



Complaint Resolution Process

KJ Harrison is committed to providing the highest level of service to our clients. In the unlikely event that you have a complaint, we will deal with your complaint objectively, fairly, professionally and in a timely manner.

We have specific complaint handling procedures for responding to a client complaint. CISO's complaint-related brochures are appended to this Brochure. All documents were provided to you at account opening.

Contact your Portfolio Manager

Many times a complaint may be a simple misunderstanding related to a service or administrative error. First speak to your Portfolio Manager to see if the issue can be resolved quickly and easily.

Send your Complaint in Writing

If your concerns were not resolved in a satisfactory manner or you have concerns about a possible compliance-related complaint, please detail your complaint in writing and send it to us. Your correspondence should be sent to your Portfolio Manager, with a copy of the complaint also sent to the Chief Compliance Officer at: K.J. Harrison & Partners Inc., 60 Bedford Road, Toronto, Ontario, M5R 2K2 or email compliance@kjharrison.com.

Handling your Written Service-Related Complaint

Your written service-related complaint will most likely be resolved quickly and we may respond verbally or in writing.

Handling your Written Compliance-Related Complaint

We will acknowledge receipt of your written compliance-related complaint within five business days and provide you with a description of our review process as well as the contact information of the person responsible for the review. We will commence our review and analysis of your complaint and within 90 days, you will be provided with our substantive response to your complaint or correspondence from us acknowledging that we may require additional time or information to complete our review.

There are other options available to you should our proposed resolution be unsatisfactory. Matters can be sent to our regulator – CISO, or within 180 days to the Ombudsman for Banking Services and Investments (OBSI) or to arbitration.

Quebec Residents

If we determine that your concerns can be resolved quickly in a satisfactory manner, we will use a simplified process to resolve the matter within 20 days. Otherwise, we will acknowledge your complaint and provide a written final response within 60 days of receiving your complaint. In any case, you have the right to have your complaint record examined by the Autorité des marchés financiers ("AMF").