



CLIENT COMPLAINT PROCESS

To better assist clients in resolving any questions or concerns they may have regarding the operation of their account(s) at FirstEnergy Capital Corp., we ask that the following process be followed to ensure a timely resolution.

Put your question or concern in writing

While we are always open to speaking with our clients regarding their accounts, it is more efficient for us to look into your inquiry if we have a complete understanding of your question or concern. To avoid any potential misunderstandings, we would ask that you put your concerns or questions in writing and send it to the attention of:

Designated Complaints Officer
FirstEnergy Capital Corp.
#1100, 311 – 6th Avenue SW
Calgary, AB T2P 3H2

Provide as much detail as possible

The more information you can provide us regarding your inquiry, the quicker we can review and respond. For instance, if you are inquiring about a bookkeeping entry in your account that appears on your month end statement, please provide:

- a) the date on which the transaction was posted to your account;
- b) a description of the transaction – a verbatim record of the wording would be most helpful; and
- c) what your concern or inquiry is regarding the entry.

You may wish to simply provide us with a copy of the statement highlighting the transaction in question and a written inquiry regarding it. However you choose to communicate with us, the more detail you can provide the better.

Give us time to review your inquiry

The firm will acknowledge receipt of all complaints or inquiries and provide you with a copy of the brochure describing the alternative dispute resolution program available to investors within 5 business days.

We will then review the issue(s) you have raised, and will endeavor to respond as quickly as possible. Depending on the nature of the inquiry, and the period of time involved, we will do our utmost to respond in writing within 90 calendar days, if not sooner. If the review process will not be complete within that time frame, we will undertake to make you aware of our progress, reason for delay and our anticipated completion date, if possible.

Should you wish to inquire as to the status of your complaint at any time during this process, you may contact the Designated Complaints Officer by calling our office at (403) 262-0600.

Evaluate the results of our review

Once we completed our review, we will provide you with a written response to your inquiry which will include:

1. a summary of the complaint;
2. the results of our investigation or review;
3. our final decision on the complaint or inquiry, including our reasons; and
4. a statement making you aware of the options available to you if you are not satisfied with our response, including:
 - a. arbitration;
 - b. filing a complaint with ombudsperson of financial services and investments (within 180 days from the date of our response);
 - c. making a regulatory complaint to the Investment Industry Regulatory Organization of Canada;
 - d. litigation /civil action;
 - e. any other options that may be available to you.

We sincerely hope that you will never need to avail yourself of this process, but if you should have the comfort of knowing we have a mechanism in place for addressing your concerns.

Should you have any questions regarding this process, please do not hesitate to contact the Designated Complaints Officer by calling (403) 262-0600.