

***FP Canada Standards Council™***  
***and***  
***Dorothy (aka Dorota) Irena Hagel***

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**STATEMENT OF ALLEGATIONS**

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**THE FORMER CERTIFICANT**

1. Dorothy (aka Dorota) Irena Hagel (“Ms. Hagel” or the “Respondent”) was certified by the Financial Planning Standards Council®, now FP Canada™, as a CERTIFIED FINANCIAL PLANNER® professional in January 2000. Ms. Hagel consistently renewed her certification until March 31, 2021, when her certification lapsed due to voluntary non-renewal. Ms. Hagel does not have a prior discipline history with the FP Canada Standards Council™ (the “Standards Council”).
2. Ms. Hagel was called to the Bar of Ontario in 2007 and is a lawyer in good standing with the Law Society of Ontario. In 2009, Ms. Hagel founded Hagel Law Firm Professional Corporation which provides legal services relating to, amongst other things, estate-related matters. Since becoming a lawyer, Ms. Hagel has not provided financial planning services.
3. Between 2014 to 2019, Ms. Hagel was a member of FP Canada’s Conduct Review Panel (CRP) an independent Panel of the FP Canada Board responsible for determining the appropriate disposition of complaints, in the public interest. Ms. Hagel marketed herself, and continues to market herself, in a manner that closely associates herself with FP Canada certification and the profession.
4. Ms. Hagel resides in Mississauga, Ontario.

**HISTORY OF THE PROCEEDINGS**

5. When completing her 2018/2019, 2019/2020 and 2020/2021 CFP® Renewal Application Forms, Ms. Hagel reported that she was involved in civil proceedings with respect to her conduct as a lawyer. She reported that she had been sanctioned and fined by a court and that a judgment had been rendered against her.

6. In October 2015, Ms. Hagel was retained by Ms. Augusta Tiberi, Mr. Bruno Tiberi (husband), and Ms. Ida Caporale (Ms. Tiberi's sister) to defend them in an estate dispute commenced by Ms. Tiberi's siblings. The estates matter settled in December 2016; however, the parties were unable to agree on costs. From April to December 2017, a costs hearing proceeded before Justice Price at the Ontario Superior Court of Justice, over the course of six (6) days.
7. In Justice Price's [Costs Endorsement](#), in *Baca v. Tiberi*, 2018 ONSC 7282 (CanLII) released on December 5, 2018 (the "Costs Endorsement"), he found, amongst other things, that Ms. Hagel:
  - "misrepresented the facts to the court" and "intentionally misled the court";
  - "caused a misleading affidavit... to be prepared and sworn by her client";
  - "gave false or misleading responses" and "gave responses that were calculated to be ambiguous and misleading";
  - "undertook a campaign of tactical obfuscation, delay, and baseless applications resulting in needless litigation and extraordinary costs"; and
  - "personally misled the court, allowed her clients to mislead the court and facilitated her client's breach of court orders. Her actions in this matter directly caused unnecessary litigation, hindered this court's ability to adjudicate this matter in an expeditious manner, and interfered with the administration of justice".
8. Justice Price ordered Ms. Hagel to personally pay 25% (approximately \$91,000 of the \$365,000 awarded) of the plaintiffs' costs for failing to perform her duty to her clients and the Court. In this case, Justice Price determined that Ms. Hagel's actions directly contributed to unnecessary delays in the proceedings, thereby increasing the parties' costs.
9. Ms. Hagel sought leave to appeal Justice Price's costs order; however, leave was dismissed on March 21, 2019.
10. The Standards Council initiated an independent investigation into Ms. Hagel's conduct on March 4, 2022.
11. On October 23, 2023, the CRP convened and referred the allegations set out herein to a Hearing Panel.

## NOTICE

12. Further to the direction of the CRP, and in accordance with Article 5.1 of the *FP Canada Standards Council Disciplinary Rules and Procedures* (DRP), I hereby give notice of the Standards Council's request that a hearing date be set with respect to the matter identified as: *FP Canada Standards Council™ and Dorothy (aka Dorota) Irena Hagel*.

13. The Standards Council requests that the hearing be held in writing.

## APPLICABLE STANDARDS

The Court's findings in respect of Ms. Hagel's conduct were published on December 5, 2018. Accordingly, her conduct is governed by the *Standards of Professional Responsibility* in effect between June 2017 and December 2018. The applicable Principles and Rules of the *Standards of Professional Responsibility* are attached at **Appendix A**.

## ALLEGATION

The Standards Council makes the following allegation against the Respondent:

1. As a result of the findings made by the Court against the Respondent in the published Costs Endorsement dated December 5, 2018, the Respondent: failed to act with integrity, fairness and professionalism; engaged in conduct that reflects adversely on her integrity or fitness as a CFP professional, the CFP marks or the profession; and engaged in conduct involving dishonesty, deceit or misrepresentation, or knowingly making a false or misleading statement to other parties. The Respondent's conduct is contrary to Principles 2, 5 and 8 and Rules 1 and 2 of the *Standards of Professional Responsibility* in effect between June 2017 and December 2018.

Dated: November 13, 2023



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Tamara Center

Director, Professional Conduct and Enforcement  
Counsel to FP Canada Standards Council™

# Appendix A

## Standards of Professional Responsibility for CFP Professionals and FPSC Level 1 Certificants in Financial Planning – June 2017 to December 2018

### Principle 2: Integrity

**A CFP professional shall always act with integrity.**

Integrity means rigorous adherence to the moral rules and duties imposed by honesty and justice. Integrity requires the CFP professional to observe both the letter and the spirit of the Code.

### Principle 5: Fairness

**A CFP professional shall be fair and open in all professional relationships.**

Fairness requires providing clients with what they should reasonably expect from a professional relationship, and includes honesty and disclosure of all relevant facts, including conflicts of interest.

### Principle 8: Professionalism

**A CFP professional shall act in a manner reflecting positively upon the profession.**

Professionalism refers to conduct that inspires confidence and respect from clients and the community, and embodies all the other principles within the Code.

**Rule 1:** A CFP professional shall not engage in or associate with individuals engaged in conduct involving dishonesty, fraud, deceit or misrepresentation, or knowingly make a false or misleading statement to clients or any other parties.

**Rule 2:** A CFP professional shall not engage in any conduct that reflects adversely on his or her integrity or fitness as a CFP professional, the CFP marks or the profession.