



### **Guide to filling out the complaint form for complaints under *The Securities Act, 1988***

#### **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.