

WHAT YOU SHOULD KNOW ABOUT WORLDSOURCE & ITS HANDLING OF COMPLAINTS

Worldsource's complaint handling procedures allow clients who allege they were victims of misconduct relating to the handling of their account(s) to appeal to an impartial review and investigation service for dispute settlements and obtain a response within a clearly defined time limit.

Alleged misconduct includes, but is not limited to, allegations of breach of confidentiality, theft, fraud, misappropriation or misuse of funds or securities, forgery, unsuitable investments, misrepresentation, unauthorized trading relating to the Account, other inappropriate financial dealings with clients and engaging in securities related activities outside of Worldsource. For dissatisfaction concerning customer service, please contact your Investment Advisor or Worldsource, contact information appears on your portfolio statement.

Worldsource has a Designated Complaints Officer ("DCO") who acts in a supervisory capacity over Worldsource's complaints process and may at times be actively involved in the investigation of complaints. Complaints are handled by qualified staff of Worldsource's Compliance department and not by individuals that are the subject of a complaint.

FILING A COMPLAINT WITH WORLDSOURCE

Complaints may be filed in writing to the following address:

Designated Complaints Officer
Compliance Department
Worldsource Securities Inc.
625 Cochrane Drive, Suite 700
Markham, Ontario L3R 9R9
Fax: 905.415.1812
Email:

complaints@worldsourcecurities.com

We recommend that your written complaint includes details of the grievance, a description of the alleged prejudice, and the requested corrective measure.

If you are unable to write your complaint, particularly if you are handicapped in any way, a senior with special needs or a language or literacy issue is involved, Worldsource may assist. To request assistance, please contact your Advisor or the DCO (the phone number is Tel: 1.866.740.7277).

Only complaints submitted by the Client or a person authorized to act on behalf of the Client will be reviewed and investigated.

Acceptable forms of documentation for establishing a person's authority to act on behalf of the Client includes a written authorization signed by the Client, or formal legal documents, such as powers of attorney or court appointments.

STEPS FOLLOWING RECEIPT OF A COMPLAINT

- Appointment of an individual to your file.
- Acknowledgement of receipt sent to the complainant within five (5) business days.
- The person responsible for your file proceeds with his/her review and conducts an investigation. His/her contact information is available on the acknowledgement of receipt.
- A detailed response to the complaint is sent by mail as soon as possible and no later than ninety (90) calendar days following receipt of the complaint. The answer includes a summary of the complaint, the results of the investigation, the final decision with an explanation and the other options available for you in case you are unsatisfied with the decision.
- The letter also provides you with other options for seeking compensation, if you are not satisfied with the response. These options are detailed in the IIROC brochure entitled "Makin a Complaint – A Guide for Investors" and "How Can I get My Money Back?", given along with the letter.
- A resident of Quebec who is not happy with the outcome, make request that Worldsource sends a copy of their complaint file to the Autorité des marchés financiers.
- In the event that the Compliance department is not able to provide you with a final response within the 90-day period, you will be contacted within the timeframe to inform you of the reasons for the delay and the new expected response time.