

## Complaint Settlement

National Bank Financial - Wealth Management offers a wide range of products and services. It is therefore important for us to ensure that you can easily contact us with any questions or comments regarding them.

Your satisfaction is important. If your experience did not meet your expectations, we would appreciate your feedback. We have implemented a simple process to handle your feedback, concerns, or complaints. This process is based on listening to and understanding your concerns.

### Contact us

Many situations can be clarified by [contacting your wealth management advisory team](#). They are committed to responding to you as quickly as possible.

### How to file a complaint

If we're unable to provide you with a satisfactory response, you can file a complaint by contacting the department responsible at the following coordinates:

#### National Bank Financial

Legal Affairs

Client Relationship and Complaints

Advisory Services

1155 Metcalfe Street, 4th Floor

Montreal, Quebec, H3B 4S9

Phone:

[514-879-2222](tel:514-879-2222) (Montreal and surrounding areas)

[1-800-361-8868](tel:1-800-361-8868) (Elsewhere in Canada)

Email: [NBFComplaintWealthManagement@nbc.ca](mailto:NBFComplaintWealthManagement@nbc.ca)

To help us better understand your situation, please include the following information with your complaint:

- Your name and contact information;
- Your account number;
- A brief description of the situation (with important dates);
- The resolution you are seeking; and
- Any documents or information that may help us better understand your complaint.

### Next steps:

- Within 5 business days of receiving your complaint, an acknowledgment letter will be sent to you, providing the name and contact information of the person responsible for handling your complaint.
- This person will contact you to discuss your complaint.
- Within a maximum of 60 days following the receipt of your complaint, a final response will be sent to you, explaining the results of the analysis conducted and our conclusion. If additional time is required to process your complaint, you will be informed in writing.
- If a settlement offer is proposed, you will be given time to evaluate the offer and provide your response.

## Other options

If you are not satisfied with the handling of your complaint or the final response provided, other options are available:

- **Canadian Investment Regulatory Organization**  
*Complaints and Inquiries Service*  
 40 Temperance Street, Suite 2600  
 Toronto, Ontario M5H 0B4  
 Toll-free: 877 442-4322  
 Email: [info@ciro.ca](mailto:info@ciro.ca)  
 Website: [www.ciro.ca](http://www.ciro.ca)
- **Ombudsman for Banking Services and Investments**  
 20 Queen Street West, Suite 2400, P.O. Box 8  
 Toronto, Ontario M5H 3R3  
 Toll-free: 888 451-4519  
 TTY Telephone: 844 358-3442  
 Email: [ombudsman@obsi.ca](mailto:ombudsman@obsi.ca)  
 Website: [www.obsi.ca](http://www.obsi.ca)
- **Autorité des marchés financiers (Quebec residents)**  
 800 Square-Victoria Street, Suite 2200, Montreal, Quebec H3C 0B4  
 Place de la Cité, tour PwC, 2640 Laurier boulevard, Suite 400, Québec, Québec G1V 5C1  
 Toll-free: 877 525-0337  
 Email: [plaintes@lautorite.qc.ca](mailto:plaintes@lautorite.qc.ca)  
 Website: [www.lautorite.qc.ca/en](http://www.lautorite.qc.ca/en)
- **Client Complaint Appeal Office**  
 Phone: 888 300-9004 or 514 394-8655  
 Email: [complaintappeal@nbc.ca](mailto:complaintappeal@nbc.ca)  
 Website: [Complaint and dissatisfaction settlement | National Bank](#)