

Our Complaint Handling Procedures

Wolverton Securities Ltd. makes every effort to provide the best possible service to all its clients. Nevertheless, we recognize that from time to time some clients may have reasonable concerns which need to be resolved fairly, objectively and on a timely basis. As such, if you are dissatisfied with how our firm, or one of our representatives, has dealt with you, we encourage you to contact us with your complaint. We are committed to reviewing your complaint carefully, and after considering the facts of the case if we determine we are at fault, we will deal with you fairly and honestly in an effort to resolve the outstanding issue in a mutually acceptable manner.

Contact Us With Any Complaint

To expedite a resolution to your complaint, begin by considering the nature of your complaint. If you have a complaint related to a service or administrative error, first speak with your Investment Advisor to see if it can be resolved quickly and easily. If your Investment Advisor is unable to resolve your concern to your satisfaction, then you should contact the Branch Supervisor in the province where you are located as follows:

Wolverton Securities Ltd.	Wolverton Securities Ltd.	Wolverton Securities Ltd.
777 Dunsmuir St., 17 th Floor	24 Hazelton Avenue	21st Floor
Vancouver, BC	Toronto, Ontario	335 8th Avenue SW
V7Y 1J5	M5R 2E2	Calgary, AB, T2P 1C9
Tel: 604-622-1000	Tel: 416-515-0505	Tel: 403-263-8800
Fax: 604-662-5205	Fax: 416-515-8895	Fax: 403-269-8881
Email: complaints@wolverton.ca	Email: complaints@wolverton.ca	Email: complaints@wolverton.ca

Alternatively, if your concern is regarding an allegation of misconduct by any Wolverton employee, including your Investment Advisor, you should immediately contact the firm's Designated Complaints Officer:

Anita Welke, Chief Compliance Officer

Wolverton Securities Ltd.
777 Dunsmuir St., 17th Floor
Vancouver, BC, V7Y 1J5

Tel: 604-605-6336
Fax: 604-605-6322
Email: anitaw@wolverton.ca

Submitting a Complaint

You may always contact us verbally with any complaint. We will complete a preliminary review and endeavor to resolve your concerns immediately. In the event we are unable to resolve your verbal complaint immediately, we will acknowledge your complaint in writing, and will request that you document and submit the complaint in writing, providing us with clarification on any unclear aspect of your complaint or missing information.

How Will We Deal with your Complaint?

- a) **Service Related Complaints** will generally be resolved quickly. We may respond to them either verbally or in writing.
- b) **Compliance Related Complaints** will be:
 - i) acknowledged in writing within five (5) business days along with the name and contact information of the person who will be completing our investigation of this matter. Incorporated in our initial response will be information regarding various complaint resolution alternatives in the event you are dissatisfied with our final response including arbitration, the Ombudsmen for Banking Services and Investments (OBSI), or filing a complaint with the Investment Industry Regulatory Organization of Canada (IIROC);
 - ii) thoroughly investigated with all requisite regulatory reports submitted, and;
 - iii) responded to with a detailed written response within 90 days of receiving your written complaint providing you with a summary of your complaint, the results of our investigation, our decision including the reasons for our decision, and a reminder of the alternative dispute resolution methods available to you.

If you wish to enquire about the status of your complaint, or have additional information we should be aware of regarding this matter, you may always contact the individual who is responsible for investigating your complaint. In the unlikely event we are unable to respond to your complaint within 90 days, we will advise you as soon as possible and provide you with an estimated completion date.