FCAA
FINANCIAL AND CONSUMER AFFAIRS AUTHORITY

Form for complaints under *The Securities Act, 1988*

Once you have determined that the Financial and Consumer Affairs Authority (FCAA) is the jurisdiction for your complaint, use this form to complain to us about a company or individual that you believe has violated the securities laws of Saskatchewan.

The FCAA is collecting the information on this form to determine what, if any, action it can take. The FCAA treats all complaints it receives in confidence. The information you provide will only be used in accordance with the FCAA's duties and powers, as described in the *Securities Act, 1988*. Any information that you provide will not be disseminated to any third party without your permission, except as required or authorized by law.

For help filling out this complaint form, read the "Guide to filling out the complaint form" at the end of this form.

1. **Tell us about yourself**

Full Name

Address

Home Phone: Office Phone:

Cell Phone: E-mail address:

2. **Tell us about the company or individual you wish to complain about**

Give us as much information as you can. If you want to tell us about more than one company, or more than one individual, please include the details of the other companies or individuals on a separate page. If your complaint is about a company and an individual, please include information about both.

Company

Name of Company

Type of Company
(e.g., broker, dealer, public company, private company)

Address of Company

Phone: Fax:

E-mail address:

Website:

Individuals
Information about individuals associated with the company or acting on their own:

1st individual:

Full Name

Date of birth (if known)

Address

Phone: Fax:

E-mail address:

2nd individual:

Full Name

Date of birth (if known)

Address

Phone: Fax:

E-mail address:

3rd individual:

Full Name

Date of birth (if known)

Address

Phone: Fax:

E-mail address:

4th individual:

Full Name

Date of birth (if known)

Address

Phone: Fax:

E-mail address:

5th individual:

Full Name

Date of birth (if known)

Address

Phone: Fax:

E-mail address:

3. Tell us about your complaint

To help us to understand how we can help you, there is some information that we would like you to give us.

When did the events that led to your complaint take place?

From (dd/mm/yy): To (dd/mm/yy):

Have you, or another person that you know of, started legal action in relation to this complaint?

[☐] Yes [☐] No

Please indicate which of the following organizations you have contacted about your complaint.

- ☐ Compliance officer for the broker, dealer or adviser
- ☐ Ombudsman for the specific bank-owned broker/dealer
- ☐ Ombudsman for Banking Services and Investments
- ☐ Investment Industry Regulatory Association of Canada
- ☐ Mutual Fund Dealers Association of Canada
- ☐ issuer of the securities
- ☐ stock exchange where the securities trade
- ☐ Other securities commission (Identify:)
- ☐ Royal Canadian Mounted Police or Local Police
- ☐ Authority Financial and Consumer Affairs Authority
- ☐ Insurance Council of Saskatchewan
- ☐ Other:

4. Documents and information sources relevant to your complaint

If you have documents supporting your complaint (for example, account statements or invoices), please provide us with copies. Keep original documents in a safe place, in case they are needed later. If you can refer us to websites that contain the information that is relevant to your complaint, please provide us with the website addresses. Use the following space to list documents or websites relevant to your complaint.

5. Tell us what happened

Describe the events in the order they happened. Whenever possible, include dates.

Send us the completed form
When you have completed this form send it along with copies of your documents by mail, hand delivery or courier it to:

Financial and Consumer Affairs Authority
4th Floor – 2365 Albert Street
Regina, Sk S4P 4K1

If you have more questions contact: (306)787-5645

What happens now?
Thank you for telling us about your complaint. We will contact you to confirm that we have received it.

We use the information you provide in the complaint form to determine what action, if any, we should take, or whether to redirect your complaint to another agency. In some cases, we cannot take any action on a complaint because of our statutory six-year limitation period or because the complaint does not relate to violations of securities laws.

If we determine that we should conduct a detailed review of your complaint, you will receive a letter with contact details for the person assigned to assess your complaint. You may contact this person to discuss any further questions, comments or concerns, or to provide additional or new information relevant to your complaint. However, please understand that the contact person is unable to discuss with you any details of an investigation prior to its conclusion. We take this precaution to ensure that we do not divulge any information that may jeopardize an investigation. Once an investigation is complete, and we have taken appropriate action, we will inform you of the outcome.

Guide to filling out the complaint form

1. **Tell us about yourself**
   We require your name and contact information so we can contact you. We will confirm to you in writing that we received your complaint and inform you about the outcome of our investigation. We may also need to contact you to obtain more details. If you prefer, you may submit your complaint anonymously. However, this will make it more difficult for us to conduct a successful investigation.

2. **Tell us about the company or person you have a complaint against**
   The information you provide in this section will help us determine who has authority to deal with your complaint and how we can help you. We will also use it to check our databases to determine whether your complaint is about a new matter or one that is already under investigation. Please provide as much information as you have about the company or individual you are complaining about.

3. **Tell us about your complaint**

   - the dates of the events that led to your complaint: This is important to our investigation and will also help us determine whether it is too late to take any action. This is the case if the events happened over six years ago.

   - whether or not you have started legal action: if you or anyone else has started legal action related to your complaint, it may be relevant and helpful to our investigation.

- whether or not you have contacted any other organizations: This information will help us determine what further information or assistance we can provide. We may get in touch with an organization that you have contacted to advise them of our interest in the matter, or we may direct you to another organization that we know has an interest in the matter.

4. Tell us what happened

Sample Narratives:

(A) Re: Insider trading in the shares of ABC Public Co.

I am the wife of the president of ABC Public Co. He and I are in the middle of divorce proceedings. I feel compelled to bring his misconduct to your attention. In December of 2002 and January 2003, my husband acted on behalf of ABC Public Co. in negotiating the purchase of a valuable mineral property. On December 12, 2002, a news release issued by ABC Public Co. announced these negotiations. On January 15, 2003, another news release was issued by ABC Public Co., stating that the mineral property purchase was not completed and negotiations had been discontinued. The company's share subsequently dropped in value.

My husband sold shares of ABC Public Co., through our joint trading account, on January 13, 2003, prior to the announcement that the purchase was not completed and negotiations had been discontinued. My husband did not report these sales in his insider reports.

I have enclosed copies of the relevant news releases issued by ABC Public Co., and copies of the monthly statements for our joint trading account for the months of December 2002 and January 2003.

(B) Re: Complaint regarding John Doe and ABC Private Venture Ltd.

I purchased 500 shares of ABC Private Venture Ltd. for $10,000, on January 15, 2007, based on representations made by John Doe, the Company's president, that the company was going public and my investment would double within one year.

I trusted John Doe because he seemed knowledgeable, and I saw him regularly as a member of my tennis club for about five years. I used to get updates from John Doe about once a month, when we met at the tennis club. Now, John Doe doesn't belong to the club anymore and he is not returning my telephone calls. Others at the tennis club have also invested and they haven't been able to get any information either.

Please investigate John Doe and ABC Private Venture Ltd. I would appreciate receiving any information you could provide to me on this matter.

5. Documents and information sources relevant to your complaint

Please list the documents you are providing in support of your complaint. You do not need to provide information or documents that we can obtain from a website, but we require the Web site address(es). Here are sample lists of documents that relate to the two sample narratives just provided.

(A) Sample list (Complaint regarding trading of ABC Public Co.):

Enclosed: my account statement for December 2002 and January 2003, and ABC Company Ltd. press releases dated December 12, 2002 and January 15, 2003.

(B) Sample List (Complaint regarding John Doe and ABC Private Venture Ltd.)

Enclosed: $10,000 cancelled cheque paid to ABC Private Venture Ltd., and Business Plan for ABC Private Venture Ltd., dated January 2002.