

File a complaint with the ASC

The ASC collects the information on this form to determine what, if any, action it can take. The ASC treats all complaints as confidential. The information you provide will only be used in accordance with the ASC's duties and powers, as described in the *Securities Act*.

If filing this form anonymously, you can skip item **2. Tell us about yourself**.

1. Tell us about your complaint

Please describe your complaint in as much detail as possible. Start from the beginning, and tell us what happened.

2. Tell us about yourself

Please provide us with your contact information.

Fields marked with an asterisk (*) are required.

First and last name*

Email*

Phone number*

Street address

City* or Town*

Province* or State*

Postal or Zip Code

Age range

Approximate household income

Preferred means of contact*

☐ Phone

☐ Email

If your preferred means of contact is by phone, what is the best time of day to call you?

☐ Morning

☐ Afternoon

3. Tell us about the company or individual you have a complaint against

Please provide us with the name of company and/or individual(s) you have a complaint against. You can also list any other companies, individuals, or entities below.

Fields marked with an asterisk (*) are required.

Name of primary company* or individual*

Email

Phone number

Street address

City* or Town*

Province* or State*

Country*

List any other companies, individuals, or entities that may be involved and their contact information.

Fields marked with an asterisk (*) are required.

4. Did you invest?*

- ☐ Yes
- ☐ No (please proceed directly to item B) below)

A) Please tell us about your investment(s), **when** you invested, how much you invested, and lost.
Provide **year*** and month (e.g., **2020-06** for 2020 June).

YYYY*-MM

Amount invested

Amount lost

If you are aware of other investors involved, please provide contact phone number(s), and/or email address(es) for them. (If applicable)

B) If you did **not** invest, briefly describe your concern below.

5. Tell us about the solicitation method(s) / platform(s)

If your complaint involves a solicitation, promotion, or other communication, please indicate the method(s)/platform(s) used:

Social Media

- ☐ Facebook
- ☐ Instagram
- ☐ LinkedIn
- ☐ Reddit
- ☐ TikTok
- ☐ Twitter
- ☐ YouTube

Electronic/Online Communication

- ☐ Discord
- ☐ Email
- ☐ Telegram
- ☐ Text
- ☐ WhatsApp
- ☐ WeChat

Traditional Media

- ☐ Flyer
- ☐ Newspaper
- ☐ Regular mail

Online Classified

- ☐ Craigslist
- ☐ Kijiji

☐ Online advertisement.
Please provide website address:

☐ If other, please describe:

6. Tell us about the actions you have taken

Who have you contacted about this matter? Please check all that apply:

☐ Other Securities Commission. Please describe:

☐ The company, partnership, or entity. Please describe:

☐ The individual(s). Please describe:

☐ Compliance Officer for the broker, dealer, or advisor

☐ Financial Institution. Please describe:

☐ Canadian Investment Regulatory Organization (CIRO merged from former IIROC and MFDA)

☐ Ombudsman for specific bank-owned broker/dealer

☐ Ombudsman for Banking Services and Investments

☐ Other Regulator. Please describe:

☐ Stock Exchange where the securities trade

☐ Police. Please describe:

☐ Other. Please describe:

Have you taken legal action?*

☐ Yes

☐ No

7. Documents and sources relevant to your complaint

If you have documents supporting your complaint, please provide us with a list of the documents in your possession. If you can refer us to websites that contain the information that is relevant to your complaint, please provide us with the website addresses.

The following documents are important to help the ASC better understand your complaint:

- Correspondence to and from the company or individual(s)
- Account statements
- Account applications
- Advertising, promotional, or sales materials
- Notes/emails on conversations with the company or individual(s)
- Forms you signed
- Cancelled cheques
- Offering documents
- Subscription Form

Please list the supporting documents and information sources you are forwarding to ASC.

Please **NOTE** the ASC cannot accept attachments to your Complaint Form when you submit it to the ASC. Once your complaint has been submitted, an ASC Investigator will email you a link for ASC's secure file sharing platform, through which you will be able to safely upload all of your relevant documents related to your complaint.

What happens now?

Thank you for telling us about your complaint.

The ASC **prefers to receive your completed complaint form via email through complaints@asc.ca.**

We will use the information you provide to determine what action, if any, we can take. We will also determine if your complaint should be redirected to another agency. We may not be able to take any action on a complaint because of a statutory six-year limitation period, or because the complaint does not relate to violations of securities laws.

Please note that we are unable to divulge any details of an active investigation, nor can we provide you with any updates on your complaint. We take these precautions to ensure the integrity of active files.

If you have any additional information after submission, please contact the ASC at 403.355.3888 or complaints@asc.ca.

Complainants who prefer to mail their completed forms and supporting documentation, can address their submission to: Alberta Securities Commission, Attn: Complaints, Suite 600, 250–5th Street SW, Calgary, AB, T2P 0R4.