

Client Complaint Handling Procedures

At Ocean 6 Investment Solutions Inc. ("Ocean 6"), we strive to make your experience with us and our representatives a good one. If, however, an issue arises that you would like to bring to our attention, these are our procedures.

A "complaint" shall be deemed to include any written or verbal statement of grievance, including electronic communications from a client, former client, or any person who is acting on behalf of a client and has written authorization to so act, or of a prospective client who has dealt with Ocean 6 or a representative, alleging a grievance involving Ocean 6, or a current or former representative of Ocean 6, if the grievance involves matters that occurred while the representative was a representative of Ocean 6.

When receiving a complaint, we are obligated to handle the complaint fairly and are required to report it to the Canadian Investment Regulatory Organization ("CIRO") within 5 or 20 days, depending on the nature of the complaint.

When we receive your formal our Chief Compliance Officer ("CCO"), will document the complaint and we will attempt to contact you to resolve the issue. Each step will be recorded in a Complaint Log.

Should your complaint be service related, your representative will attempt to contact you to resolve the issue and they are obliged to advise the CCO of the complaint.

All complaints will be assessed against supporting documentation during an investigation.

When we receive your complaint, we will open a complaints file, where all activity will be initiated and monitored by our CCO.

We will execute the following:

- Prepare a Complaint File;
- Request a written response from the representative, and copies of their client file(s);
- Review the representative's Licensing & Registration file;
- If required, notify regulator(s) (CIRO, Securities Commission);
- Acknowledge all your complaints in writing within 24 hours of receiving your complaint. This acknowledgment letter will state in part that an investigation has been started and that further information will be provided within three weeks. You will also receive a copy of our Client Complaint Handling Procedures and the CIRO's Client Complaint Information Form.
- We will convey the results of our investigation to you in writing as soon as possible. The time may vary depending on the complexity of the matter; however, we will make every effort to provide you with our substantive written response in most cases within three months of receipt of your complaint.
- Inform you if the investigation has not been completed within the allotted time and provide you with an estimated timeline for resolution and a request for patience in the matter.

Settlements

If we offer a financial settlement, we may ask you to sign a release and waiver for legal purposes. For more information regarding the complaint handling process please contact:

Frank Stroud Hurst,

Chief Compliance Officer

E: frank@ocean6.ca