

**CLAIM FORM  
FOR THE REIMBURSEMENT OF COSTS INCURRED BY  
WITNESSES SUMMONED AS PART OF AN INVESTIGATION**

Name:	
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Address:	
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Telephone number(s):	
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Investigation file No.	
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Date of meeting at the AMF for testimony	
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Name of the Investigator	
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**Breakdown of costs claimed:**

Date		Details or remarks (starting point and destination)	Motor vehicle* (distance)	Taxi or public transit	Parking	Breakfast	Lunch	Dinner	Overnight
month	day								
Total:									
Grand total:									

Return this form within thirty days of your meeting, along with the **original supporting documents**, to the attention of the Investigator, at the following address:

**Autorité des marchés financiers  
800, square Victoria, 22<sup>e</sup> étage  
C .P. 246 tour de la Bourse  
Montréal (Québec) H4Z 1G3**

And I have signed on \_\_\_\_\_  
(date)

\_\_\_\_\_  
*signature*

\* Only witnesses living more than sixteen kilometres from the meeting place may claim transportation costs.

## **PROCEDURE FOR THE REIMBURSEMENT OF COSTS INCURRED BY WITNESSES SUMMONED AS PART OF AN INVESTIGATION**

*Version control:*

*Version 1: adopted by the Governance Committee on 3/12/2008*

*Amended on June 10, 2009*

# PROCEDURE FOR THE REIMBURSEMENT OF COSTS INCURRED BY WITNESSES SUMMONED AS PART OF AN INVESTIGATION

## Preamble

This administrative procedure sets out guidelines for processing a claim for costs incurred by a witness who appears voluntarily or is summoned (subpoena) by the AMF as part of an investigation. It covers eligible transportation, meal and lodging costs but does not provide for the payment of an indemnity for lost wages.

This procedure does not apply to summonses in connection with a hearing before the BDRVM or any other tribunal. Where applicable, such costs may be reimbursed under the *Regulation respecting indemnities and allowances payable to witnesses summoned before courts of justice* (c. C-25, r.2).

## 1. GENERAL

### 1.1 Scope

This administrative procedure applies to any Witness called to appear as part of an investigation pursuant to a summons issued by the AMF, in accordance with any of the Acts administered by it pursuant to section 7<sup>1</sup> of its constituting Act (list of statutes cited in Schedule 1).

It also applies to a person who voluntarily agrees to a meeting at the AMF's offices to provide testimony, with the consent of the Director, Inspection and Investigations.

### 1.2 Definitions

In this procedure, unless the context requires otherwise, the following terms have the meaning indicated:

**AMF:** the Autorité des marchés financiers.

**Summons to Appear as a Witness:** a summons (subpoena) to appear as a Witness issued as part of an Investigation conducted by the AMF.

**Investigation:** an inquiry conducted by an Investigator pursuant to the functions and powers granted to him under the Act.

**Investigator:** an AMF staff member designated to conduct an Investigation, as well as an outside person appointed for such purpose.

**Costs:** expenses incurred by a Witness following his summons to testify before the AMF as part of an Investigation.

**Act:** the Act respecting the Autorité des marchés financiers (R.S.Q. c. A-33.2).

**Supporting Document:** a document evidencing that a travel-related expense was incurred.

**Witness:** any person called to appear before the AMF to provide testimony, excluding the subject of the Investigation.

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<sup>1</sup> R.S.Q., c. A-33.2

## 2. COSTS INCURRED

### 2.1 Eligible Costs

The only eligible Costs are the actual Costs incurred by Witnesses who live more than **sixteen kilometres** from the location to which they were summoned by the AMF to attend for a meeting.

### 2.2 Transportation

The AMF will reimburse the following transportation costs:

- Train and bus: Actual Cost, in economy class
- Use of a motor vehicle: Rate: **\$0.43/km**
- Taxi: Actual Cost with Supporting Documents, indicating the starting point and destination

Parking Costs and tolls are also reimbursed.

### 2.3 Meals

When warranted by the length of the testimony, the AMF will reimburse Costs incurred for meals, including taxes and tips, up to an amount not exceeding:

- for breakfast: **\$10.40**
- for lunch: **\$14.30**
- for dinner: **\$21.55**

### 2.4 Lodging

When travelling requires an overnight stay or covers an extended period, the AMF will reimburse the Costs incurred in a hotel up to the following maximum amounts or according to the rates negotiated for the use of hotels designated by the AMF:

- Montréal **\$130.00**
- Québec City area **\$113.00**
- Laval, Hull **\$96.00**
- Elsewhere in Québec **\$79.00**
- Lodging with a relative or friend: **\$45.00/day**

## 3. CLAIM PROCEDURE

### 3.1 Claim form

A claim must be made on the appropriate form (Schedule 2) and sent to the attention of the Investigator assigned to the case at the following address:

**Autorité des marchés financiers  
800, square Victoria, 22<sup>e</sup> étage  
C. P. 246 tour de la Bourse  
Montréal (Québec) H4Z 1G3**

### 3.2 Supporting Documents

Costs will not be reimbursed unless Supporting Documents are submitted. The document must contain the following information: date of the transaction, amount, type of expense and name of the issuer.

### 3.3 Claim deadline

Any claim for a reimbursement must be made within **thirty days** of the date of the meeting during which the testimony was given.

The Investigator assigned to the case will give the Witness information about the Costs which may be claimed and, where necessary, he will give the Witness a claim form at the meeting.

## 4. EFFECTIVE DATE

This procedure will come into force on March 1, 2009 and replaces any prior procedures.

## **SCHEDULE 1**

### **List of statutes administered by the AMF pursuant to section 7 of the Act respecting the Autorité des marchés financiers:**

ACT RESPECTING THE AUTORITE DES MARCHES FINANCIERS (chapter A-33.2)

DEPOSIT INSURANCE ACT (chapter A-26)

AN ACT RESPECTING INSURANCE (chapter A-32)

AN ACT RESPECTING THE CAISSES D'ENTRAIDE ÉCONOMIQUE (chapter C-3)

AN ACT RESPECTING CERTAIN CAISSES D'ENTRAIDE ÉCONOMIQUE (chapter C-3.1)

AN **ACT** RESPECTING FINANCIAL SERVICES COOPERATIVES (chapter C-67.3)

AN ACT RESPECTING THE DISTRIBUTION OF FINANCIAL PRODUCTS AND SERVICES (chapter D-9.2)

AN ACT RESPECTING THE DISCLOSURE OF THE COMPENSATION RECEIVED BY THE EXECUTIVE OFFICERS OF CERTAIN LEGAL PERSONS (chapter I-8.01)

AN ACT RESPECTING THE SOCIÉTÉS D'ENTRAIDE ÉCONOMIQUE (chapter S-25.1)

AN ACT RESPECTING TRUST COMPANIES AND SAVINGS COMPANIES (chapter S-29.01)

SECURITIES ACT (chapter V-1.1)

AN ACT RESPECTING THE MOUVEMENT DESJARDINS (S.Q. 2000, chapter 77)

TITLE VII OF THE AUTOMOBILE INSURANCE ACT (chapter A-25)

As well as all the Acts or legislative provisions assigned to its administration by an Act or the Government.