CIRO · OCRI
Canadian Investment Regulatory Organization
Organisme canadien de réglementation des investissements

INSTRUCTIONS FOR MAKING A CLAIM

Please read these instructions before making a claim

Deadline for filing your claim

Claims must be submitted within the period specified in the Notice pertaining to your claim. For further details regarding your submission deadline, please consult ***Disgorgement Distribution***.

How to file a claim

Complete the required form and submit it to CIRO for processing.

- **Online** – Fill out the online form and click "submit"
- **Email** – If you are unable to complete the form online, print it, fill it out, and email it along with any supporting documents to **Disgorgement@ciro.ca**
- **Mail** – If you are unable to submit the form online or by email, you can mail the completed form along with any supporting documents to:

  Canadian Investment Regulatory Organization
  General Counsel's Office - Disgorgement
  40 Temperance Street, Suite 2600
  Toronto, Ontario, M5H 0B4

After you file your claim

If CIRO determines you are eligible to receive payment, we may issue a payment to you. When calculating the amount, CIRO consider the following factors:

- the total amount of CIRO received from the Hearing Panel's Order
- the total amount of your loss
- the combined losses of all applicants
- any other relevant information CIRO considers appropriate.

Application Denials:

CIRO will not deny any claim without giving you an opportunity to be heard. However, CIRO may decide to prorate payments without offering an opportunity to explain why your claim should not be reduced.

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CLAIM APPLICATION FORM

Please use this form to submit a new claim or update an existing one.

New Application ☐ Update ☐

Name:

Address: Apt/Unit/Suite:
(If Applicable)

Province/State Postal Code/ZIP Code: Country:

Email Address: Phone Number:

LEGAL REPRESENTATIVE USE ONLY
Name: Law Society Number:
Firm:
Address:

Apt/Unit/Suite:
(If applicable)

Province/State: Postal Code/ZIP Code: Country:

Phone Number:

Email Address:

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CLAIM INFORMATION

Claim amount: **$ XXXX.XX** Select Currency: **CAD, USD, Other**

Questions regarding your claim:

1. How much money did you invest and how much did you lose in the investment that is subject to the CIRO disgorgement order? Do not include any loss of opportunity to use the money for something else or include interest on your loss. Please provide details.

2. Have you received anything back from your investment? E.g., any benefits, interest, dividends, redemptions, distributions, commissions, or any other payments? [YES/NO]

   If yes, how much have you received? $_____ Please provide details.

3. Have you received or are you entitled to receive any compensation for your loss from anyone else? [YES/NO] Please provide details.

4. Did you do anything to offset or reduce your loss? [YES/NO] Please provide details.

5. Did you, directly or indirectly, take part in the misconduct that resulted in the CIRO disgorgement order? [YES/NO] Please provide details.

6. Have you ever provided CIRO with records that relate to your loss? [YES/NO] Please provide details.

7. Has CIRO ever denied any of your claims as part of the disgorgement process, for this case or any other case? [YES/NO] Please provide details.

☐ I, _____ *certify that, to the best of my understanding, the information provided in this application is true, complete, and current at the time of its submission. I further certify that I understand that I may be disqualified from eligibility under the Program if I provide information to CIRO that is materially false or misleading, omit information that renders the information provided in my application materially false or misleading, or fail to update information in my application in a timely manner, in the event that more current information becomes available.*

☐ *Consent to use information: You are providing information to CIRO for the purpose of assessing your eligibility for pro-rata distribution under CIRO's Disgorgement Distribution Program (DDP). By providing this information, and any updates to it, you consent to its collection, use, and disclosure, as necessary, to appropriately assess your eligibility. This may include confirming the nature and amount of your loss and validating the accuracy and completeness of the information that you have provided. CIRO may share the information with you Dealer Member, adjudicative or dispute-resolution bodies, regulators, or similar authorities, and these parties may also share information about you with CIRO, to determine if you have applied for, or may be receiving, payment form any other source for the same loss.*

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Claim support documentation

Upload any other documents which you believe may support your claim.

Examples may include: copies of cheques, account statements, records of wire or e-transfers, investment agreements, trade confirmations, correspondence with your financial advisor, share certificates, bank statements.

[UPLOAD HERE]