



COMPLIANCE COMPLAINT FORM

If you have a question or concern about OBSI's compliance with its regulatory obligations or believe regulatory obligations have been breached and you wish to submit a complaint in this regard, you may fill out this form.

More information about reconsideration requests is available on our [website](#).

Your Information (or information about the primary complainant if you are submitting this form on behalf of someone else):

First Name: _____ **Last Name:** _____

Street/P.O. Box/RR: _____

City: _____ **Province:** _____

Postal Code: _____ **Country:** _____

Daytime Phone: _____ **Evening Phone:** _____

Email Address: _____

Case Identification

OBSI case reference number (if known): _____

Firm name: _____

Investigator name: _____

1. What is your question, concern or complaint regarding OBSI's compliance with its regulatory obligations?

Please provide detailed information to allow us to understand your question, concern or complaint. You may attach additional sheets as necessary.

2. Do you have any documents you want to provide to us to help us understand your question, concern or complaint regarding OBSI's compliance with its regulatory obligations?

☐

No

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Yes (Please attach and submit the documents with this form.)

If yes, please provide detailed information about how the document(s) relate to your question, concern or complaint. You may attach additional sheets as necessary.

You may send us this completed form and any supporting documentation by:

Email:

compliance@obsi.ca

Mail:

Chief Compliance Officer
Ombudsman for Banking Services and Investments
20 Queen St. W., Suite 2400,
P.O. Box 8
Toronto, ON M5H 3R3

Fax:

1-888-422-2865 (to the attention of Chief Compliance Officer)

Please call us at **1-888-451-4519** if you would like assistance completing this form.

OBSI is Canada's national independent dispute resolution service for consumers and small businesses with a complaint they can't resolve with their banking services or investment firm. Our public interest mandate receives regulatory oversight from the Canadian Securities Administrators (for investment-related complaints) and the Financial Consumer Agency of Canada (for banking-related complaints).