

**Rocklinc Investment Partners Inc.****Complaints Process and Independent Dispute Resolution Policy Summary***For Quebec residents only***WHAT TO DO IF YOU HAVE A COMPLAINT***Our complaint process (for Quebec residents)*

With respect to any client complaint from a resident in Quebec, we will comply with sections 168.1.1 to 168.1.8 of the Securities Act (Quebec). For these purposes, a complaint means any reproach or dissatisfaction that relates to a service or product offered by us where the reproach or dissatisfaction is communicated by a client and a final response is expected.

**Filing a complaint with us**

If you have a complaint about our services or a product, we will receive, analyze and respond to your complaint, free of charge.

You may contact us at:

Rocklinc Investment Partners Inc.  
4200 South Service Road, Suite 102  
Burlington, Ontario L7L 4X5  
Attention: Jonathan Wellum, Chief Compliance Officer  
email: [jwellum@rocklinc.com](mailto:jwellum@rocklinc.com)  
tel: (905) 631-5462 Ext. 2

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

**Tell us:**

- what went wrong
- when it happened
- what you expect (e.g. compensation, an apology, an account correction)

**Help us resolve your complaint sooner**

- Make your complaint as soon as possible.
- Reply promptly if we ask you for more information.
- Keep copies of all relevant documents, such as letters, emails and notes of conversations with us.

You may also file your complaint using the following form provided by the autorité des marchés financiers (the “AMF”), which is available on their website:

[https://lautorite.qc.ca/fileadmin/lautorite/formulaires/grand-public/GP-plainte\\_formulaire-plainte-an.pdf](https://lautorite.qc.ca/fileadmin/lautorite/formulaires/grand-public/GP-plainte_formulaire-plainte-an.pdf)

You have a right to request assistance from us in filing your complaint, if needed.

**We will acknowledge your complaint**

We will acknowledge your complaint in writing, as soon as possible, typically within 10 days of receiving your complaint.

This written acknowledgement will include:

(1) the complaint record identification number; (2) the date on which the complaint was received (3) a description of the complaint (4) the name and contact of the Complaints Officer (5) the expected timeframe for processing the complaint and the date before which the final response must be provided to you; and (5) a hypertext link providing access to the

**A word about legal advice**

You always have the right to go to a lawyer or seek other ways of resolving your dispute at any time. A lawyer can advise you of your options. There are time limits for taking legal action. Delays could limit your options and legal rights later on.

summary of the complaint processing and dispute resolution policy, or a copy of such summary.

We may ask you to provide clarification or more information to help us resolve your complaint.

### **We will maintain a complaints file**

The contents of a complaints file will include:

(1) the complaint; (2) a copy of the acknowledgement of receipt sent to the complainant; (3) any document or information used in analyzing the complaint; (4) a copy of any document or information sent or provided to the complainant; (5) a copy of the written notice sent to the complainant; (6) a copy of the final response provided to the complainant, if applicable; and (7) any exchanges, or a summary of the exchanges, with the complainant, including additional information provided by the complainant after the we have rendered our final decision. The complaint record will be kept for the same retention period as for any information relating to the complainant.

### **Taking your complaint to the AMF**

At any point in time, you may request that we forward a copy of your complaint file to the AMF, which will examine your complaint and may, if it considers it appropriate, act as a mediator if both you and we agree. If you request us to forward your complaint to the AMF, we will do so within 15 days of receipt of this request.

### **We will provide our decision**

We intend to provide our decision in writing within 60 days of receiving a complaint; where warranted by exceptional circumstances or circumstances beyond our control, a written response will be provided no later than on the 90th day.

Our decision will include:

- a summary of the complaint
- the results of our investigation
- our decision to make an offer to resolve the complaint or deny it, and an explanation of our decision
- an option to escalate the complaint to the AMF if the resolution proposed by us is not satisfactory to the complainant

### **When a resolution results in an offer or settlement**

Should the proposed resolution result in an offer of settlement which is accepted by you, we will implement it within 30 days following acceptance of the offer, unless an alternative time is agreed upon by you based on your interests.

### **Complaint Reporting Obligations**

Once a year, a declaration is filed with the AMF confirming the number and type of complaints received. A declaration is required even if no complaints were received within the specified period. Individual complaints will be reported to the AMF within a reasonable timeframe after their receipt but before the end of the reporting period.