

FP Canada Standards Council Complaint Form

Use this form to file a complaint about a CFP® professional or an FPSC Level 1® Certificant in Financial Planning (collectively “FP Canada Certificant”). Complaints must be submitted in writing before they will be reviewed.

<p>What types of complaints will FP Canada Standards Council deal with?</p>	<p>FP Canada Standards Council™ has the responsibility of protecting the public interest by ensuring FP Canada Certificants observe the highest professional and ethical standards, and maintains the integrity, reputation and significance of the certification trademarks: FPSC Level 1, FPSC Level 1 logo, CERTIFIED FINANCIAL PLANNER®, CFP, and CFP flame logo (collectively, the Marks).</p> <p>FP Canada Standards Council will investigate complaints about FP Canada Certificants involving:</p> <ul style="list-style-type: none"> ▪ Any act or omission that may violate the provisions of the FP Canada Standards of Professional Responsibility; ▪ Any other acts or omissions amounting to misconduct or which may bring the reputation of the Marks into question. <p>Note: Complaints must be filed within six years of the date you knew (or ought to have known) of the alleged misconduct by the FP Canada Certificant.</p>
<p>Your role – what FP Canada Standards Council needs you to do</p>	<p>Complete and sign the Complaint Form. Attach <u>copies</u> of any documents relating to your complaint (please do not attach original documents).</p> <p>Send the completed Complaint Form with copies of the relevant documents to FP Canada Standards Council by e-mail: complaints@fpcanada.ca OR by mail to: 902 – 375 University Avenue, Toronto, ON M5G 2J5.</p> <p>Note: In fairness to the FP Canada Certificant you are filing a complaint about, we will share with them some or all the information you give us. We may give copies of documents received from you or any other person to the FP Canada Certificant. We may also share personal information (such as names, addresses and telephone numbers) with the FP Canada Certificant. This form will be disclosed to FP Canada Certificant whose conduct is the subject of your complaint.</p>
<p>What happens next?</p>	<p>FP Canada Standards Council will confirm receipt of your complaint within five (5) business days. Staff will conduct an initial review of the complaint. FP Canada Standards Council may contact you during this initial review stage to request additional information/documentation from you. The initial review stage may take up to 90 days to complete depending on the complexity of the complaint and the need for additional documentation/information.</p> <p>If FP Canada Standards Council determines that a formal investigation is required, the FP Canada Certificant who is the subject of your complaint will be notified and given an opportunity to respond.</p> <p>FP Canada Standards Council will conduct the investigation in a timely, transparent and fair manner. Staff may contact you during the investigation to request your assistance, additional information and/or additional documentation. The investigation will be completed in as timely a manner as is reasonably practicable and appropriate in the circumstances of each case. You will be notified of the outcome of the investigation.</p>

INFORMATION ABOUT YOU	
First Name:	
Last Name:	
Salutation:	<input type="checkbox"/> Mr. <input type="checkbox"/> Ms. <input type="checkbox"/> Mrs. <input type="checkbox"/> Dr.
Home Phone No.:	
Cell or other No.:	
Email Address:	
Mailing Address:	
Preferred method of contact:	<input type="checkbox"/> phone <input type="checkbox"/> email <input type="checkbox"/> mail

If you are making this complaint on behalf of someone else, please let us know. FP Canada Standards Council requires that person's name and contact information. In addition, FP Canada Standards Council requires written authorization from that person in order to proceed with our review of the complaint.

Name of individual on behalf of whom you are filing this complaint:	
Relationship to the individual on behalf of whom you are filing this complaint:	
Contact details for the individual on behalf of whom you are filing this complaint:	

INFORMATION ABOUT THE FP CANADA CERTIFICANT YOU ARE COMPLAINING ABOUT	
First Name:	
Last Name:	
Phone No.:	
Email Address:	
Mailing Address:	

YOUR COMPLAINT

Please tell us about your complaint including details of all relevant dates/events (attach additional pages as needed)

What do you hope will happen as a result of your complaint to FP Canada Standards Council?

Please list the documents you are attaching (please do not send originals):

1.

2.

3.

4.

5.

6.

7.

8.

9.

10.

ADDITIONAL INFORMATION

Have you taken legal action? If yes, please provide details.

Who else have you contacted about this matter? *Check all that apply*

- The FP Canada Certificant
- The FP Canada Certificant's firm or employer
- Investment Industry Regulatory Organization of Canada (IIROC)
- Mutual Fund Dealers Association of Canada (MFDA)
- Police
- Provincial Insurance Industry Regulatory (please identify)
- Other? (please identify) _____

ACKNOWLEDGEMENT, AUTHORIZATION AND SIGNATURE

I have read and I understand the following:

I understand that the FP Canada Standards Council™ and/or FP Canada™ will share some or all the information and documents that it receives from me and other parties including with the FP Canada Certificant complained about, including this Complaint Form. I also understand that the FP Canada Standards Council and/or FP Canada may share some or all of the information and documents that it receives from me and other parties with witnesses contacted by the FP Canada Standards Council during the course of its investigation.

I understand that the FP Canada Standards Council and/or FP Canada may share all or some of the information that it receives from me, including this Complaint Form which includes my name and contact details, with: other regulatory bodies; law enforcement agencies (police); other credentialing or licensing bodies; and entities with whom the FP Canada Standards Council and/or FP Canada has Information Sharing Agreements.

I agree to FP Canada and its Divisions sharing and providing copies of information and documents that it receives from me, including without limitation this Complaint Form, with: the FP Canada Certificant complained about; other regulatory bodies; other credentialing or licensing bodies; law enforcement and entities with whom FP Canada and/or the FP Canada Standards Council has Information Sharing Agreements, as may be deemed appropriate by the FP Canada Standards Council. I agree to FP Canada and its Divisions sharing and providing copies of information and documents that it receives from me, including without limitation this Complaint Form, with witnesses contacted by FP Canada Standards Council during the course of its investigation as FP Canada Standards Council deems appropriate.

By completing and forwarding this Complaint Form to FP Canada Standards Council, I hereby authorize the FP Canada Certificant complained about to release relevant financial information to FP Canada as requested during the course of its investigation or as otherwise becomes necessary.

I understand that FP Canada Standards Council may not be able to process my complaint without supporting documents and that FP Canada Standards Council may require my assistance to complete its investigation.

Date signed

Signature of Complainant

Your Complaint Form and documentation can be submitted electronically to:
complaints@fpcanada.ca You can also send your completed Complaint Form and documentation
to:

Standards and Enforcement Coordinator
FP Canada Standards Council
902 – 375 University Avenue
Toronto, ON M5G 2J5

For additional information regarding FP Canada Standards Council and the complaint process, please visit:
fpcanada.ca/report-a-concern

If you have any questions about how to file your complaint, please send an e-mail to
complaints@fpcanada.ca or contact FP Canada Standards Council by phone at Tel: 416.593.8587 | Toll
Free: 1.800.305.9886 and ask to speak with the Standards and Enforcement Coordinator