

Complaint Form

Print and complete this form and submit with any documentation to:

The Manitoba Securities Commission – Complaints/Investigations, 500–400 St. Mary Avenue, Winnipeg, Manitoba R3C 4K5, or scan and email it to us at: ***complaintsmc@gov.mb.ca***

The Manitoba Securities Commission regulates different categories of registration. Please select the category that best identifies the nature of your complaint.

☐ Securities

☐ Commodities

☐ Real Estate

☐ Property Management

☐ Mortgage

Your information

Full Name(s): _____

Address: _____

City: _____ Province: _____ Postal Code: _____

Primary Phone Number: _____

Alternative Phone Number(s): _____

Fax: _____

Email Address: _____

Information about the subject of your complaint

Full Name(s) of the subject of your complaint: _____

Name of Company: _____

Address of Company: _____

City: _____ Province: _____ Postal Code: _____

Phone Number of the Subject of Complaint: _____

Alternative Phone Number(s): _____

Fax: _____

Email Address: _____

Notice of Collection and Use of Personal Information

Pursuant to the *Freedom of Information and Protection of Privacy Act (Manitoba)*, C.C.S.M. c. F175

Submitting Complaints and Collection of Personal Information

In reviewing a complaint, it may be necessary for staff of The Manitoba Securities Commission to obtain “personal information” as defined by the *Freedom of Information and Protection of Privacy Act (Manitoba)*, C.C.S.M. c. F175. Disclosure of personal information may be made to another securities regulator, self regulatory organization, law enforcement, or person if staff determine disclosure is required to complete its review of the complaint.



THE MANITOBA
SECURITIES
COMMISSION

Additional Information

Date the transaction occurred: _____

Were there additional parties involved in this transaction? ☐ YES ☐ NO

If yes, please list their names here: _____

Have you contacted the subject of your complaint or their employer? ☐ YES ☐ NO

If yes, please indicate date of contact, who was contacted, and what was the outcome: _____

Have you filed this complaint with another agency? ☐ YES ☐ NO

If yes, which agency and what was the outcome? _____

Have you retained a lawyer in this matter? ☐ YES ☐ NO

If yes, please provide your lawyer's name, address, and phone number: _____

May we contact your lawyer with reference to this matter? ☐ YES ☐ NO

Is this complaint related to any action filed or pending in court? ☐ YES ☐ NO

If yes, state name of court and case number: _____

On a separate piece of paper, please give a brief, chronological outline of your complaint. Be factual.

Try to answer the questions who, what, where, when, why and how, related to the events in questions.

Attach copies of relevant documents (e.g. correspondence with the company, the individual in question, the compliance officer, statements of account, etc.) **Please ensure that you sign and date this document.**

Please provide a list of the documents you are submitting in support of this complaint: _____

All complaints are reviewed by Commission staff to determine whether an investigation should be started, whether the complaint could be more efficiently handled by another organization, or whether the complaint will be closed without further review. You will be advised what decision has been made.