

FP CANADA STANDARDS COUNCIL™

COMPLAINT FORM

Use this form to file a complaint about a CFP® professional or a 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 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

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.

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:	<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"/> Home phone	<input type="checkbox"/> Cell phone	<input type="checkbox"/> Email	<input type="checkbox"/> 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, FP Canada Standards Council requires written authorization from that person in order to proceed with our review of the complaint. The Standards Council will 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*

- On FP Canada's website
- From the FP Canada Certificant
- From the FP Canada Certificant's firm or employer
Please specify: _____
- From another regulatory or professional body
Please specify: _____
- Other
Please specify: _____

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

- The FP Canada Certificant
- The FP Canada Certificant's firm or employer
Please specify: _____
- Provincial Securities Commission (e.g. OSC, BCSC)
Please specify: _____
- Investment Industry Regulatory Organization of Canada (IIROC)
- Mutual Fund Dealers Association of Canada (MFDA)
- Provincial Insurance Industry Regulator (e.g. BC Insurance Council, Financial Services
Regulatory Authority of Ontario, etc.)
Please specify: _____
- 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™, will share some or all of the information and documentation received from me and from others 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; and
- Entities with whom FP Canada or its Divisions have 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 investigation.

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 in my client file, to the Standards Council as requested during its review or investigation or as otherwise becomes necessary.

I UNDERSTAND AND AGREE THAT the Standards Council will share this Complaint Form which includes my personal information and contact details, with the FP Canada Certificant complained about including documents attached to the Complaint Form.

Date signed

Signature of Complainant

By checking 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.

By checking 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 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: fpcanada.ca/complaints. 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 or Toll Free: 1.800.305.9886 and ask to speak with the Standards Council.

Contact Details

FP CANADA™

902-375 University Avenue, Toronto, Ontario M5G 2J5

416.593.8587 | 1.800.305.9886 | fpcanada.ca

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