaints fairly, taking into account all relevant documents and statements obtained from the client, our records, our financial advisor, other staff members and any other relevant source.

Once our review is complete we provide clients with our response, which will be in writing. Our response may be an offer to resolve your complaint, a denial of the complaint with reasons or another appropriate response. Where the complaint relates to certain serious allegations², our initial acknowledgement will include copies of this summary and the **Client Complaint Information Document**. Our response will summarize your complaint, our findings and will contain a reminder about your options with the Ombudsman for Banking Services and Investments.

We will generally provide our response within 90 days, unless we are waiting for additional information from you, or the case is novel or very complicated.

We will respond to communications you send us after the date of our response to the extent necessary to implement a resolution or to address any new issues or information you provide.

Settlements

If we offer you a settlement, we may ask you to sign a release and waiver for legal reasons.

Contacting GP Wealth Management

Clients may contact us at any time to provide further information or to inquire as to the status of their complaint, by contacting the individual handling their complaint or by contacting the **Compliance Department**.

¹ Clients who choose to communicate by email should be aware of possible confidentiality issues regarding internet communications.

² As defined in the Policies of the Mutual Fund Dealers Association of Canada of which GP Wealth Management Corporation is a Member.