

Client Complaint Procedures

First Financial Securities has an obligation to review all client complaints and will make every effort to provide a timely response to our client concerns. If you, as a client, are not satisfied with how one of our representatives, or the firm, has dealt with you or your accounts, you are asked to contact us with your complaint in writing. Upon receipt of your complaint, First Financial Securities will review the details with those persons involved and determine the nature of the complaint. Once determined, First Financial Securities may contact you for additional information.

If you have a complaint regarding administrative errors, please first speak to your Investment Advisor. If your Investment Advisor is unable to resolve your concerns quickly and to your satisfaction, then you are encouraged to contact the firm's Designated Complaints Officer.

First Financial Securities will respond to your complaint within five business days, in writing, along with the name and contact information on the person investigated regarding your concerns. Upon completion of the complaint investigation, First Financial Securities will respond with a detailed summary, explaining our final decision within 90 days of receiving your written complaint, or an explanation for the delay and expected response time. Information regarding alternative resolution methods will be made available to you if you are not satisfied with our final response.

Submitting a Client Complaint

Service or compliance related complaints can be made, in writing, to the firm's Designated Complaints Officer located below or alternatively to First Financial's head office location.

Designated Complaints Officer:

Ben Pischke / CCO
6309 43rd Street Unit 1
Lllyodminster AB
T9V 2W9

Phone: 780 875-6708
Fax: 780 875-3391
email: bpischke@firstfinancial.bc.ca

Head Office:

Chris Hein / CEO
432 10th Street
Courtenay BC
V9N 1P6

Phone: 250 338-2248
Fax: 250 338-1148
email: hq@firstfinancial.bc.ca

Client Complaint Summary

Client Name: _____

Complaint Summary: _____

Client Signature

Date