



Please use this form to file a complaint with the Enforcement Department of the Mutual Fund Dealers Association of Canada. Receipt of your complaint will be acknowledged and if further information is required a Case Assessment Officer will contact you. If you have trouble completing this form please call 1-888-466-6332 (selection option #2) to speak to a case assessment officer who will assist you.

While an individual may file a complaint on behalf of someone else, we require written authorization from that person in order to proceed with our review of the complaint.

Printable Complaint Form

1. Your Information

Mr./Mrs./Ms./Miss/Dr. _____
Please Print Name in Full

Address: _____

City: _____ Province: _____ Postal Code: _____

Home Telephone: () _____ Business Telephone: () _____

Fax Number: () _____ E-Mail Address: _____

2. Account Information

Name of Dealer: _____

Name of Approved Person (Mutual Fund Salesperson): _____

Number of Accounts at Dealer: _____

If you are filing this complaint on behalf of another person please provide that person's name and address:

3. Complaint Summary

Please provide a brief, chronological summary of your complaint. Please mail or fax us any relevant documentation you may have. If you would like to provide us with the documentation through email, please email us at: complaints@mfdca.ca and we will provide you with a secure method of electronic delivery.

4. Authorization

By completing this form you are authorizing MFDA staff to direct your complaint and any related documents to any MFDA Member Dealers or other regulatory bodies we deem appropriate.

If you do not agree to this release please check the box below:

- Do not forward my complaint or any related documents to any MFDA Member Dealers or other regulatory bodies without my consent.

5. Your Signature

Signature: _____ Date: _____

If you are filing this complaint on behalf of another person, please have the person(s) sign below:

Signature: _____ Date: _____

Signature: _____ Date: _____

Your complaint form and documentation can be mailed or faxed to the address and number below:

Mutual Fund Dealers Association of Canada
Enforcement Department, Case Assessment
121 King Street West, Suite 1000
Toronto, Ontario, M5H 3T9
Fax: (416) 361-9073

DM#115801v4