



**Securities
Commission**

Suite 400, Duke Tower
5251 Duke St., PO Box 458
Halifax, NS B3J 2P8

A Guide for Complainants

When making a complaint to the Commission, these are some things to know in advance:

- You can file your complaint in the most convenient manner for you, by way of:
 - The Commission website: <http://nssc.novascotia.ca/recognize-and-report-scam>
 - Email: NSSCEnforcement@novascotia.ca.
 - Mail: 5251 Duke Street, Suite 600, Duke Tower, PO Box 451, Halifax, NS B3J 3K8.
 - Telephone: 1-855-424-2499, or 902-424-8814.
 - Facsimile: 902-424-3538.
- After you have filed your complaint, someone from the Commission staff will contact you. You may be asked to speak to an investigator or be asked to come in and make a statement. The information you provide, along with any documentation you may have will be valuable information for the investigation and will remain confidential throughout the investigation.
- Rules of confidentiality do not permit an investigator to share information from the investigation with you or provide you with any documentation received during the investigation.
- The investigation will focus on potential breaches of securities laws.
- If securities laws have been broken, the person or company you complained about may be brought to a disciplinary hearing before panel of one or more Commissioners.
- The hearing will be brought by the enforcement staff against the person or company. That person or company becomes the respondent.
- Any information you provided to the investigator may be released to the respondent in the event a hearing is commenced.
- The respondent may admit to breaking securities laws and if so, a settlement hearing is commenced. At a settlement hearing, enforcement staff and the respondent ask the Commission panel to approve an agreement worked out between them. The media and the public are welcome to come to this hearing but a part of the hearing where the settlement agreement is discussed will be confidential. In the event the Commission approves the settlement agreement, it is then made available to the public.
- At a settlement hearing no witnesses are called to testify, and no evidence besides the settlement agreement can be presented. The Commission panel only reviews the settlement agreement.

- If the respondent does not wish to have a settlement hearing, a contested hearing is held before a Commission panel where witnesses will present evidence on behalf of the Commission staff and the respondent. You may be called to provide testimony at this hearing. Any documentation or statements provided to the investigator may be released to the respondent in preparation for this hearing.
- The media and the public can come to the contested hearing and see the evidence presented and listen to witness testimony.
- The Commission's role is to investigate complaints to determine if securities laws have been violated. In the event of a securities law violation the Commission panel can order a person or company to stop trading and order penalties up to a million dollars per offense. The Commission panel does not have authority to order a person or company to give you your money back.

Note There is a six year limitation period on commencing proceedings before the Commission. You should therefore contact the NSSC with your concerns or complaints at your earliest opportunity.