



Investment Industry Regulatory Organization of Canada Complaint Form

Please use this form to report regulatory misconduct to the Complaints & Inquiries Department of the Investment Industry Regulatory Organization of Canada (IIROC). If you have any questions about this process, please contact our Complaints & Inquiries Department at **1-877-442-4322** or **InvestorInquiries@IIROC.ca**. We require a written submission 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 report an issue on behalf of someone else, we require written authorization from the accountholder. A Complaints & Inquiries Specialist will contact you shortly after receipt of this form to discuss the matters raised and to obtain any additional information we may require.

An important part of our role in protecting investors is to investigate reports 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 investigation or disciplinary action. **IIROC does not provide financial, investment or legal advice. IIROC provides investors information on dispute resolution options but does not assist them directly in obtaining compensation for any losses suffered.**

1. Accountholder Information

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

Address: _____

City: _____ Province: _____ Postal Code: _____

Daytime Contact Phone Number: () _____

Fax Number: () _____

E-Mail _____

Address: _____

Preferred time to be contacted during business hours: _____

2. Advisor/ Member Firm/ Account Information

Name of Firm: _____

Name of Investment Advisor: _____

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/investment and applicable date in the space provided below.

Name of Security: _____ Purchase Date: _____

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4. What documentation are you able to provide regarding this matter?

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

Advertising and/or Marketing Materials

Cancelled Cheques

Correspondence with Branch Manager

Prospectus/Offering Memorandum

Correspondence with Firm

Month-end Account Statements

New Client Application Forms

Notes/Tape-recordings/Telephone records

Subscription Agreement

Correspondence with Registered Representative

Trade Confirmations

Other

5. Contact with Investment Advisor, Branch Manager and/or Member Firm

Typically, the first step you should 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.

Have you complained to your investment advisor, 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. Compensation 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. While IIROC is not involved in the compensation process, IIROC does require dealer members to participate in arbitration proceedings or the OBSI process when initiated by the client. 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.

Clients residing in Manitoba, New Brunswick and Saskatchewan may have other options through their provincial securities commission. All other claims for compensation must be pursued through the civil court system.

Note that IIROC's review is based solely on regulatory considerations which may be different from those applied in a civil law context, OBSI or arbitration proceeding. You should not wait to initiate any compensation process while IIROC reviews the matters reported as limitation periods may apply.

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 IIROC Staff?

Yes No

Will you provide additional documentation?

Yes No

Are you willing to testify at a regulatory hearing, if required?

Yes No

9. Complaint Summary (attach additional pages, if necessary)

10. Your Signature

Signature: _____ **Date:** _____

11. Your complaint may be filed by email to InvestorInquiries@IIROC.ca, by mail or by fax as follows:

If you live in British Columbia, Alberta, Saskatchewan, Manitoba, Northwest Territories, Nunavut or Yukon:

Complaints Department, Western
Canada
Investment Industry Regulatory Organization
of Canada
Suite 800, 255 – 5th Avenue S.W.
Calgary, Alberta T2P 3G6
Fax: (888) 497-6172

If you live in Ontario, New Brunswick, Nova Scotia, P.E.I. or Newfoundland:
Complaints Department, Ontario &
Atlantic Regions

Complaints Department
Investment Industry Regulatory Organization
of Canada
Suite 2000, 121 King Street West
Toronto, Ontario M5H 3T9
Fax: (888) 497-6172

If you live in Québec:

Complaints Department, Québec Region
Investment Industry Regulatory Organization
of Canada
Bureau 1550, 5 Place Ville Marie
Montréal, Québec H3B 2G2
Fax: (888) 497-6172