

What to Expect

Here's what we need from you

- **Full and complete information:** Along with your signed consent letter, please send us all relevant information or documents related to your complaint that you have not already provided.
- **Timely responses to requests:** If we ask for additional information or documents during our investigation, please provide it promptly to avoid delaying the investigation of your complaint.
- **A telephone interview:** You will need to be available for at least one telephone interview during our regular office hours. We will do our best to accommodate your schedule.
- **No call recording:** To maintain confidentiality, we do not allow you or the firm to record our telephone calls.
- **Information about your special needs:** If you require an accommodation in order to participate in our process, please tell us about your needs in advance. We are committed to ensuring that our services are accessible to everyone and we are happy to accommodate any individual needs in keeping with applicable human rights codes.

Here's what you can expect from us

Before we start our investigation

- We will request required documents from the firm as soon as we receive your signed consent letter.
- We will assign your file to an investigator promptly after we receive the firm documents.

Once we start our investigation

- An investigator will contact you shortly after receiving your file to introduce themselves and answer any questions.
- The investigator will conduct a telephone interview with you to ensure we fully understand your complaint.
- We will strive to complete our investigation as quickly and efficiently as possible.
- We will respect your time and will only ask you for information we believe is needed to complete our investigation.
- We will update you regularly on your case (every 30 days or less).

Once we have reached a conclusion

- If we believe you are not owed compensation or we believe the firm has already made a fair offer, we will let you know as soon as possible and explain our reasons to you.
- If we believe you are owed compensation, we will try to resolve the matter through discussions with both you and the firm.
- If the firm makes an offer at any stage in our investigation we will let you know, even if we have not yet reached a conclusion or the offer is less than what we would recommend.

What we can and cannot recommend

- We will recommend that a firm compensate you if you have experienced losses due to an error by the firm or one of its employees.
- Sometimes we recommend limited compensation for non-financial losses (such as distress and inconvenience) or that the firm help in other ways such as correcting records or issuing an apology.
- We do not recommend punishment or fines against firms or advisors. That is the role of regulators.