

Stephen Avenue Securities Inc.

Complaint Handling Procedures

If you have a complaint regarding misconduct on the part of any employee of Stephen Avenue we ask that you make a written complaint to our Designated Complaints Officer (“DCO”) at the address below. You may also make a verbal complaint. We will send you an acknowledgement within 5 days of receiving your complaint. Within 90 days we will send you a substantive response letter outlining Stephen Avenue’s response to your complaint. In some circumstances we may take longer than 90 days to respond in which case we will advise you of the delay, the reasons why and a new expected response date.

You may contact the DCO at any time during this process to get an update on the status of your complaint. Contact the Chief Compliance Officer at: Stephen Avenue Securities Inc., Suite 402, 217 Queen Street West, Toronto, ON, M5V 0R2, Telephone: (416)470-4471.