

Brant Securities Limited
Complaint Handling Procedures

- 1) Complaint must be directed to our Designated Complaints Officer (DCO) – Hervé Guibert (416) 596-4595 or herve@brantsec.com or Suite 300, 220 Bay Street, Toronto, Ontario M5J 2W4.
- 2) The DCO will send you an acknowledgement letter within five business days of receipt of your complaint. In this acknowledgement letter, the DCO may request additional information in order to investigate your complaint. The DCO will also send you a brochure entitled “An Investor’s Guide to Making a Complaint”
- 3) The DCO will provide you with a substantive response within (90) calendar days of receipt of your complaint. If the DCO is unable to respond to your complaint within the above time frame, he will provide you with a written explanation.

In his final decision letter, the DCO will provide you with a summary of your complaint: the results of his investigation, an explanation of his final decision, and the other options you may have for seeking compensation, if you are not satisfied with his response.

- 4) If you are dissatisfied with Brant’s final response you have received, you may contact the following organizations:

Investment Industry Regulatory Organization of Canada (IIROC) at
1-877-442-4322.

Ombudsman for Banking Services and Investment (OBSI) at 1-888-451-4519.

Or you may choose to go to Arbitration or pursue legal action.