



Form 11-704F1

Claim for Order for Payment of Financial Loss

Section 135.6 – The Securities Act, 1988

To: The Director
Securities Division
Financial and Consumer Affairs Authority of Saskatchewan
601 – 1919 Saskatchewan Drive
Regina, SK S4P 4H2

Claimant's Name		Date of birth:
Address:		
City:	Province:	Postal Code:
Work Telephone:	Home Telephone:	Fax Number:
Name of the company in which you invested:		
Names of the individuals you dealt with:		

1. On a separate sheet of paper describe the nature of the transaction involving the person or company who is the subject of the claim.
 - a. Provide loss information only for the amount of loss sustained as a result of the actions of the Respondents named in the Notice of Hearing.
 - b. Itemize financial loss information.
 - c. Attach copies of documentation to support your claim. Send us everything that you have, even if you think it is irrelevant. Documents should include things like:
 - i. sales brochures
 - ii. offering memoranda
 - iii. subscription agreements
 - iv. sales contracts
 - v. share certificates
 - vi. correspondence
 - vii. cancelled cheques

- d. Send us copies of these documents, and keep the originals. We may ask you for them later.
2. Have you been reimbursed or will you be reimbursed (insurance or otherwise) for any portion of the loss you are claiming for? Yes _____ No _____

If yes, give details including the following:

- a. the name and address of the company that has or will reimburse your loss,
- b. the claim number for the loss, and
- c. how much reimbursement you have or will receive.

3. Have you or anyone on your behalf initiated court action against any party as a result of the matters described in this claim? Yes _____ No _____

If yes, state the case name, court file number and name of the court.

Acknowledgement of Claimant

I acknowledge the following:

- 1. I am making this claim to the Director, Securities Division, Financial and Consumer Affairs Authority of Saskatchewan to request an order from the Authority directing repayment of financial losses to me, pursuant to section 135.6 of *The Securities Act, 1988*.
- 2. I understand that if my claim is presented at a hearing, there is no guarantee that the Authority will issue an order in my favor, nor is there any guarantee as to the amount of any order.
- 3. I understand that I must give notice to the Director of any court action that I commence to recover loss or damages arising from the subject matter of this claim.

4. I understand that once the Authority has commenced a hearing where my claim for compensation for financial loss is one of the matters before it, any court action that I have commenced is stayed. I cannot proceed with the court action until the Authority makes a decision after the hearing.
5. I understand that if the Authority issues an order for compensation for financial loss to me, it is my responsibility to collect the amount owing to me under the order.
6. I agree to cooperate with Authority staff in the review of my claim, and the investigation relating to the matters described in the claim.
7. I understand that I have the right to hire a lawyer to act on my behalf.

Signature of Claimant

Date