Informed investing:
Alberta Securities Commission

ASC CHECKFIRST
brought to you by the Alberta Securities Commission

Are you a new or experienced investor? Could you use some free, unbiased information to help you to make informed investment decisions and avoid fraud? Check out the tools and resources offered by the Alberta Securities Commission (ASC).



CheckFirst for investors

Our CheckFirst website has free and unbiased information and tools for new and experienced investors.

You can find information about how to invest wisely and identify investment risks, common scams, and ways you can protect yourself and those you care for. We also offer in-person and online programs to help you learn more about investing and how to spot and report fraud.

CheckFirst.ca

Office of the Whistleblower

Do you work for a company and have information about wrongdoing, including fraud, insider trading, misleading financial statements or unregistered trading? You can report it to the ASC Office of the Whistleblower anonymously and without fear of repercussion.

More information is available here:

ASC.ca/owb

Alberta-based registrant list

If you are planning to work with an Alberta-based individual or company, visit the Alberta-based registrant list before you invest to confirm the company's name, address, phone number, website and registration at:

ASC.ca/ab-reg-list

Investment Caution List and Investor Alerts

We keep lists of companies, people and websites that may be high risk to investors.

Check out the following webpage before you invest with new advisors, companies or investment websites:

ASC.ca/icl

File a complaint

If you believe a person or company has breached investments laws, we have an online complaint form you can fill out at:

ASC.ca/complain-or-report

You can also call us at **403.355.4488 or 877.355.4488** and one of our enforcement team members will help you.

What does the ASC do?

The ASC is the regulatory agency responsible for administering the province's investment laws. This means that we make sure that people and companies are following the rules when they buy, sell, or offer stocks, bonds or other financial assets in the Alberta capital market. In simple terms, a capital market brings buyers and sellers together to trade financial assets, which allows businesses to have money to grow, while offering a chance for those who invest to earn money as well. The ASC works to keep Alberta's capital market fair and efficient for all participants and to protect investors.

What are securities?

Securities are certificates of ownership of investment products, like stocks, bonds, notes, options, future contracts or other financial assets, that can bought, sold or traded.

Any person, company or trading platform that sells or trades investments in Alberta must be registered with the ASC. You can check registration at **CheckFirst.ca/Check-Reg** or by calling our inquiries line at **877.355.4488** or by email at **inquiries@asc.ca.**

How is the ASC funded?

The ASC's work is funded through a combination of fees from market participants, like issuers (companies that sell securities to get money to operate their businesses), or registrants (a person or company registered to sell or trade securities), as well our own investment income. The ASC does not receive money from taxpayers or the Government of Alberta.

Informing investors is an important part of what we do

Growing Albertans' investment literacy, or knowledge of how to invest and protect yourself, is one way we protect investors. We have many resources available to help you learn more about investing and how to avoid being scammed.

The ASC also monitors what's going on in the market and investigates investment fraud and misconduct. We work with other organizations, including provincial and territorial regulators, police and enforcement agencies, such as the Canadian Anti-Fraud Centre, to share information that helps us identify and stop misconduct.



What the ASC can do	• Ban people from participating in the market and fine them when they break the law by breaching the *Securities Act* (Alberta). • Stop people or companies from trading securities while we investigate them. • Stop a company from being able to trade its securities if it isn't following the rules of the *Securities Act* (Alberta). • Working with the RCMP, lay charges against offenders and take them to the Provincial Court of Alberta, where they could go to jail for up to five years or be fined up to $5 million for each offence committed.
What the ASC can't do	• Get money back for investors. • Offer investment or legal advice. • Talk about any part of an investigation.