



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 if we determine we are at fault after considering the facts, we will deal with you fairly and honestly in an effort to resolve the outstanding issues in a mutually acceptable manner.

Contact Us with Any Complaint

To expedite a resolution of 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 Location Supervisor in the province where your Investment Advisor is located as follows:

Location Supervisor Wolverton Securities Ltd. 17 th Floor, 777 Dunsmuir St. Vancouver, BC, V7Y 1J5 604.622.1000 (tel.) 604.662.5205 (fax) complaints@wolverton.ca	Location Supervisor Wolverton Securities Ltd. 21 st Floor, 335 - 8th Ave. SW Calgary, AB, T2P 1C9 403.263.8800 (tel.) 403.269.8881 (fax) complaints@wolverton.ca
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Alternatively, if your concern is regarding an allegation of misconduct by any Wolverton representative, including your Investment Advisor, relating to the handling of your account(s) or your dealings with our firm, then you should immediately contact our firm's Designated Complaints Officer as follows:

Chief Compliance Officer
Wolverton Securities Ltd.
17th Floor, 777 Dunsmuir St.
Vancouver, BC, V7Y 1J5
604.622.1000 (tel.)
604.662.5205 (fax)
complaints@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. If we are unable to resolve your verbal complaint immediately, then we will request that

you submit the complaint to us in writing, including sufficient details so that we can understand, assess and respond appropriately to your concerns. We may also request clarifications or additional information that we reasonably need from you. All complaints made to us in writing will receive a written response from us.

Additional Steps We Take for Retail Customers

We will assist those who need assistance in submitting a complaint to us, including as to whether the complaint relates to service or misconduct.

Service Related Complaints will generally be resolved quickly. We will respond to them either verbally or in writing, as appropriate depending on the circumstances.

Complaints Alleging Misconduct that are recorded, or are verbal and based on our preliminary investigation may have merit, will be:

- acknowledged in writing within five 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);
- thoroughly investigated with all requisite regulatory reports submitted; and
- responded to, within 90 days of our receiving your complaint, with a detailed written response that is fair, clear and not misleading and includes 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. In the unlikely event that 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.

Status Inquiry or Provide Additional Information

If you wish to inquire about the status of your complaint or you have additional information that you would like to bring to our attention regarding your complaint, please contact the individual who is responsible for responding to or investigating your complaint.