



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.

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.**

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.

1. Accountholder Information

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

Address: _____

City: _____ Province: _____ Postal Code: _____

Daytime Contact Phone Number: () _____

E-MailAddress: _____

Preferred time to be contacted during business hours: _____

Date of Birth (DD/MM/YY): _____

How did you hear about IIROC: _____

2. Advisor/Dealer Firm/Account Information

Name of Firm: _____

Name of Investment Advisor: _____

Branch Address: _____

City: _____ Province: _____

Account Type(s) (e.g. RRSP, Margin, Cash): _____

3. Does your complaint involve a particular investment?

If yes, please provide the name of the security/investment and applicable date.

Name of Security: _____ Purchase Date: _____

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

Please let us know if you have any of the following documents. We do not need copies of documents to conduct our initial review, but we may request this additional information at a later date if we believe it will assist us to identify misconduct.

- | | |
|---|---|
| <input type="checkbox"/> Advertising and/or Marketing Materials | <input type="checkbox"/> New Client Application Forms/KYC documents |
| <input type="checkbox"/> Cancelled Cheques | <input type="checkbox"/> Notes/Tape-recordings/Telephone records |
| <input type="checkbox"/> Correspondence with Firm/Branch Management | <input type="checkbox"/> Subscription Agreement |
| <input type="checkbox"/> Prospectus/Offering Memorandum | <input type="checkbox"/> Correspondence with Advisor |
| <input type="checkbox"/> Investment Policy Statement (IPS) | <input type="checkbox"/> Trade Confirmations |
| <input type="checkbox"/> Month-end Account Statements | <input type="checkbox"/> Other |

5. Contact with Investment Advisor, Branch Manager and/or Dealer 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:

Name: _____ Date of Contact: _____

Name: _____ Date of Contact: _____

Name: _____ Date of Contact: _____

6. Other Regulatory Contact

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

- Yes
- No

Regulator's Name: _____ Date of Contact: _____

Regulator's Name: _____ Date of Contact: _____

7. Your Cooperation

IIROC's Enforcement Department may conduct an investigation of a dealer 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. Without your cooperation we may be unable to proceed.

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

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

9. Your Signature

Signature: _____ **Date:** _____

10. Your complaint may be submitted via a secure email link on our website at www.iiroc.ca/investors/makingacomplaint (preferred), by regular 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
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
525 Viger Avenue West
Suite 601
Montréal, Québec H2Z 0B2
Fax: (888) 497-6172