



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

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# MFDA Bulletin

## Enforcement

**For Distribution to Relevant Parties within your Firm**

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### Guide to Creating a Summary of Member Complaint Handling Procedures

The MFDA has prepared a reference guide to assist Members in the development of a summary of their complaint handling procedures, which is required pursuant to the revised Policy No. 3 “Complaint Handling, Supervisory Investigations and Internal Discipline.”

Under Policy No. 3, Members must provide a summary of their internal complaint handling processes to new clients on account opening, and as part of the initial response to all complaints that are subject to the Additional Complaint Handling Requirements under Part II of the Policy (“the summary”). The summary must be written in a manner that can be clearly understood by clients. The summary should clearly identify from a client perspective the steps the Member will take to investigate and analyze the case, the communications that the client will receive during the process and the general timelines expected for the receipt of a substantive response to their complaint. The summary must be posted on any website maintained by the Member.

The guide is intended to assist Members in drafting the summary of their complaint handling procedures. A sample summary is included as Appendix A to the guide.

The guide can be found on the Forms page of the MFDA website at [http://www.mfda.ca/regulation/forms/Complaint\\_Guide.pdf](http://www.mfda.ca/regulation/forms/Complaint_Guide.pdf).