



Complaints

RBC Capital Markets (“RBCCM”) aims to continually deliver the highest standard of service to you and we treat any expression of dissatisfaction very seriously.

Should you wish to make a complaint, we will treat you fairly and are committed to investigating all complaints diligently and impartially. Further, we shall seek to resolve any complaints received as soon as possible.

Making a complaint

You may complain to us in any medium, including in person, by telephone, in writing or by email. Any complaints are made free of charge.

Who do I complain to?

Complaints may be addressed to your usual Relationship Manager or an RBCCM Supervisor who will be able to escalate your complaint as appropriate. Alternatively, you may direct your complaint to RBCCM Compliance using the following contact details:

<p>Canada Capital Markets Compliance, Canada RBC Centre 155 Wellington Street West PO Box 150 Toronto, ON M5W 3K7</p> <p>Tel: 416-842-3881 Email: RBCCMCMCompliance@rbccm.com</p>	<p>United State of America Online: https://www.rbc.com/customercare/ Email: (wealth management complaints) disputeresolution@rbc.com</p>
<p>Australia Head of Compliance, Australia Royal Bank of Canada, Sydney Level 47, 2 Park St Sydney NSW 2000</p> <p>Tel: +61 2 9033 3000 Email: compliance.sydney@rbccm.com</p>	<p>Hong Kong Regional Head of Compliance, Asia Pacific 41st and 42nd Floor One Taikoo Place, Tai Koo Place 979 King’s Road Quarry Bay Hong Kong</p> <p>Tel: +852 2842 6681 Fax: +852 2297 3663 Email: simon.wong@rbccm.com</p>
<p>Japan RBC Capital Markets (Japan) Ltd. Compliance 8F, AKASAKA INTERCITY AIR 8-1, 1-chome, Minato-ku, Tokyo 107-0052, Japan</p> <p>Tel : 813-4577-7166 Email: CM-JP-Compliance@rbc.com</p>	<p>United Kingdom Co-Heads of Capital Markets Compliance RBC Capital Markets 100 Bishopsgate London, EC2N 4AA United Kingdom</p> <p>Tel: +44 (0)207 653 4351 / +44 (0)207 029 7775 Email: cmukcomplaints@rbccm.com</p>

<p>France Head of Compliance RBC Capital Markets Réclamations Clients 55, Avenue Hoche 75008 Paris, France</p> <p>Tel: +33.1.42.99.37.10 Email: cmfrcomplaints@rbccm.com</p>	<p>Germany Head of Compliance RBC Capital Markets (Europe) GmbH Taunusanlage 17 60325 Frankfurt am Main Deutschland</p> <p>Tel: +49 (0)69 50 50 80 200 Email: cmeucomplaints@rbccm.com</p>
<p>Netherlands Head of Compliance RBC Capital Markets (Europe) GmbH Amsterdam Branch Regus Office Number 5.14-5.16 World Trade Centre Zuidplein 36 Amsterdam 1077 XV, Netherlands</p> <p>Tel: +31 202 454 501 Email: cmeucomplaints@rbccm.com</p>	<p>Spain Head of Compliance RBC Capital Markets (Europe) GmbH Sucursal en ESPAÑA Servicio de Atención al Cliente Calle Serrano 1, 28001, Madrid España</p> <p>Tel: +49 (0)69 50 50 80 200 Email: cmeucomplaints@rbccm.com</p>

Our complaints handling procedure

RBCCM maintain and operate an internal complaints handling procedure. RBCCM will handle all complaints in line with the applicable regulatory requirements in the jurisdictions in which it operates, including, where appropriate, acknowledging receipt of complaints in writing and providing a written response to the complainant following the investigation of the complaint.

Please contact us if you would like further details regarding these procedures.

