

For Immediate Release

March 18, 2015

Canadian Securities Administrators Remind Investors to Check Registration

Saint John – In the time it takes you to read this headline, you can check to see if the person who is selling you stocks, bonds, mutual funds or other securities is registered. March 18, 2015 is Check Registration Day, and the Canadian Securities Administrators (CSA) are encouraging investors nationwide to help protect themselves from investment fraud by first checking to see whether the individual or firm offering them an investment or advice is registered to do so.

Why is registration important? Canadian securities regulators will only register firms and individuals that meet specific qualifications and standards. Checking registration helps to protect investors because it confirms whether the person or firm you are trusting with your money is authorized to sell investments or offer investment advice.

“Investors should have confidence in the individual or firm they choose to handle their investments and a registration check is a critical initial step in building that confidence,” says Bill Rice, Chair of the CSA and Chair and CEO of the Alberta Securities Commission.

The CSA encourages investors to participate in Check Registration Day on March 18. To assist investors, the CSA offers investors the National Registration Search tool—an online search that allows investors to easily check whether a firm or individual is registered to sell securities or offer investment advice in their province or territory.

Here’s how investors can get involved:

- Use the National Registration Search at aretheyregistered.ca to see whether their financial adviser or investment firm is registered in their jurisdiction (and be sure to answer the quick survey to help inform future improvements); or
- Contact their local securities regulatory authority to verify registration.

Investors should immediately contact their local securities regulatory authorities if they discover that the person or company offering them an investment opportunity is not registered.

The CSA, the council of securities regulators of Canada’s provinces and territories, coordinates and harmonizes regulation for the Canadian capital markets. Their mandate is to protect investors from unfair or fraudulent practices through regulation of the securities industry. Part of this protection is educating investors about the risk, responsibilities and rewards of investing.

For more information:

Alison Trollope
Alberta Securities Commission
403-297-2664

Richard Gilhooley
British Columbia Securities Commission
604-899-6713

Kevan Hannah
Manitoba Securities Commission
204-945-1513

Tanya Wiltshire
Nova Scotia Securities Commission
902-424-8586

Don Boyles
Office of the Superintendent of Securities
Newfoundland and Labrador
709-729-4501

Louis Arki
Nunavut Securities Office
867-975-6587

Shannon McMillan
Financial and Consumer Affairs
Authority of Saskatchewan
306-798-4160

Sylvain Théberge
Autorité des marchés financiers
514-940-2176

Carolyn Shaw-Rimmington
Ontario Securities Commission
416-593-2361

Andrew Nicholson
Financial and Consumer Services
Commission, New Brunswick
506-658-3021

Janice Callbeck
Office of the Superintendent of Securities
P.E.I.
902-368-6288

Rhonda Horte
Office of the Yukon Superintendent Of
Securities
867-667-5466

Gary MacDougall
Northwest Territories
Securities Office
867-920-3318