



LEEDE FINANCIAL MARKETS INC.

Complaint Handling

From time to time, a concern or complaint may arise in the handling of your account or your relationship with your Investment Advisor. When this occurs, Leede is committed to providing you with a prompt and fair resolution to the issues raised.

If the nature of your complaint is service or administrative related, such as late statements or incorrect interest charges, you may wish to first try resolving the problem by speaking to your Investment Advisor. Many service and administrative related complaints are quickly and easily resolved in this manner.

If you are unable or unwilling to contact your Investment Advisor, we encourage you to contact the Branch Manager of your office as follows:

Calgary

Brian Bergen
777 – 8th Avenue SW, Suite 2300
Calgary, AB T2P 3R5
Tel: 403-531-6800
Fax: 403-531-6916

Vancouver

Larry Martin
1140 W. Pender Street, Suite 1800
Vancouver, BC V6E 4G1
Tel: 604-658-3000
Fax: 604-658-3099

Kamloops

Cathy Vinterlik
301 Victoria Street, Suite 340
Kamloops, BC V2C 2A3
Tel: 250-374-3150
Fax: 250-374-3170

If the nature of your complaint is more serious, or alleges misconduct, you should contact Leede's Designated Complaints Officer. While you may wish to make the initial contact by phone, we strongly encourage you to put complaints of this nature in writing. Some examples of misconduct would be theft, fraud, misappropriation or misuse of funds or securities, forgery, unauthorized trading, breach of confidentiality, unsuitable investments, misrepresentation or other inappropriate financial dealings with clients.

The Designated Complaints Officer for Leede is:

Noah Dodek, Sr. Vice-President & Chief Compliance Officer
1140 W. Pender Street, Suite 1800
Vancouver, BC V6E 4G1
Tel: 604-658-3265 Fax: 604-408-3449
Email: ndodek@leedefinancial.com

Regardless of whether you decide to make your complaint verbally or in writing, Leede will conduct a preliminary investigation of your complaint, unless it can be immediately resolved. As well, we will formally acknowledge your complaint in writing within 5 business days of receiving the complaint, and we will provide you with the name of the person who will be handling your complaint, and with a copy of the brochure "An Investor's Guide to Making a Complaint". If you wish an update on the status of your complaint, you may contact the person handling the complaint.

Once Leede completes its investigation of the complaint, we will send you a written response summarizing our understanding of your complaint, the results of our investigation and any recommendations for resolution along with the reason for those recommendations. We will also provide you with a summary of the options available to you in the event that you are not satisfied with Leede's proposed resolution.