

Investor Forum



Choosing an Advisor: Getting helpful information



How do I find out if my advisor/firm is registered with the OSC or an SRO?



How do I find out if my advisor/firm has a disciplinary history?



Ontario Securities Commission

Registrant Search

- Look on the OSC home page under *Registrant Lists*
- Registrants involved in trading or advising clients in securities in Ontario will be listed on this website, including IDA and MFDA registrants.
- The search results will tell you what category they are registered in, and any OSC terms and conditions attached to their registration.

OSC Home Page



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**WEBSITE REDEVELOPMENT
SURVEY** We want your feedback! ▶

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Dialogue with the C

October 15, 2007

[In the Matter of Saxon
Financial Services et al.](#)

October 15, 2007

[In the Matter of Global
Partners Capital et al.](#)

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[In the Matter of Firestal
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October 3, 2007

[In the Matter of John
Daubney and Cheryl Lit](#)



Ontario Securities Commission

Registrant Search

Terms and Conditions

- They may be imposed for various reasons, for example, to address a regulator's concerns, to restrict activities, or as a result of disciplinary or other proceedings.

Registrant Search

Terms and conditions may be imposed for various reasons, for example, to address a regulator's concerns, to restrict

Search here to find out if an individual or firm is registered with the OSC.

A registrant list is also available in PDF.

proceedings.
ns on individuals who are granted registration in the securities industry for the
e, a six-month period of supervision and/or post-registration proficiency

416-593-8314 or 1-877-785-1555 for more information about:

registered and in what category

- terms and conditions
- disciplinary actions against an individual or firm

For the Registrant List: Firms only in PDF [click here](#).

FIRM:

FIRM A

and/or

INDIVIDUAL:

Search

[\[Help\]](#)

Registrant Search

For the Registrant List: Firms only in PDF [click here](#).

Registration data on this page was last updated from NRD on **Wed, Aug 22, 2007**.

FIRM:


and/or

INDIVIDUAL:

[\[Help\]](#)

Text Size: [S](#) [M](#) [L](#) [XL](#)

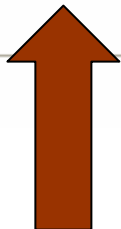
 indicates terms and conditions exist.

Firm	Registration Categories	Terms and Conditions
 FIRM A	Limited Market Dealer Securities Dealer	<ul style="list-style-type: none">Other

The date provided indicates when the information was last updated.

Registration Categories are also provided.

Click on the link under Terms and Conditions to obtain a description of specific terms or conditions.





Ontario Securities Commission

Disciplinary History

- The records of proceedings on the OSC website are only those initiated by the OSC, under the *Securities Act* (Ontario) or the *Commodity Futures Act*, and do not include those conducted by recognized self-regulatory organizations (SROs).

Enforcement Proceedings

Click on the links to see notices of hearing, settlements, decisions and other related documents.

the Office of the Secretary, notices of hearing, statements of allegation, decisions.

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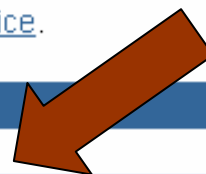
Note:

This section is organized by the first letter of the company or by the first letter of the last name of the individual. The website list date for documents in the Enforcement section is the date the document was signed. For a full explanation of the organization of the Enforcement section please [click here](#).

Click here to see the Ontario Securities Commission [Rules of Practice](#).

B

- ▶ Registrant
July 6, 2001 [Notice of Hearing](#)
- ▶ Registrant
August 10, 2007 [Notice from the Office of the Secretary](#)
- ▶ Registrant
August 10, 2007 [Order](#)
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July 26, 2007 [Notice from the Office of the Secretary](#)
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July 26, 2007 [Notice of Hearing](#)
- ▶ Registrant
July 26, 2007 [Temporary Order](#)



OSC

Ontario Securities Commission

Call the OSC Inquiries and Contact Centre at **416-593-8314** or **1-877-785-1555** for more information on:

- What the categories mean
- How long an individual or firm has been registered and in what category
- Terms and conditions



**INVESTMENT DEALERS
ASSOCIATION OF CANADA**

Member Firm/Registrant Information Service

- Provided by the IDA to help investors access public information available on its Member firms and their registered employees.

