



Privacy Policy

MFDA Collection, Use and Disclosure of Personal Information

(November 2014)

The Mutual Fund Dealers Association of Canada (“MFDA”) understands the importance of privacy and is committed to protecting personal information under its control. The MFDA complies with all applicable Canadian privacy laws.

This Policy sets out the principles that will be observed by the MFDA with respect to the collection, use, disclosure and protection of personal information that is in its custody or control. This includes the personal information of any identifiable individual other than an MFDA employee. MFDA employees are covered by the *MFDA Employee Privacy Statement*.

“*Personal Information*” means information about an identifiable individual. The MFDA may collect personal information including your age, home address, date of birth, gender, religion, identification numbers, income, liabilities, source of funds, payment records, investment objectives, financial plans and other finance or asset-related information, marital status, personal references, citizenship and immigration status, educational and employment history.

In this Policy, “*personal information*” does not include business contact information which includes an individual’s name or title and business contact information.

The types of personal information held by the MFDA may vary depending on whether you are a current or prospective client of an MFDA Member firm, an Approved Person, a supplier or a service provider.

Accountability

Any questions or concerns regarding this Policy or the MFDA’s management of personal information may be directed to the MFDA’s Privacy Officer at:

Mutual Fund Dealers Association of Canada
121 King Street West, Suite 1000
Toronto, Ontario
M5H 3T9

Attention: Privacy Officer

E-mail: privacyofficer@mfd.ca

Facsimile: (416) 361-9781

Collection, Use and Disclosure

The MFDA collects, uses and discloses personal information in order to perform its regulatory functions. These functions include: sales and financial compliance examinations and other regulatory audits;

investigations, enforcement or disciplinary proceedings related to regulatory violations; maintenance of regulatory databases; reporting to securities regulators; and other functions as otherwise required to fulfil its regulatory mandate.

The MFDA limits the collection, use and disclosure of personal information to what is required and reasonable in the circumstances. Although the MFDA collects personal information primarily from the individual involved and/or applicable Member Firms and Approved Persons, it may also collect personal information from other sources.

The MFDA may disclose personal information to other organizations under the information sharing portion of its mandate. These organizations may include: Canadian and international securities regulatory authorities; regulated marketplaces; other self-regulatory organizations; other regulatory bodies; and law enforcement agencies.

Consent

Canadian privacy laws may allow the collection, use, retention or disclosure of personal information without consent and/or its collection from a source other than the individual. Where consent is required by law the MFDA obtains consent.

Retention

The MFDA retains personal information for as long as required by law or for the completion of its regulatory purposes. Personal information that is no longer required is destroyed. The MFDA does not use or disclose personal information for purposes unrelated to its regulatory function unless required to by law. The MFDA does not sell personal information to other parties.

Safeguards

The MFDA understands the importance of using security safeguards to protect personal information against unauthorized access, collection, use, disclosure, copying, modification, disposal, destruction or similar risks. The MFDA employs physical, administrative and technological measures to protect personal information regardless of the format in which it is held and in accordance with the sensitivity of the information. The MFDA reviews these procedures periodically to ensure the ongoing safety and security of information in its custody or control.

Additional Information

For additional information about the MFDA's privacy policies and procedures, to make a complaint regarding the MFDA's compliance with its Privacy Policy and any applicable privacy laws, or to inquire about the procedure by which you may access your personal information, please contact the MFDA Privacy Officer using the contact information above.

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