



Complaint Process

Filing a complaint with us

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

Regulus Capital Management Inc. Suite 1870, 5160 Yonge Street, Toronto, Ontario, Canada, M2N 6L9 Attn: Chief Compliance Officer

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

In filing a complaint, you are expected to advise us what went wrong, when it happened and what your expectations are. Regulus will acknowledge receipt of a complaint formally within 10 days of its receipt, and immediately verbally. As soon as practically possible within 90 days of receiving a complaint, Regulus will provide a written assessment detailing the results of an independent investigation, how we have or s to remedy the situation (or confirmation of no issue) and an explanation of our position and decision. If not satisfied, you have the ability to seek independent dispute resolution services from the OBSI or from the Autorité des Marchés Financiers if residing in Quebec.

Ombudsman for Banking Services and Investments (OBSI)

Alternatively, you are able to direct your complaint to the Ombudsman for Banking Services and Investments (OBSI) www.obsi.ca, by email at ombudsman@obsi.ca, by phone at 1-888-451-4519 or 416-287-2877 in Toronto. OBSI works confidentially and in an informal manner. OBSI's recommendations are not binding on you or us. OBSI can recommend compensation of up to \$350,000. If you agree to their recommendation, you agree to that limit. OBSI services are available within 6 years from the time you first knew, or ought to have known, about an event causing the complaint. You may only file with OBSI following the expiry of 90 days from the time the complaint was first raised with Regulus directly and within 180 days following Regulus's response to your complaint.

If you want to recover more than \$350,000, you may want to consider alternatives to resolve your complaint. You have the option to use your own resolution service at your own expense.