

## **How do I make a Complaint?**

### **Concerns with Investment Account/Advisor/Firm**

If your concern is with your investment account, financial advisor or Investment Corporation, try to resolve your dispute with your financial advisor, the branch manager, or the compliance officer of the Investment Corporation or brokerage.

If the matter relates to an [Investment Industry Regulatory Organization of Canada](#) or [Mutual Fund Dealers Association](#) member firm, contact the Association directly.

### **Concerns with Trade Orders, Timely Disclosure**

Contact the [Investment Industry Regulatory Organization of Canada](#) if your concern relates to improper execution of a trade order, potential violations of the Universal Market Integrity Rules (UMIR), potential trading violations by a regulated person, or concerns regarding the timely disclosure of material information by a publicly listed corporation.

### **When to Contact Yukon Securities Office**

If you have concerns about how your investments have been handled, a corporation you have invested in, or believe any provisions of Yukon's securities law have been breached, you may make a written complaint to the *Yukon Securities Office* (YSO).

Contact the Yukon Securities Office if your complaint doesn't relate to the categories noted above, or you would like advice on who to contact.

### **How to File a Complaint**

Please provide contact information, a brief summary of the complaint, and detailed information on what we are to investigate. Include any supporting documentation.

### **Complaint Checklist:**

Please explain the following:

- What your complaint is about.
- Where and when the incident took place - dates, times, etc.
- What steps you have taken during, and to resolve the situation.
- Names and addresses of those involved, and your relationship to the corporation or individual at the source of the complaint.
- If available, please include copies of letters, cancelled cheques, account statements, or other documents that may help to explain your complaint and

support your statements (you may be asked to provide these hard copy documents at a later stage).

- Other information that would help us to better understand your concerns.

NOTE: Corporate Affairs cannot act on anonymous or verbal complaints.

Please be assured that all complaints are treated as confidential.

### **How to Contact Us**

All complaints must be made in writing by email, fax or letter using the contact information below. Be sure to include all of the information requested above.

Email: [corporateaffairs@gov.yk.ca](mailto:corporateaffairs@gov.yk.ca)

Fax: Attn: The Superintendent of Securities (867) 393-6251

Mail: Attn: The Superintendent of Securities

*Yukon Securities Office*

Corporate Affairs (C-6)

Department of Community Services

Government of Yukon

Box 2703, Whitehorse, Yukon

Y1A 2C6

### **Next Steps**

Securities Office staff review each written complaint to determine whether there has been a breach of Yukon securities laws. If so, the alleged misconduct is investigated and recommendations may be made to impose administrative sanctions and other appropriate action.

The final outcome of investigations is shared with the person filing the complaint; it may take several months to complete the review and investigation.