



# Where do you turn when you have concerns about your investments?

If you have a question or complaint about your investments, your investment firm or your adviser, know that Manitobans have access to resources and information. Here's a guide for where to start and who can help.



## How do I know if my investment firm or adviser is registered?

### The Canadian Securities Administrators (CSA)

Check the CSA's National Registration Search Tool to quickly find the registration status and history of your firm or adviser:

[www.securities-administrators.ca/nrs/nrsearchprep.aspx](http://www.securities-administrators.ca/nrs/nrsearchprep.aspx)

### Self-Regulatory Organizations

You can search to see if the adviser or firm is registered by one of the Self-Regulatory Organizations in Manitoba:

the Investment Industry Regulatory Organization of Canada (IIROC)

[www.iiroc.ca](http://www.iiroc.ca)

or the Mutual Funds Dealers Association (MFDA)

[www.mfda.ca](http://www.mfda.ca)

## UNREGISTERED

If an investment firm or adviser is not registered, or you just don't know, contact the Manitoba Financial Services Agency, Securities Division.

[www.mbsecurities.ca](http://www.mbsecurities.ca)



## REGISTERED

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### Start by contacting the firm you have been dealing with

- It will have a compliance officer who can assist you with the discussions and seek a solution.
- If you are unable to resolve your concerns, the compliance officer will advise you about the next steps in the firm's dispute resolution process.
- The compliance officer can also advise you if the firm is a member of MFDA or IIROC. You can contact the appropriate organization directly at any point in this process with your concerns.

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### If you need more information and support, there are options

- The Ombudsman for Banking Services and Investments (OBSI) may conduct an investigation. They may make a recommendation to the firm.  
[www.obsi.ca](http://www.obsi.ca)
- A parallel investigation by the appropriate Self-Regulatory Organization (IIROC or MFDA) may take place.
- If there is no parallel investigation and you are not happy with OBSI's recommendation you can appeal to the appropriate Self-Regulatory Organization.

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### Contact the Manitoba Financial Services Agency

- If you still feel that your concern has not been resolved to your satisfaction, contact the Manitoba Financial Services Agency, Securities Division, at  
[http://www.mbsecurities.ca/complaints-guidance/pubs/complaint\\_form.pdf](http://www.mbsecurities.ca/complaints-guidance/pubs/complaint_form.pdf)  
1-800-655-5244