IDA Home Page



INVESTMENT DEALERS
ASSOCIATION OF CANADA

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Last Updated: Tuesday October 16, 2007

LATEST ADDITIONS

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- [IDA CLS Annual Compliance Conference](#)
- [BCSC EVENT: Capital Ideas 2007](#)
- [Quebec Breakfast Seminars](#)
- [Investor Forum](#)

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Releases

Robert John Travers permanently banned from approval ... [more](#)

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Member Firm/Registrant Information Service

The info service gives you a range of options to find out information about an IDA Member firm or registrant.

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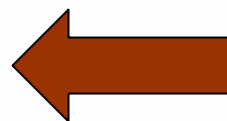
[Consumer Protection](#)

Member Firm/Registrant Information Service

Last Updated: Thursday August 17, 2006

Member Firm/Registrant Information Service

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- [Information Search](#)
 - [Member List](#)
 - [Online Search](#)
 - [Information Request Form](#)
- [Glossary of Terms](#)



This service is provided by the IDA to help investors access the public information available on its Member firms and their registered employees. A complete list of current IDA Member firms is accessible online under Member List. Information relating to IDA disciplinary actions since September 1997 is also available online, and can be accessed immediately using the [Online Search](#) function. Current registration status of individuals and past disciplinary information is freely available upon request. An [Information Request Form](#) is available, and inquiries will be answered within seven business days of receipt.

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INVESTMENT DEALERS ASSOCIATION OF CANADA

Member firms

- For firms, current membership status (e.g., active, suspended, etc.), and headquarters are provided.
- A current list of IDA Member firms, including address is available.

Member List

Industry Issues & Info ▶

Member List

All IDA Member firms are listed on the IDA website alphabetically.

[C](#) [D](#) [E](#) [F](#) [G](#) [H](#) [I](#) [J](#) [K](#) [L](#) [M](#) [N](#) [O](#) [P](#) [Q](#) [R](#) [S](#) [T](#) [U](#) [V](#) [WXYZ](#)
[Member Directory](#) | [Print-Friendly](#) | [Excel](#)

Registration ▶

Resources For Members

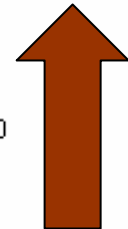
Rule Book & Bulletins ▶

Investment Industry Association Of Canada

[ABN AMRO Capital Markets Canada Limited](#)

Address

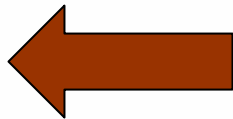
TD Centre, PO Box 114
79 Wellington Street West, Suite 1500
Toronto ON M5K 1G8
(416) 367-0850



[Acadian Securities Incorporated](#)

Barrington Place, Pedway Level
1903 Barrington Street, Suite 100
Halifax NS B3J 3L7
(902) 496-7580
www.acadiansec.com

[Acker Finley Inc.](#)



Suite 1316, 181 University Ave
ING Tower
Toronto ON M5H 3M7
(416) 777-9005
www.ackerfinley.com

[Acumen Capital Finance Partners Limited](#)

Suite 700
404 - 6th Avenue SW
Calgary AB T2P 0R9
(403) 571-0300



**INVESTMENT DEALERS
ASSOCIATION OF CANADA**

Disciplinary history

- The results of disciplinary hearings involving Member firms and their registered employees are public information, and are available on the IDA's website (after September 1997 only) or by request to the IDA (including decisions before September 1997).

Online Search



INVESTMENT DEALERS
ASSOCIATION OF CANADA

Search the name of an individual or Member firm.

If they are registered with the IDA and have a disciplinary history (since September 1997), you can find out.

