

## Contact the OSC – Make a Complaint

Use this form if you have a complaint. You can fill out the form on your computer, save it and print it. Or, you can print the form and complete it by hand. Mail or fax it to us at:

Ontario Securities Commission  
20 Queen Street West, Suite 1903,  
Toronto, ON M5H 3S8  
Attention: Manager, Inquiries and Contact Centre

Fax: 416-593-8122

### **Tell us about the company and/or individual(s)**

Provide the names and addresses of the companies and/or individuals involved and your relationship to them.

**Tell us about the investment, if applicable**

Provide the name of the investment and the type of investment. If you made an investment, tell us how much you invested and when.

**Tell us what happened**

Provide a detailed description of your complaint. Include key dates.

**Who have you contacted about this matter?**

Check all that apply

The company

The individual(s)

Investment Industry Regulatory Organization of Canada (IIROC)

Mutual Fund Dealers Association of Canada (MFDA)

Other provincial or territory securities regulator

If so, which regulator?

Ombudsman for Banking Services and Investments (OBSI)

Police

Foreign regulator

Other

If so, please describe:

**Have you taken legal action?**

If so, please describe the action you have taken.

## Relevant documents

Check all relevant documents that you have about this matter. **Do not mail any documents with this form.** We may ask you for copies once we have reviewed the matter.

- Correspondence to and from the company or individual(s)
- Account statements
- Account applications
- Advertising, promotional or sales materials
- Notes/e-mails on conversations with the company or individual(s)
- Forms you signed
- Know your Client (KYC) form
- Other – please describe:

**How would you like to see this resolved?**

**Additional comments**



**Tell us about yourself**

First Name:

Last Name:

Street address:

City:

Province, territory, state:

Country:

Postal / zip code:

Daytime telephone:

e-mail address:

**What happens next**

We will reply to you as quickly as possible. If your question or feedback is best handled by another organization, we may send your information to that organization on your behalf.

**Notice of collection and use of personal information**

Section 3.11 of the *Securities Act* (Ontario) authorizes the OSC to collect personal information for the purpose of carrying out its duties and exercising its powers under the *Securities Act* (Ontario) and other legislation. The information you have provided will be treated in confidence and will not be disclosed except as required by law or as may be necessary to investigate your complaint. Any questions about the collection and use of your information may be directed to the Manager, Inquiries and Contact Centre, Ontario Securities Commission, by telephone at 1-877-785-1555 or 416-593-8314, by fax at 416-593-8122 or by TTY at 1-866-827-1295.