

Claim for Order for Payment of Financial Loss

Section 148.2 – The Securities Act

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

The Director, The Manitoba Securities Commission, 500–400 St. Mary Avenue, Winnipeg, Manitoba R3C 4K5
or fax us at (204) 945-0330.

Your Information

Name: _____ Age: _____

Address: _____

City: _____ Province: _____ Postal Code: _____

Work Telephone: _____ Home Telephone: _____ Fax Number: _____

Who is your claim against?

Person and/or Company who you are filing the claim against: _____

Address: _____

City: _____ Province: _____ Postal Code: _____

Work Telephone: _____ Home Telephone: _____

1. What were the circumstances surrounding the investment that you made?

Provide a concise description of the events associated with the transaction(s) that caused your loss. Focus on information concerning the actions of the subject of the claim, and how they relate to the actual amount of the loss. Continue on an additional sheet of paper if necessary.



2. What is the amount of your investment loss? \$ _____

Have you been reimbursed (insurance or otherwise) for any portion of the loss you sustained? Yes No

Provide pertinent figures that relate to the loss. Attach any documentation that will support your claim (cancelled cheques, receipts, agreements, and account statements). If you have been reimbursed at all, please provide the name and address of the company that reimbursed you, and the amount of reimbursement you received.

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

(i) If yes, list case name, court file number, and court of jurisdiction.

(ii) Do you intend to discontinue that court action claim and proceed with this claim? Yes No

Acknowledgements of Claimant

A: I am making this claim to The Director of The Manitoba Securities Commission to investigate whether a hearing should be commenced and to request an order from the Commission directing repayment of financial losses to me, pursuant to section 148.2 of The Securities Act.

B: I understand that if the Director presents my claim at a hearing, there is no guarantee an order will issue in my favour following the hearing, nor is there any guarantee as to the amount of any order.

C: I understand I lose the right to commence a court action to recover loss or damages arising from the subject matter of this claim once a hearing is commenced to consider my claim.

D: I understand it is my responsibility to take whatever action is required to recover any amount directed to be paid to me if an order is issued following a commission hearing.

E: I agree to cooperate with the Commission and its staff in the review of my claim and the commission investigation relating to the matters described in the claim.

F: I understand that I have the right to hire a lawyer to act on my behalf.

Witness

Signature of Claimant

Print Witness Name & Full Address

Date Statement Completed

For Commission Use Only

Disposition of Hearing

- Hearing and Decision by the Commission
- Settlement Agreement approved by the Commission
- Provincial Court Decision

Disposition of Claim

- Application received (Date) _____
- Director's Approval (Date) _____
- Application abandoned (Date) _____
- Compensation Ordered
- Order filed in Queen's Bench
- Payment received
- Other

Investigation File Number: _____

Commission Order Number: _____

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.