



COMPLAINT FORM

Use this form to file a complaint about a CFP® professional or an FPSC Level 1® Certificant in Financial Planning. Complaints must be submitted in writing before they will be reviewed.

<p>What types of complaints will FPSC deal with?</p>	<p>Financial Planning Standards Council (FPSC) has the responsibility of protecting the public interest by ensuring FPSC certifiants (CFP professionals and FPSC Level 1 certifiants in Financial Planning) observe the highest professional and ethical standards and maintains the integrity, reputation and significance of the CERTIFIED FINANCIAL PLANNER®, CFP and CFP flame logo trademarks (collectively, the Marks).</p> <p>FPSC will investigate complaints about CFP professionals and FPSC Level 1 certifiants involving:</p> <ul style="list-style-type: none"> ▪ Any act or omission that may violate the provisions of the FPSC® Code of Ethics; FPSC® Rules of Conduct; FPSC® Fitness Standards and/or FPSC® Financial Planning Practice Standards; ▪ Any other acts or omissions amounting to misconduct or which may bring the reputation of the Marks into question. <p>Note: Complaints must be filed within six years of the date you knew (or ought to have known) of the alleged misconduct by the CFP professional or FPSC Level 1 certificant.</p>
<p>Your role – what FPSC needs you to do</p>	<p>Complete and sign the Complaint Form. Attach <u>copies</u> of any documents relating to your complaint (please do not attach original documents).</p> <p>Send the completed Complaint Form with copies of the relevant documents to FPSC by e-mail: complaints@fpsc.ca OR by mail to: 902 – 375 University Avenue, Toronto, ON M5G 2J5.</p> <p>Note: In fairness to the CFP professional or FPSC Level 1 certificant you are filing a complaint about, we will share with them some or all of the information you give us. We may give copies of documents received from you or any other person to the CFP professional or FPSC Level 1 certificant. We may also share personal information (such as names, addresses and telephone numbers) with the CFP professional or FPSC Level 1 certificant. This form will be disclosed to the CFP professional or FPSC Level 1 certificant whose conduct is the subject of your complaint.</p>
<p>What happens next?</p>	<p>FPSC will confirm receipt of your complaint within two business days. Staff will conduct an initial review of the complaint. FPSC may contact you during this initial review stage to request additional information/documentation from you. The initial review stage may take up to 90 days to complete.</p> <p>If FPSC determines that a formal investigation is required, the FPSC registrant who is the subject of your complaint will be notified and given an opportunity to respond.</p> <p>FPSC will conduct the investigation in a timely, transparent and fair manner. Staff may contact you during the course of the investigation to request your assistance, additional information and/or additional documentation. The investigation will be completed in as timely a manner as is reasonably practicable and appropriate in the circumstances of each case. You will be notified of the outcome of the investigation.</p>



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INFORMATION ABOUT YOU	
First Name:	
Last Name:	
Salutation:	Mr. Ms. Mrs. Dr.
Home Phone No.	
Cell or other No.	
Email Address	
Mailing Address	
Preferred method of contact:	phone email mail

If you are making this complaint on behalf of someone else, please let us know. FPSC requires that person's name and contact information. In addition, FPSC requires written authorization from that person in order to proceed with our review of the complaint.

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:	

INFORMATION ABOUT CFP PROFESSIONAL / FPSC LEVEL 1 CERTIFICANT YOU ARE COMPLAINING ABOUT	
First Name:	
Last Name:	
Phone No.	
Email Address	
Mailing Address	



COMPLAINT FORM

YOUR COMPLAINT

Please tell us about your complaint including details of all relevant dates/events (attach additional pages as needed)



COMPLAINT FORM

What do you hope will happen as a result of your complaint to FPSC?

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Please list the documents you are attaching (please do not send originals):

1.
2.
3.
4.
5.
6.
7.
8.
9.
10.

ADDITIONAL INFORMATION

Have you taken legal action? If yes, please provide details.

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

- The CFP professional or FPSC Level 1 certificant
- The CFP professional's or FPSC Level 1 certificant's firm or employer
- Investment Industry Regulatory Organization of Canada (IIROC)
- Mutual Fund Dealers Association of Canada (MFDA)
- Police
- Provincial Insurance Industry Regulatory (please identify) _____
- Other? (please identify) _____

ACKNOWLEDGEMENT, AUTHORIZATION AND SIGNATURE

I have read and I understand the following:

I understand that FPSC will share some or all of the information and documents that it receives from me and other parties with the CFP professional or FPSC Level 1 certificant complained about, including this Complaint Form. I also understand that FPSC may share some or all of the information and documents that it receives from me and other parties with witnesses contacted by FPSC during the course of its investigation.

I understand that FPSC may share all or some of the information that it receives from me, including this Complaint Form which includes my name and contact details, with: other regulatory bodies; law enforcement agencies (police); other credentialing or licensing bodies; and entities with whom FPSC has Information Sharing Agreements.

I agree to FPSC sharing and providing copies of information and documents that it receives from me, including without limitation this Complaint Form, with: the CFP professional or FPSC Level 1 certificant complained about; other regulatory bodies; other credentialing or licensing bodies; law enforcement and entities with whom FPSC has Information Sharing Agreements, as may be deemed appropriate by FPSC. I agree to FPSC sharing and providing copies of information and documents that it receives from me, including without limitation this Complaint Form, with witnesses contacted by FPSC during the course of its investigation as FPSC deems appropriate.

By completing and forwarding this Complaint Form to FPSC, I hereby authorize the CFP professional or FPSC Level 1 certificant complained about to release relevant financial information to FPSC as requested during the course of its investigation or as otherwise becomes necessary.

I understand that FPSC may not be able to process my complaint without supporting documents and that FPSC may require my assistance in order to complete its investigation.

Date signed

Signature of Complainant



FPSC FINANCIAL
PLANNING
STANDARDS
COUNCIL®

COMPLAINT FORM

Your Complaint Form and documentation can be submitted electronically to: complaints@fpsc.ca

You can also send your completed Complaint Form and documentation to:

Standards and Enforcement Coordinator
Financial Planning Standards Council
902 – 375 University Avenue
Toronto, ON M5G 2J5

For additional information regarding FPSC and the complaint process, please visit:

<http://fpsc.ca/complaints-process>

If you have any questions about how to file your complaint, please send an e-mail to complaints@fpsc.ca or contact FPSC by phone at Tel: 416.593.8587 | Toll Free: 1.800.305.9886 and ask to speak with the Standards and Enforcement Coordinator