

February 2020

# Complaint Resolution Process

Virtu ITG Canada Corp. (“Virtu” or “the Firm”) is a member of the Investment Industry Regulatory Organization of Canada (“IIROC”). Virtu has created an internal process for documenting, handling and resolving complaints in an efficient and expedient manner. This process is designed to meet or exceed legal and regulatory requirements.

Should you have a formal complaint against Virtu, the Firm encourages you to follow the steps outlined below:

## 1. Contact your Virtu Representative

In many instances, complaints may be simple misunderstandings and may be resolved quickly and over the telephone or in person. As a first step, please contact your Virtu Representative if you have questions or concerns about a particular issue.

## 2. Send Your Complaint in Writing to Virtu’s Compliance Department

If the problem you have is not solved to your satisfaction following a discussion with your Virtu Representative, please detail your complaint in writing and send it to Virtu’s Compliance department, at the following address:

Attention: Kuno Tucker, Designated Complaints Officer  
Virtu ITG Canada Corp.  
222 Bay Street, Suite 2600  
Toronto, Ontario  
M5K 1B7

You can also send an e-mail to: [can-compliance@virtu.com](mailto:can-compliance@virtu.com).

Once the Compliance department has your complaint in writing, it will be handled in accordance with the Firm’s complaint resolution process.

An acknowledgement will be sent by the Firm’s Designated Complaints Officer within five (5) business days of receipt of your complaint. This acknowledgement will include a description of the next steps to be taken by Virtu, as well as other information, such as: a designated contact person, complaint reference number, the protocol you should follow once you have formally submitted your complaint, and the expected timelines Virtu will follow in order to process your complaint in a timely manner.

The entire process should take no longer than ninety (90) days before you receive a substantive response letter from the Designated Complaints Officer, which will include the following information:

- A summary of your complaint,
- The results of Virtu’s investigation,
- Virtu’s final decision on the complaint, including an explanation, and
- A statement describing the options available to you should you not be satisfied with the Firm’s response.



### 3. Other Options Available to You

Should your complaint not been resolved to your satisfaction after following the aforementioned process, there are other options available to you, including: escalation to IIROC Enforcement or the Ombudsman for Banking Services<sup>1</sup>, and litigation/civil action or arbitration.

More information can be found in the following brochures, provided by IIROC: *Making a Complaint, A Guide for Investors* and *How Can I Get My Money Back, A Guide for Investors*. Copies of these brochures are available on Virtu's website: <https://www.virtu.com/regulatory-disclosures/>.

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<sup>1</sup> Note that the Ombudsman for Banking Services will consider a client complaint at the earlier of:

- The date the substantive response to the complaint is provided to the client, or
- Ninety (90) days after the receipt of the complaint.