



BRANT SECURITIES LIMITED
Established 1919



Brant Securities Ltd. Complaint Handling Policy

Brant Securities Ltd. (Brant) participates in a thorough process when reviewing a complaint. Brant adheres to required regulatory complaint handling procedures when assessing written or verbal client complaints. Brant is committed to dealing with verbal and/or written complaints fairly and in a timely manner.

Each new client of Brant receives a copy of our complaint handling procedures at the time of account opening which is also available on our website at www.brantsec.com.

Due to reasons of confidentiality, Brant will only correspond with the complainant and/or an individual to whom the complainant has provided Brant with written signed authorization to share private information. At times, Brant may request additional information from the complainant when evaluating the complaint.

Brant has appointed the President as the Designated Complaints Officer. Concerns, requests for additional information, and/or documentation in support of a complaint can be submitted to the Designated Complaints Officer at:

Brant Securities Ltd.
Attn: Designated Complaints Officer
220 Bay St., Suite 300
Toronto, Ontario, M5J 2W4
Phone: (416) 596-4596
Fax: (416) 596-4546
Email: keith@brantsec.com

Within 5 business days, complainants will receive an acknowledgement letter. The acknowledgement letter will include the contact information for the Complaints Officer assigned to review and assess the complaint. Included with the acknowledgement letter will be a copy of the IIROC brochures "Making a Complaint: A Guide for Investors" and "How Can I Get My Money Back? A Guide for Investors"; which can also be reviewed at:

<http://www.iiroc.ca/investors/makingacomplaint/Pages/default.aspx>

These brochures provide guidance on statute and/or limitation periods and outline the options available to complainants should they wish to pursue the matter beyond Brant Securities Ltd., which include the Investment Industry Regulatory Organization of Canada (IIROC), the Ombudsman for Banking Services (OBSI), independent arbitration, or legal action.

Within 90 calendar days, complainants will be provided a written substantive response from Brant; which will include: a summary of the complaint, results of our investigation, subsequent final decision, and additional options available to complainants should they not be satisfied with the firm's response.



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Should Brant require additional time outside of the 90 calendar day period, Brant will write to complainants outlining the reasons for the additional time required and a new estimated time of completion.