Regulators

Clients in a number of regions are also entitled to approach the relevant regulator directly with a complaint. The contact information for these regulators¹ can be found below:

IIROC, Montreal Exchange, Ontario Securities Commission (Canada)

- <https://www.iiroc.ca/investors/makingacomplaint/Pages/default.aspx>
- <https://reg.m-x.ca/en/complaints/form>
- https://www.osc.gov.on.ca/en/contactus_index.htm

FINRA, SEC, CFTC, NFA (United States of America)

Clients within the USA as well as clients of RBC's USA subsidiaries, including RBC Capital Markets, LLC, are entitled to approach the relevant regulator directly to file a complaint:

- <https://www.finra.org/investors/have-problem/file-complaint/complaint-center>
- <https://www.sec.gov/oiea/Complaint.html>
- <https://www.cftc.gov/complaint>
- <https://www.nfa.futures.org/complaintnet/complaint.aspx>

¹ Other provincial or territorial securities regulators can be contacted if applicable.

Australian Financial Complaints Authority (Australia)

If you are an Eligible Complainant (as defined by AFCA), you may fall under the jurisdiction of the Australian Financial Complaints Authority. For more information on the Australian Financial Complaints Authority, please visit their website: [Link](#)

Additionally, they can be contacted via the details below:

Australian Financial Complaints Authority Limited
GPO Box 3
Melbourne VIC 3001

HKMA (Hong Kong)

Additional information on how to approach the HKMA with regards to complaints can be found on their website: [Link](#)

Furthermore, you are entitled to approach the Financial Dispute Resolution Centre should you remain dissatisfied with the resolution of your complaint by RBC: <https://www.fdr.org.hk/>

FINMAC (Japan)

With regard to the settlement of complaints RBC Capital Markets (Japan) Ltd. may utilize the following external institution to settle the complaints in addition to internal measures.

Japan Securities Dealers Association (Outsourced to the FINMAC)
Tel: 0120-64-5005
<http://www.finmac.or.jp/english/>

The Financial Futures Association of Japan (Outsourced to the FINMAC)
Tel: 0120-64-5005
<http://www.finmac.or.jp/english/>

Financial Ombudsman Service (United Kingdom)

If you are an Eligible Complainant (as defined by the FCA), you may fall under the jurisdiction of the Financial Ombudsman Service. For more information on the Financial Ombudsman Service, please visit their website.

Additionally, they can be contacted via the details below:

The Financial Ombudsman Service
Exchange Tower, London E14 9SR, United Kingdom
Tel: 0800 023 4567 or 0300 123 9 123
Fax: +44 (0) 20 7964 1001

Website: www.financial-ombudsman.org.uk
Email: complaint.info@financial-ombudsman.org.uk

AMF Ombudsman Office (France)

If your dispute is eligible for mediation by the Autorité des Marchés Financiers (AMF) Ombudsman's Office they can be contacted in writing or via their website.

Ombudsman
Autorité des Marchés Financiers
17 place de la Bourse
75082 Paris cedex 02
France
Tel: +33 (0) 1 53 45 62 00

Website: www.amf-france.org/en/amf-ombudsman

BaFin Complaints (Germany)

If your dispute is eligible for mediation by BaFin you may also complain in writing to:

Bundesanstalt für Finanzdienstleistungsaufsicht
Graurheindorfer Straße 108
53117 Bonn, Germany

Tel: +49 (0)228 4108-0
Fax: +49 (0)228 4108-1550
E-mail: poststelle@bafin.de

For more information you can visit the BaFin website: [English Link](#) / [German Link](#).

AFM / KiFiD (Netherlands)

If your dispute is eligible for mediation by the Dutch Authority for the Financial Markets (AFM), their complaints procedure is available here: [Link](#)

Should your complaint not be resolved to your satisfaction you may wish to engage the Netherlands Financial Services Complaints Tribunal.

Klachteninstituut Financiële Dienstverlening (Kifid)
Postbus 93257
2509 AG, DEN HAAG
Tel: 070-333 8 999
www.kifid.nl

Banco de España (Spain)

If you wish to make a complaint to the Bank of Spain you may do so in writing addressed to:

Banco de España
Institutions' Conduct Department
C/ Alcalá 48
28014 Madrid

Website: <https://cliente bancario.bde.es>