

Investor Charter of Rights

When you invest, you have the right to:

1. Complete information about an investment including all material facts, risks and any factors that may affect the performance of that investment;
2. Information about the work history and experience of an investment salesperson as well as the company he or she represents;
3. Ethical and legal behaviour from your investment advisors and salespeople;
4. Recommendations for investments that are consistent with your financial needs and investment objectives;
5. Copies of all documents that relate to the purchase of an investment;
6. Regular, accurate, and understandable statements informing you of the status of your investment;
7. Time to consider all your options and understand the terms and conditions of any investment offer;
8. Complete information regarding any fees, commissions, service charges, sales charges, redemption fees and penalties;
9. Disclosure of any restrictions regarding the timely access of your funds;
10. Contact the Alberta Securities Commission to verify the registration and disciplinary history of a securities salesperson and their firm or to file a complaint.

Adapted from the North American Securities Administrators Association (NASAA) Investor Bill of Rights

For more information on investing:

Alberta Securities Commission
1.877.355.4488
www.albertasecurities.com