

Whistleblower reprisal reporting form

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2 ABOUT YOUR EMPLOYER

3 ABOUT THE REPRISAL

4 SUPPORTING DOCUMENTS

5 CERTIFICATION

PART 1

Information about you

A. Please provide information about you

NAME AND POSITION

First name

Middle name

Last name

Employer

Title

ADDRESS (HOME)

Street

City

Province/State

Country, Postal/zip code

Work phone

Home phone

Cell phone

Email

B. What is your preferred method of contact?

Work phone

Home phone

Cell phone

Email

C. What is the best time to contact you?

Morning

Afternoon

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D. If you are represented by a lawyer, please provide their information below.

LAWYER'S CONTACT INFORMATION

First name

Last name

Law firm

Street address

City

Province/State

Country, Postal/zip code

Phone number

Email

PART 2

Information about your employer

A. Who is your complaint against?

EMPLOYER

Company or entity

Street address

City

Province/State

Country, Postal/zip code

Phone number

Website

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PART 3

Information about the reprisal

- A. Describe the original whistleblower tip you made that gave rise to the act of reprisal.

Date reported to Alberta Securities Commission

Reference number (if available)

Did you report the matter internally? Please provide dates and details below.

What action, if any, was taken by the employer to rectify the original misconduct? Please provide dates and details below.

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B. Describe the reprisal(s) or threat(s) that has occurred or is occurring.

What form of reprisal occurred or is occurring? Please refer to the Whistleblower Policy.

Description or details of the reprisal. Please include key individuals, dates and locations.

Why do you believe this action relates to a Whistleblower Tip? Please provide details below.

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PART 4

Supporting documents

A. Do you currently have documents or materials to support your submission?

Yes No

If **YES**, and you are providing electronic files, files stored on a physical storage medium (such as a USB thumb drive) and/or physical documents, please describe each document and provide details below.

Please do not reference or attach any documents that may reflect legal advice, that are communications with a lawyer for the purpose of obtaining legal advice or related working papers or that may otherwise be subject to solicitor-client privilege.

1.	Document description:
	How was it obtained?
	Is it likely to reveal your identity? If yes, please explain:
2.	Document description:
	How was it obtained?
	Is it likely to reveal your identity? If yes, please explain:
3.	Document description:
	How was it obtained?
	Is it likely to reveal your identity? If yes, please explain:
4.	Document description:
	How was it obtained?
	Is it likely to reveal your identity? If yes, please explain:

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5.	Document description:
	How was it obtained?
	Is it likely to reveal your identity? If yes, please explain:

Provide any additional information on the back of this form or on a separate sheet of paper and attach it to this form.

B. Are there additional documents or materials available to support your submission that are not in your possession or control?

Yes

No

I don't know

If **YES**, please describe the additional documents and the location of each document. Please also indicate if any of the additional documents are likely to reveal your identity.

Please do not reference any documents that may reflect legal advice, that are communications with a lawyer for the purpose of obtaining legal advice or related working papers or that may otherwise be subject to solicitor-client privilege. We do not expect you to obtain documents or other things that are not in your possession or control.

Provide any additional information on the back of this form or on a separate sheet of paper and attach it to this form.

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PART 5

Certification


1. I understand and agree that the ASC is not responsible for any expenses or losses I might incur in connection with providing information and documents to the ASC.
2. I confirm that, to the best of my knowledge and belief, I am not in breach of my legal or professional obligations (eg. solicitor-client privilege) by providing information and documents to the ASC.
3. I will maintain the confidentiality of any and all information provided by the ASC to me in connection with my submission.
4. To the best of my knowledge and belief, all of the information submitted through this form is true and accurate.

Warning: it is an offence under the Alberta Securities Act to provide false or misleading information to the Alberta Securities Commission.

I, _____, certify that I have read and agree to the above.
(print name)

(signature) (date)

Please send the Whistleblower Reprisal Reporting Form and supporting documents or materials either by email or mail to the contact information below.

 owb@asc.ca

 OWB – Confidential
Alberta Securities Commission
Suite 600, 250–5th Street SW
Calgary, Alberta, T2P 0R4

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