

# FP CANADA STANDARDS COUNCIL™

## COMPLAINT FORM

Use this form to file a complaint about a CERTIFIED FINANCIAL PLANNER® professional (or CFP® professional) or a QUALIFIED ASSOCIATE FINANCIAL PLANNER™ professional (or QAFP® professional), each an “FP Canada™ Certificant”. Complaints must be submitted in writing.

It is important that you complete the entire form and check the information provided for accuracy prior to submission. If you need assistance to file your complaint, please send an e-mail to [complaints@fpcanada.ca](mailto:complaints@fpcanada.ca) or contact FP Canada Standards Council (the “Standards Council”) by phone at Tel: 416.593.8587 or Toll Free: 1.800.305.9886 and ask to speak with the Standards Council.

In fairness to the Certificant you are filing a complaint about, we may share some or all the information you provide with the Certificant. We may give copies of documents received from you to the Certificant. We may also share personal information (such as names, addresses and telephone numbers) with the Certificant. The Complaint Form will be provided to the Certificant whose conduct is the subject of your complaint.

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

NOTE: If your supporting documents are voluminous, you may send copies of the relevant documents to us by mail (please do not provide original documents, please provide copies) following submission of the complaint. If you are sending additional documents by mail, please send to FP Canada Standards Council 902 – 375 University Avenue, Toronto, ON M5G 2J5, and note on the complaint form that documents will be forwarded by mail.

INFORMATION ABOUT YOU				
First Name:				
Last Name:				
Salutation:	Mr.	Ms.	Mrs.	Dr.
Home Phone No.:				
Cell or other No.:				
Email Address:				
Mailing Address:				
Preferred method of contact:	Home phone	cell phone	email	mail

NOTE: 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, the Standards Council requires written authorization from that person in order to proceed with our review of the complaint. The Standards Council may contact you, upon receipt of the complaint, to obtain additional authorization.

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:	

## ADDITIONAL INFORMATION

**How did you learn about the Standards Council's professional oversight role?** *check all that apply*

- ☐ From FP Canada's website
- ☐ From a CFP® Professional or QAFP® Professional
- ☐ From an Investment Planning Firm, Bank or Credit Union  
Please specify: \_\_\_\_\_
- ☐ From a Provincial Securities Commission - Ontario Securities Commission (OSC); British Columbia Securities Commission (BCSC), etc...  
Please specify: \_\_\_\_\_
- ☐ From the Insurance Council of British Columbia (ICBC)
- ☐ From the Financial Services Regulatory Authority of Ontario (FSRAO)
- ☐ From the Canadian Investment Regulatory Organization (CIRO)
- ☐ From the Police
- ☐ Other  
Please specify: \_\_\_\_\_

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

- ☐ Your CFP® Professional or QAFP® Professional
- ☐ Investment Planning Firm, Bank or Credit Union  
Please specify: \_\_\_\_\_
- ☐ Provincial Securities Commission (e.g. OSC, BCSC, etc.)  
Please specify: \_\_\_\_\_
- ☐ The Insurance Council of British Columbia (ICBC)
- ☐ The Financial Services Regulatory Authority of Ontario (FSRAO)
- ☐ The Canadian Investment Regulatory Organization (CIRO)
- ☐ The Police
- ☐ Other  
Please specify: \_\_\_\_\_

## HAVE YOU TAKEN LEGAL ACTION? IF YES, PLEASE PROVIDE DETAILS

## ACKNOWLEDGEMENT, AUTHORIZATION AND SIGNATURE

I have read, understood and agree that the FP Canada Standards Council (the “Standards Council”), will share this Complaint Form, which includes my personal information including contact details, and will share some or all of the information and documentation received from me and others on my behalf during the Initial Review process and the subsequent Investigation (if applicable), with:

- The FP Canada Certificant complained about;
- Witnesses contacted by the Standards Council during the Initial Review process and during the Investigation (if any) as deemed appropriate by the Standards Council;
- Other regulatory bodies; self-regulatory organizations; professional bodies; law enforcement agencies; other credentialing or licensing bodies who have the authority to regulate, oversee, or enforce title protection legislation; and
- Entities with whom FP Canada or its Divisions have a Memorandum of Understanding and/or Information Sharing Agreements.

I understand that the Standards Council may not be able to process my complaint without supporting documents and that the Standards Council may require additional information from me, in order to complete its Initial Review and Investigation (if any).

I understand and agree that:

- the Standards Council correspondence, files, and any discussions I have with staff during the review of my complaint are confidential;
- I will not use any correspondence or information obtained from staff during the initial review or Investigation in legal proceedings. This confidentiality obligation applies only to information I learn directly from FP Canada staff and the documentation I receive directly from staff during the Standards Council’s process and does not prevent me from discussing the underlying facts or experiences that led to my complaint; and

- I can share information I receive from FP Canada staff with a representative who is assisting me with my complaint (for example, my lawyer or an advocate) as long as that individual also agrees to keep the information and documents received, confidential.

By completing and forwarding this Complaint Form to the Standards Council, I hereby authorize the FP Canada Certificant complained about to release:

- Relevant financial information and documentation/information relating to me and/or in my client file, to the Standards Council as requested during its review or investigation or as otherwise becomes necessary.

\_\_\_\_\_  
Date signed

\_\_\_\_\_  
Signature of Complaint

☐

By initialing here, I HEREBY AUTHORIZE the Standards Council to contact the Dealer/Firm with whom the FP Canada Certificant was registered/employed at the time of the alleged misconduct, notify them of this Complaint and share a copy of this Complaint Form including attached documents.

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By initialing here, I HEREBY AUTHORIZE the Dealer/Firm with whom the FP Canada Certificant was registered/employed by, at the time of the alleged misconduct, to provide copies of documents in the Dealer's/Firm's possession with respect to advice and services provided to me during the period of time covered by my complaint, to the Standards Council.

You may send your completed Complaint Form with copies of the relevant documents to FP Canada Standards Council by email: [complaints@fpcanada.ca](mailto:complaints@fpcanada.ca) OR by mail to 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: [Make a Complaint | FP Canada](#). If you have any questions about how to file your complaint, please send an e-mail to [complaints@fpcanada.ca](mailto:complaints@fpcanada.ca) or contact FP Canada Standards Council by phone at Tel: 416.593.8587 or Toll Free: 1.800.305.9886 and ask to speak with the Standards Council.