



Investment Industry Regulatory Organization of Canada Customer Complaint Form

Please use this form to file a complaint with the Case Assessment Department of the Investment Industry Regulatory Organization of Canada (IIROC). We require a written complaint from the owner of the account(s) in question, indicating the subject of the complaint, the issues involved and specific information regarding times, dates and events. While an individual may file a complaint on behalf of someone else, we require written authorization from the owner of the account in order to proceed with our review of the complaint. A written acknowledgement will be sent within 2 business days after receipt of the complaint and if further information is required a Case Assessment Officer will contact you.

Our role in protecting investors is to investigate complaints of regulatory violations and to impose penalties on those who are found guilty of such violations. All matters brought to the attention of IIROC are not necessarily regulatory violations that result in disciplinary action. IIROC does not provide financial, investment or legal advice.

1. Customer Information

Mr./ Mrs./ Ms. / Miss / Dr. _____
Please Print Name in Full

Address: _____

City: _____ Province: _____ Postal Code: _____

Day Contact Phone Number: () _____ Fax Number: () _____

E-Mail Address: _____

Preferred time to be contacted: _____

2. Registrant/ Member Firm/ Account Information

Name of Firm: _____

Name of Registered Representative: _____

Branch Address: _____

City: _____ Province: _____ Postal Code: _____

Account Number: _____ Account Type: _____

Account Number: _____ Account Type: _____

Account Number: _____ Account Type: _____

3. Does your complaint involve a particular investment?

If yes, please provide the name of the security and applicable date in the space provided below.

Name of Security: _____ Purchase Date: _____

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Name of Security: _____ Purchase Date: _____

4. What documentation are you able to provide regarding your complaint?

Please indicate below, the documentation that you are able to provide in relation to your complaint. Please attach copies of these documents to this form.

- Advertising and/or Marketing Materials
- Canceled Cheques
- Correspondence with Branch Manager
- Correspondence with Registered Representative
- Correspondence with Firm
- Month-end Account Statements
- New Client Application Forms
- Notes/Tape-recordings/Telephone records
- Prospectus/Offering Memorandum
- Subscription Agreement
- Trade Confirmations
- Other _____

5. Contact with Registered Representative, Branch Manager and/or Member Firm

Typically, the first step you can take in resolving your complaint is addressing the matter with the firm. As such, we suggest that you forward your concerns in writing to the firm, prior to lodging a complaint with IIROC.

Have you complained to your registered representative, the branch manager and/ or the member firm regarding your complaint? Yes No

If so, please provide the names of the individuals you have contacted about your complaint:

6. Other Regulatory Contact

Have you contacted your provincial securities commission and/ or another regulatory body about your complaint?

Yes No

Regulator's Name: _____ Date of Contact: _____

Regulator's Name: _____ Date of Contact: _____

7. Other Options

If your complaint is not resolved to your satisfaction by the member firm, you may wish to consider other options. They include the Ombudsman for Banking Services and Investments (OBSI) a free, independent service for clients of IIROC-regulated firms. IIROC has also made arrangements with certain independent arbitration organizations for resolution of disputes between dealer members and clients. IIROC requires dealer members to participate in arbitration proceedings should a client initiate them. If you live in Quebec, you may ask that a copy of your complaint file be transferred to the Autorité des marchés financiers which may then offer a free, voluntary conciliation and mediation service which requires the consent of both the firm and the client.

All other claims for compensation must be pursued through the civil court system.

You are encouraged not to wait to initiate any compensation process until IIROC completes its review of your complaint. These matters can proceed in parallel.

Are you currently participating in the Ombudsman process? Yes No

Are you currently participating in an arbitration process? Yes No

Are you currently pursuing legal action through the civil court system? Yes No

If you live in Quebec, are you participating in the AMF's Conciliation and Mediation process?
 Yes No

8. Your Cooperation

IIROC's Enforcement Department may conduct an investigation of a member firm or a registered employee as a result of your complaint. This may require, but may not be limited to, your cooperation in speaking with Enforcement Department staff and/or providing additional documentation. Please indicate whether you are willing to cooperate with IIROC staff with respect to a regulatory investigation resulting from your complaint.

Will you be available to speak to Enforcement Staff? Yes No

Will you provide additional documentation? Yes No

Are you willing to testify, if required? Yes No

Investment Industry Regulatory Organization of Canada
Suite 2300, 355 4th Avenue S.W.
Calgary, Alberta T2P 0J1
Fax: (403) 234-0861

If you live in Ontario, New Brunswick, Nova Scotia,
P.E.I. or Newfoundland:

Case Assessment Department, Ontario & Atlantic Regions
Investment Industry Regulatory Organization of Canada
Suite 1600, 121 King Street West
Toronto, Ontario M5H 3T9
Fax: (416) 364-2998

If you live in Québec:

Case Assessment Department, Québec Region
Investment Industry Regulatory Organization of Canada
Bureau 1550, 5 Place Ville Marie
Montréal, Québec H3B 2G2
Fax: (514) 878-3860