

## Consent to Release of MFDA Enforcement Activity History and Release from Liability

This form is used for requesting information related to enforcement history with the Mutual Fund Dealers Association of Canada ("MFDA").

Please fill out all required fields <sup>1</sup> and forward the signed form with \$50 fee (Cheque or Money Order only) to the MFDA at:

MFDA Head Office 121 King Street West, Suite 1000 Toronto, ON M5H 3T9 Attention: Membership Services

The information will be sent via email.

**Approved Person Details (all fields must be completed):** 

Full Legal Name:		
Date of Birth		
NRD #:		
Current Residential Address:		
	or Approved Persons applying directly to the MFDA, pl	lease

<sup>&</sup>lt;sup>1</sup> Only fully completed and unaltered forms will be accepted.

<b>A.</b> To be completed by current or former Approved Person	1:
I,	ted below with certain information. I hereby release the MFDA, its e release of this inform ation. I am limited to: a list of all files closed rning Letter s, Cautionary Letters, FDA Hearing Panel decisions and as which have not yet been subjecting and escalation letters on such the e. I am aware and understand that topies of any other work product ments and therefore reports, notes, ill not be included as part of my the ses not disclose any information
Signature	Date
<b>B.</b> To be completed by Member:	
I hereby release the MF DA, its employees and agents from a release of this information to the Member.	Il liability in connection with the
Member Name:	
Member Representative Signature	Date
Member Representative Name and contact email address	
<sup>2</sup> The MEDA reserves the right to withhold the release of the existence of an	ny open files pertaining to allegations

<sup>&</sup>lt;sup>2</sup> The MFDA reserves the right to withhold the release of the existence of any open files pertaining to allegations which have not yet been subject to a final determination by the MFDA where, in the MFDA's sole discretion, it is necessary to do so for the purposes of an ongoing investigation or hearing.