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Last Updated: Thursday August 16, 2007

Search by firm name or last name

MEMBER FIRM / REGISTRANT

Search

[Search Tips](#)



Online Search - Results

The screenshot shows the website of the Investment Dealers Association of Canada. The header includes the logo and the text "INVESTMENT DEALERS ASSOCIATION OF CANADA". The main navigation bar contains links for "e-Publications", "Member Firm/Registrant Info Service", "Ombudsman", and "Consumer Protection". A secondary navigation bar includes "Task Force". The page title is "Investors". The breadcrumb trail reads: "You Are Here: Investors > Member Firm/Registrant Information Service > Disciplinary Search". The date "Last Updated: Thursday August 16, 2007" is displayed. A search box is present with the text "Search by firm name or last name" and a "Search" button. Below the search box, the text "MEMBER FIRM / REGISTRANT" is visible. A large orange callout box on the left contains the text: "Click on the link to see the media release, decision, notices and other related documents (if available)." The search results list one item: "1. Media Releases: Hearings" with a "Release Date: 8/22/2007" and a "URL: /Files/Media/MediaRelease/Hearings/MRH2007082200_en.pdf". A large brown arrow points to the URL. The footer includes "Investment Industry Association Of Canada".

Investors

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e-Publications Member Firm/Registrant Info Service Ombudsman Consumer Protection

Task Force

You Are Here: [Investors](#) > [Member Firm/Registrant Information Service](#) > [Disciplinary Search](#)

Last Updated: Thursday August 16, 2007

Search by firm name or last name

MEMBER FIRM / REGISTRANT Search [Search Tips](#)

1. **Media Releases: Hearings**
Release Date: 8/22/2007
URL: /Files/Media/MediaRelease/Hearings/MRH2007082200_en.pdf
IDA Hearing Panel fines MEMBER FIRM / REGISTRANT \$60,000

Click on the link to see the media release, decision, notices and other related documents (if available).

Investment Industry Association Of Canada



INVESTMENT DEALERS ASSOCIATION OF CANADA

Registrants

- For individuals, registration status includes the kind of approval currently granted by the IDA (e.g., to advise and trade in securities, options, etc.), whether that approval is subject to supervision, and place of employment. This information is not available on the website at this time, but may be obtained by filling out the Information Request Form.



INVESTMENT DEALERS ASSOCIATION OF CANADA

Call the IDA's information and complaint line at **1-877-442-4322** for more information on an IDA Member firm or registrant.



Mutual Fund Dealers Association of Canada
Association canadienne des courtiers de fonds mutuels

MFDA Members

- MFDA Members are the firms that are registered as mutual fund dealers with the provincial securities commissions to distribute mutual funds to Canadian investors.

Approved Persons

- Licensed salespersons (known as Approved Persons) are employees or agents of, the Member. They are the people you deal with on a one-on-one basis when investing in mutual funds through an MFDA Member.



Mutual Fund Dealers Association of Canada
Association canadienne des courtiers de fonds mutuels

On the MFDA website you can:

- Access the directory of all MFDA Members
- Access a list of current enforcement cases against Members and Salespersons
- Access a list of completed enforcement cases against Members and Salespersons
- Search the name of a MFDA Member or Salesperson to check if there are any current or completed cases in which they are involved

MFDA Home Page



Mutual Fund Dealers Association of Canada
Association canadienne des courtiers de fonds mutuels

SEARCH

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The Mutual Fund Dealers Association of Canada (MFDA) is the national self-regulatory organization (SRO) for the distribution side of the Canadian mutual fund industry.

It was established in June 1998 at the initiative of the Canadian Securities Administrators. The MFDA regulates the operations, standards of practice and business conduct of its Members and their representatives with a mandate to enhance investor protection and strengthen public confidence in the Canadian mutual fund industry.

For more information about the MFDA, we encourage you to explore this website or contact us at our Corporate or Regional offices.

