



# VERSANT PARTNERS

## COMPLAINT-HANDLING PROCEDURE

To ensure that Versant Partners Inc. provides clients with a fair and timely resolution to their concerns, the following document outlines client complaint-handling policies and procedures.

A “complaint” is deemed to include an alleged grievance involving Versant Partners Inc. in the form of:

- (a) any written statement, including electronic communications, of a client, or any person acting on behalf of a client, or of a prospective client involving matters that occurred while the Financial Advisor was a Registrant Versant Partners Inc. ;
- (b) any written or verbal statement from any person alleging but not limited to:
  - i. theft, fraud, misappropriation of funds or securities, forgery, money laundering, market manipulation, insider trading, misrepresentation, breach of confidentiality, or unauthorized trading;
  - ii. securities related business outside of Versant Partners Inc.;
  - iii. an undeclared occupation outside of Versant Partners Inc.;
  - iv. personal financial dealings with a client;
- (c) any other verbal statement of grievance from a client for which the nature and severity of the client’s allegations will warrant, in the professional judgment of Versant Partners’ supervisory staff handling the complaint, the same treatment as a written complaint.

## HOW TO SUBMIT A COMPLAINT

Written complaints should be sent by email, post or fax to:

**Christiane Gazaille Chief Compliance Officer and Complaints Officer**  
1100 boul. René-Levesque Ouest  
Montreal, Quebec  
H3B 4B4

**Tel : (514) 845-8111**

**Fax : (514) 845-0200**

**Toll Free : 1-800-465-5616**

**cgazaille@versantpartners.com**

## WHAT TO INCLUDE IN A COMPLAINT

The complaint does not need to follow a specific format. However, please provide the following details:

- Your name, address and other contact information such as phone and fax numbers, cell phone and email address.
- If you are representing a complainant, please provide contact information for yourself and the person or group of persons you are representing.
- A description of the nature of the complaint
- Background information on your complaint, including a chronology of events, and the steps you may already have taken in an attempt to resolve the issue or raise your concerns.

## ACKNOWLEDGING RECEIPT

Within five (5) days of receiving your complaint, Versant Partners's Compliance Department will send an acknowledgement letter by mail confirming the name and contact information of the individual handling your file. We will also enclose the IIROC brochure entitled "An Investor's Guide to Making a Complaint" for your reference. You can also refer to the brochure by selecting the link below:

<http://www.iiroc.ca/English/MemberResources/Brochures/Pages/InvestorProtection.aspx>

## APPRAISING A COMPLAINT

Versant Partners's Compliance Department will review your complaint and the circumstances surrounding it. In conducting our review, we may contact you or your authorized representative should more information be required to resolve the complaint. The review and assessment stage may be completed promptly, or may require further in-depth analysis.

Within 90 days, you will receive in writing our substantive response to your complaint. If additional time is required to review your complaint, we will acknowledge this in writing and convey to you the expected completion date of our review.

The substantive response letter will include an outline of your complaint, Versant Partners Compliance Department's decision on the complaint and the reason for our decision. "We remind you that there are options available to you if you are not satisfied with our response, including

(i) arbitration; (ii) presenting your complaint to the Ombudsman for Banking Services and Investments which will consider complaints brought to it within 6 months of this letter; (iii) making a complaint to the Investment Industry Regulatory Organization of Canada ("IIROC") or (iv) retaining a lawyer to assist you with your complaint

If you are a Québec resident and you are dissatisfied with our examination of your complaint or outcome, you may request that your complaint file be transferred to the l'Autorité des marchés financiers ("AMF"). It should be noted that you must wait for our final decision or the expiry of the 90 day time limit, but this request must be submitted no later than one year after we have provided our substantive response. Following the transfer of your complaint to the AMF, they may proceed with their investigation.