



## Complaint Form

Once you have determined that the British Columbia Securities Commission (the BCSC) 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 British Columbia.

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

Review the InvestRight [Report scams & complaints](#) section for information about how to proceed in making a complaint and the options for resolving your complaint. For help filling out the complaint form, read the [Guide to filling out the complaint form](#).

### 1. Tell us about yourself

Mr/Ms/Mrs \_\_\_\_\_  
First name Family 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 \_\_\_\_\_  
First name Family name

Type of Company \_\_\_\_\_  
(e.g., broker, dealer, investor relations firm, public company, private company)

Address of Company \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
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## Complaint Form

Individuals associated with the company:

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Phone:

Fax:

E-mail Address:

Website:

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### Individual

Mr/Ms/Mrs

First name

Middle name

Family name

DBA/Employer/Company

Approximate age or date of birth (if known):

Address:

Home  Office

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Home Phone:

Office Phone:

Fax:

E-mail Address:

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### 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:

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

From (dd/mm/yy):

To (dd/mm/yy):

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

Yes

No.



## Complaint Form

(C) 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 Dealers Association of Canada
- Mutual Fund Dealers Association of Canada
- issuer of the securities
- stock exchange where the securities trade
- Market Regulation Services Inc.
- other securities commission (Identify: \_\_\_\_\_)
- Royal Canadian Mounted Police or Local Police Authority
- British Columbia Financial Institutions Commission
- Insurance Council of British Columbia
- 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 spaces to list documents or websites relevant to your complaint

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#### 5. Tell us what happened

Describe the events in the order they happened. Whenever possible, include dates. Add extra pages if necessary.

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**British Columbia Securities Commission**

## **Complaint Form**

**Mail this form to:**

Inquiries Department  
British Columbia Securities Commission  
P.O. Box 10142, Pacific Centre  
Vancouver, British Columbia  
V7Y 1L2

**Or hand deliver or courier it to:**

Inquiries Department  
British Columbia Securities Commission  
12<sup>th</sup> Floor, 701 West Georgia Street  
Vancouver, British Columbia

**Or fax it to:**

Inquiries Department  
British Columbia Securities Commission  
(604) 899-6633

**More questions?**

Contact:  
Information Officer – Enforcement Issues  
Email: [inquiries@bcsc.bc.ca](mailto:inquiries@bcsc.bc.ca)  
Telephone: (604) 899-6607  
Toll free within BC and Alberta: 1 (800) 373-6393

**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.