

CLIENT COMPLAINTS

COMPLAINTS

Clear Street Canada, as a Canadian Investment Regulatory Organization (CIRO)-regulated firm, must comply with CIRO rules for complaint handling. We must explain to you how to make a complaint and provide you with the proper contact information.

Under CIRO's requirements, dealer members must:

- distribute the CIRO official brochure "How CIRO protects investors (pdf)" to new retail clients at account opening and existing retail clients upon request.
- provide CIRO's "Making a Complaint (pdf)" and "How Can I Get My Money Back (pdf)" brochures to all new clients, clients who have submitted a written complaint, and when Members respond to a client complaint.

The following brochures are available on the CIRO Website (www.ciro.ca):

- How CIRO protects investors (pdf) (mandatory distribution) This brochure informs investors about CIRO's regulatory mandate and responsibilities and specifically its role in investor protection. Dealer Members must distribute this brochure, in print or electronic format, to new retail clients at account opening and existing retail clients upon request.
- Making a Complaint: A Guide for Investors Part 1 of 2 (pdf) (mandatory distribution)
- How Can I Get My Money Back: A Guide for Investors Part 2 of 2 (pdf) (mandatory distribution) These brochures explain how to make a complaint to both CIRO-regulated firms and CIRO as well as the various options for pursuing compensation. Under Rule 2500B, both brochures must be provided by Member firms to all new clients, existing clients who have submitted a written complaint, and when members respond to a client. See Notice 09-0363 for more information.
- Opening an Investment Account: A Guide for Investors (pdf) (optional distribution) This brochure provides investors with detailed information on the required documentation and personal information they are required to provide firms during the account application process.

CLIENT COMPLAINTS SHOULD BE DIRECTED TO CLEAR STREET CANADA'S HEAD OFFICE AT:

CLEAR STREET CANADA INC
Attention: Complaints Officer.
30 Adelaide Street East, 12th Floor
Toronto, Ontario, M3C 3G8

EMAIL: ComplianceCanada@clearstreet.io

CLIENT CONSENT REGARDING CIRO BROCHURES FOR CLIENTS

Client consents to access the CIRO website at www.CIRO.ca and read the various CIRO brochures for clients of CIRO regulated dealer members such as Clear Street Canada. These disclosures contain relevant and important information about CIRO and how this self-regulatory organization matters can help Clients, including how to make a complaint against Clear Street Canada in the event of a controversy between Clear Street Canada and the Client. The relevant brochures and disclosures are communicated to the Client at account opening and are available on our website www.centerpointsecurities.ca. The Client agrees to review the relevant CIRO brochures, and the Client is encouraged to periodically refer to the CIRO website to review any updates to the content of such brochures.