QUICK LINKS

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[MFDA Investor Protection Corporation](#)

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METS

[Member Directory](#)

[Careers](#)

[Custodial Agreement Listing](#)

[2006 Annual Report](#)

Member Directory

All MFDA Member firms are listed on the MFDA website alphabetically.

The effective membership date is also provided.

Association of Canada
des courtiers de fonds mutuels

SEARCH Go

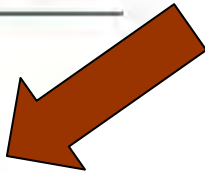
NEWS | FOR INVESTORS | **FOR MEMBERS** | POLICY & REGULATION | ENFORCEMENT

Members

Directory of Members

A | B | C | D | E | F | G | H | I | J | K | L | M | N | O | P | Q | R | S | T | U | V | W | X | Y | Z

Acadia Financial Services Inc. (Membership Effective October 10, 2003)	Place de l'Acadie 295 Boulevard St. Pierre Ouest C.P. 5554 Caraquet, NB E1W 1B7 Phone: (506) 726-4204 Fax: (506) 726-4025
Ackber Financial Corporation (Membership Effective May 10, 2002)	18 Crown Steel Drive, Suite 311 Markham, ON L3R 9X8 Phone: (905) 479-1882 Fax: (905) 479-1820
Addington Financial Corporation (Membership Effective May 10, 2002)	7050 Weston Road, Suite 320 Vaughan, ON L4L 8G7 Phone: (905) 850-5075



Enforcement Hearings – Current Cases

Enforcement

Enforcement Hearings - Current Cases

If an MFDA Member or salesperson is currently involved in the disciplinary process, you'll find out here. Click on the links to see the media release, order and other related documents.

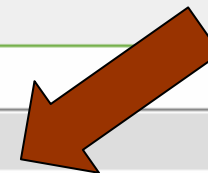
> Hearings Schedule

> **Current Cases**

> Completed Cases

Hearing Procedures

Location	Date and Document Type
Toronto	June 27/07 News Release (MFDA issues Notice of Hearing regarding MEMBER)
	June 22/07 Notice of Hearing
Toronto	June 28/07 News Release (MFDA Central Regional Council Hearing Panel Makes Findings Against MEMBER)
	June 28/07 Order
	June 4/07 Order
	May 15/07 News Release (MFDA Sets Date for MEMBER Hearing in Toronto, Ontario)
	May 01/07 News Release (MFDA issues Notice of Hearing regarding MEMBER)
	Mar. 28/07 Notice of Hearing



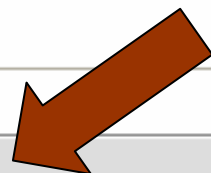
Enforcement Hearings – Completed Cases

Enforcement

Enforcement Hearings - Completed Cases

How To Make A Complaint A B C D E F G H I J K L M N O P Q R S T U V W X Y Z

If an MFDA Member or salesperson has completed the disciplinary process, you'll find out here. Click on the links to see the media release, order and other related documents.



Location	Date of Issue and Document Type
Toronto	July 17/07 Case Summary (Hearing Panel approves Settlement Agreement with MEMBER)
	July 06/07 News Release (MFDA Hearing Panel issues Decision and Reasons respecting MEMBER Settlement Hearing)
	June 22/07 Decision and Reasons
	June 15/07 News Release (MFDA Hearing Panel Approves Settlement Agreement with MEMBER)
	June 15/07 Order
	May 14/07 News Release (MFDA issues Notice of Settlement Hearing regarding MEMBER)
	May 14/07 Notice of Settlement Hearing

Current Cases

> Completed Cases

Hearing Procedures

> Rules of Procedure

Searching

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Mutual Fund Dealers Association of Canada
Association canadienne des courtiers de fonds mutuels

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Mutual Fund Dealers Association of Canada
Association canadienne des courtiers de fonds mutuels

Call the MFDA's information and complaint line
at **1-888-466-6332** for more information on
an MFDA Member firm or registrant.