

CLIENT COMPLAINTS PROCESS

At Sora Group, we are committed to responding to your concerns in a timely, helpful and fair fashion. We encourage you to direct your concerns in writing to our Designated Complaints Officer at:

Sora Group Wealth Advisors
Attn: Designated Complaints Officer
590-1333 West Broadway
Vancouver, BC V6H 4C1
T: 604-738-7377

In order to assist you please ensure that your letter contains the following information:

- Your name and contact information;
- The name and contact information of any individual mentioned in your complaint;
- Specific details on how, why and when you encountered issues; and
- All relevant documentation, including any notes of meetings and or discussions.

Within 5 business day of receiving your letter we will send an acknowledgement letter. This letter will contain the following information:

- acknowledge receipt of allegation(s);
- name, title and full contact information of the individual handling complaint;
- a statement indicating that the client may contact the above individual to inquire about the status of the complaint;
- a general timeline for the final substantive response to the complaint;
- a brochure by IIROC entitled "*An Investor's Guide to Making a Complaint*";
- a request for reasonable information required to resolve the complaint

You will be provided with a substantive written response no later than 90 calendar days from the date of receipt of your letter unless inadequate information prevents us from meeting the deadline. This letter will outline a summary of the complaint, the results of the internal investigation and an explanation of our final decision. This letter will also contain other dispute resolution options available to you.

Sora Group is a financial services firm in Canada and a member of the Investment Industry Regulatory Organization of Canada (IIROC). As such you have access to any of the three avenues beyond our internal complaint handling process; (i)IIROC Arbitration Process; (ii) Ombudsman for Banking Services and Investments non-binding dispute resolution service; and (iii) civil litigation in the courts.