

Client Complaint Handling Process (Non-Quebec Client)

Have a concern? Here's how Genus can help.

At Genus, we are committed to client service excellence, and it is important that we hear your concerns. To help us resolve your concerns, please follow our complaints handling process.

Filing a complaint with us

If you have a complaint about our service or a product, contact us at:

Attention: Freddie Yeo, CCO
Email: fyeo@genuscap.com
Address: Genus Capital Management Inc.
860 – 980 Howe Street
Vancouver, BC V6Z 0C8

You may want to consider using a method other than email for sensitive information.

We will acknowledge your complaint

We will acknowledge your complaint in writing, as soon as possible, typically within 5 business days of receiving your complaint. We may ask you to provide clarification or more information to help us resolve your complaint.

We will provide our decision

We normally provide our decision in writing, within 90 days of receiving a complaint.

It will include:

- A summary of the complaint
- The result of our investigation
- Our decision to make an offer to resolve the complaint or deny it, and an explanation of our decision

If our decision is delayed

If we cannot provide you with our decision within 90 days, we will:

- Inform you of the delay
- Explain why our decision is delayed, and
- Give you a new date for our decision

If you feel your concern requires a further independent review, you can contact the Ombudsman for Banking Services and Investments (OBSI).

If you are resident outside of Québec you may be eligible for OBSI's dispute resolution service. If you are a Québec resident you may consider the free mediation service offered by the Autorité des marchés financiers.

You may be eligible for OBSI's free and independent dispute resolution service if:

- We do not provide our decision within 90 days after you made your complaint, or
- You are not satisfied with our decision

OBSI can recommend compensation of up to \$350,000

OBSI's service is available to clients of our firm. This does not restrict your ability to take a complaint to a dispute resolution service of your choosing at your own expense, or to bring an action in court. Keep in mind there are time limits for taking legal action.

Who can use OBSI

You have a right to use OBSI's service if:

- Your complaint relates to a trading or advising activity of our firm or by one of our representatives
- You brought your complaint to us within 6 years from the time you first knew, or ought to have known, about the event that caused the complaint, and
- You file your complaint with OBSI according to its time limits below

Time limits apply

- If we do not provide you with our decision within 90 days, you can take your complaint to OBSI any time after the 90-day period has ended.
- If you are not satisfied with our decision, you have up to 180 days after we provide you with our decision to take your complaint to OBSI

Filing a complaint with OBSI

Mail:

Ombudsman for Banking Services and Investments (OBSI)
401 Bay Street, Suite 1505
P.O. Box 5
Toronto, ON M5H 2Y4
CANADA

Tel: 416-287-2877 or 1-888-451-4519 (from outside the greater Toronto area)

TTY Telephone: 1-855-TTY-OBSI (1-855-889-6274)

Fax: 416-225-4722 or 1-888-422-2865

E-mail: ombudsman@obsi.ca

OBSI will investigate

OBSI works confidentially and in an informal manner. It is not like going to court, and you do not need a lawyer.

During its investigation, OBSI may interview you and representatives of our firm. We are required to cooperate in OBSI's investigations.

OBSI will provide its recommendations

Once OBSI has completed its investigation, it will provide its recommendation to you and us. OBSI's recommendations are not binding on you or us.

OBSI can recommend compensation of up to \$350,000. If your claim is higher, you will have to agree to that limit on any compensation you seek through OBSI. If you want to recover more than \$350,000, you may want to consider another option, such as legal action, to resolve your complaint.

For more information about OBSI, visit www.obsi.ca