

# Sun Life Financial Investment Services (Canada) Inc. Complaint Handling Procedures

Sun Life Financial Investment Services (Canada) Inc. (SLFISI) has a complaint handling process designed to make sure that our Clients' complaints are handled appropriately.

A summary of our complaint handling procedure is also available on [sunlife.ca](https://www.sunlife.ca).

## The Client Complaint Information Form

Advisors provide each of our new mutual fund Clients with the How to Make a Complaint Brochure and our Complaint Handling Procedures. These documents explain how you can submit a complaint if you're not satisfied with a mutual fund product or service.

## How to File a Complaint with SLFISI

If you want to file a complaint with SLFISI, you may contact the SLFISI head office by calling 1-877-SUN-LIFE (786-5433) or emailing [service@sunlife.com](mailto:service@sunlife.com). You may also contact your advisor or the district manager at your financial centre.

All mutual fund complaints, verbal or written, are assigned for review. Complaints can be service or conduct related. If you have a service complaint, Dealer Operations will complete the review. Conduct concerns will be reviewed by a Compliance Manager.

## Complaint Handling Procedures

We will send you an acknowledgement letter within five business days of receiving your mutual fund complaint. The initial acknowledgement will include the contact information of the person assigned to review the complaint, a copy of the How to Make a Complaint Brochure and this Complaint Handling Procedures document.

We will review our internal records and any documents and statements from you and your advisor. Using this information, we will complete an objective review of your concern.

You'll receive a substantive response (in a letter or email) within 90 days of us receiving your complaint. The response will summarize your concern, our review, and the conclusion reached. It will also remind you that you can:

- Provide further information for consideration.
- Escalate to Client Advocacy.
- Submit your complaint and our response to the Ombudsman for Banking Services and Investments (OBSI) within 180 days from the date you received our response. You can reach the OBSI at 1-888-451-4519, by email at [ombudsman@obsi.ca](mailto:ombudsman@obsi.ca) or in writing using the complaint form available on their website at [obsi.ca](https://www.obsi.ca).
- Submit your complaint to the Canadian Investment Regulatory Organization (CIRO). You can reach them at 1-877-442-4322, by email at [info@ciro.ca](mailto:info@ciro.ca) or in writing using the complaint form available on the CIRO website at [ciro.ca](https://www.ciro.ca).

We'd like to let you know that each province and territory has a time limit for taking legal action.

## Settlements

If a financial settlement is offered, SLFISI may ask you to sign a release and waiver for legal reasons.

## Contacting SLFISI

You may contact SLFISI to provide further information or to ask about the status of your complaint. The person assigned to your concern will be happy to help, or you can email [service@sunlife.com](mailto:service@sunlife.com).



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