

## **Woodstone Capital Inc.'s Client Complaint Resolution Policy**

### **A Summary For New Clients And Clients Who Have Filed A Complaint**

The Woodstone Capital Inc. ("Woodstone") Client Complaint Resolution procedures are designed to ensure that every client complaint received is handled fairly and in a timely manner.

- Who may submit a complaint: Any client or person with written authorized to act on behalf of a client
- In what form: A complaint may be submitted in writing or verbally.  
Woodstone will request that any verbal complaints be filed in writing as well.
- To whom: Mahmood Ahamed, Designated Complaints Officer ("DCO")  
Suite 310 - 601 West Cordova St., Vancouver, BC V6B 1G1  
Tel (604) 605 8304 Fax (604) 605 8312  
Toll free 1888 388 3885 (Can & US)  
mahamed@woodstonecapital.com
- Our 1<sup>st</sup> response: Within 5 (five) business days of receiving a complaint,  
Woodstone will send a copy of "An Investor's Guide to Making a Complaint"  
and an acknowledgement letter providing detailed information about the process  
and contact details for the person at Woodstone in charge of the complaint.
- Our assessment process: Within 5 (five) business days of receiving a complaint, Woodstone will conduct a  
fair and thorough investigation using the information provided in writing, all  
available documentation on hand at Woodstone, and information obtained from  
Woodstone personnel involved in the matter. The merits of the complaint will be  
assessed and any additional information necessary will be requested.
- Final response: Within 90 days of receiving a complaint, Woodstone will reach a conclusion and  
send a summary letter together with another copy of "An Investor's Guide to  
Making a Complaint," The summary letter will include a summary of the  
complaint, results of the investigation, Woodstone's final decision on the  
complaint and an explanation. The letter will also include details regarding the  
options available to any client that is not satisfied with Woodstone's response. If  
Woodstone needs longer than 90 days to reach a fair conclusion it will notify the  
client in writing as to the reason for the delay and the expected conclusion date.

Woodstone takes its client concerns seriously and is committed to fairly resolving each client complaint it receives.

**Woodstone Capital Inc.** is a member of the Investment Industry Regulatory Organization of Canada (IIROC) as well as a member of the Canadian Investor Protection Fund (CIPF).