

## EEI COMPLAINT HANDLING

EEI is committed to providing a very high level of service that you have come to expect from us, including the prompt and fair resolution of any concern or complaint you may have about the handling of your account.

Service-related or administrative concerns should first be discussed with your Investment Advisor to determine if it can be resolved quickly and satisfactorily. We may respond to your service related complaint either verbally or in writing.

If you have a complaint about the handling of your account by an employee of Emerging Equities Inc. ("EEI"), we request that you submit the full details of your complaint in writing to the following address:

Emerging Equities Inc.  
Attention: Designated Complaints Officer  
Suite 269, 255 – 5 Avenue SW  
Calgary, Alberta T2P 3G6  
Ph: (403) 216-8200 / Toll Free: (888) 987-8200

Generally, a complaint is defined as: allegations of a breach of confidentiality, theft, fraud, misappropriation or misuse of funds or securities, forgery, unsuitable investments, misrepresentation, unauthorized trading relating to the client's account(s), other inappropriate financial dealings with clients and engaging in securities related activities outside of EEI.

Within five (5) business days of EEI's receipt of your complaint, EEI will acknowledge in writing that we have received and have begun to investigate your complaint. In addition, EEI will also provide you with a copy of the Investment Industry Regulatory Organization of Canada's ("IIROC") "An Investor's Guide to Making a Complaint" brochure outlining the options available to you should the resolution of your complaint be considered by you to be unsatisfactory. You also received this brochure at the time you opened your account with EEI.

When EEI begins investigating your complaint, we may need to contact you to clarify the nature of the complaint and obtain as much information as we can to help us make an informed decision on the merits of your complaint. As a member of IIROC, EEI is obliged to conduct a thorough investigation and provide you with a final response within 90 days of the receipt of your complaint. If we are unable to complete our investigation within the required 90 day time frame, we will advise you of that fact in writing and will provide an explanation for the delay.

Upon completion of our investigation, EEI will send you a detailed response letter summarizing our understanding of your complaint and the conclusion that has been reached. We will also provide you a thorough explanation of why we have come to that conclusion and also provide you with a list of your options should you find our conclusion unsatisfactory. These options include arbitration, submitting a complaint to the ombudsperson service, or submitting a regulatory complaint to IIROC for their assessment.

Should you have any questions regarding this process, please do not hesitate to contact the Designated Complaints Officer by calling (403) 216-8200.

### Notification of Changes

This Complaint Handling process document may be updated from time to time and, if so, the most current version will be posted on our website.