



QUEBEC COMPLAINT PROCESSING AND DISPUTE RESOLUTION

The purpose of this policy is to ensure a fair and free examination of complaints by current or potential Quebec clients, as well as to provide oversight for the receipt of such complaint and to set forth the below procedures to handle and remedy such complaint.

What is a Complaint?

River Road categorizes a “complaint” to be a communication from a Quebec client that is a material reproach against River Road, the identification of material real or potential harm that a Quebec client or potential Quebec client has sustained or may sustain, and/or a request for material remedial action from a Quebec client.

Contact Information of Person in Charge

Any such complaint may be directed to:

Thomas D. Mueller

Chief Compliance Officer

462 South 4th Street

Suite 2000

Louisville, KY, USA 40202

Email: ramcompliance@riverroadam.com,

Phone: (502) 371-4100

Process

Once River Road has received a complaint (as defined above) verbally or in writing (if verbally, River Road will put the complaint in writing for documentation purposes), River Road will create a new record of such complaint, which will include all documents relating to the complaint.

Within 10 days after creating new a complaint record, River Road will send an acknowledgement of receipt and notice to the complainant as detailed below or with such details as otherwise required by the applicable regulation.

The acknowledgement shall include:

- the date of the complaint
- the person in charge of examining complaints
- the time required for examining the complaint

The notice should include:

- If still not satisfied with the outcome or with the examination of the complaint, the complainant may at any time, ask you to transfer the complaint file to the AMF
- Following the transfer, the AMF will examine the file and, if deemed appropriate, may offer dispute resolution services
- The filing of a complaint with the AMF does not interrupt the prescriptive period for civil remedies

If a complainant decides to request River Road to forward the complaint file to the AMF, River Road is required to do so immediately.

Other

This policy shall be made publicly available on River Road’s website and disseminated by any appropriate means to reach the clientele concerned.