



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

Consent to Release of MFDA Enforcement Activity History and Release from Liability

This form is used for requesting information related to enforcement history with the Mutual Fund Dealers Association of Canada (“MFDA”).

Please fill out all required fields¹ and forward the signed form with \$50 fee (Cheque or Money Order only) to the MFDA at:

MFDA Head Office
121 King Street West, Suite 1000
Toronto, ON M5H 3T9
Attention: Membership Services

The information will be sent via email.

Approved Person Details (all fields must be completed):

Full Legal Name: _____

Date of Birth _____

NRD #: _____

Current Residential Address: _____

Email address: _____

(For Approved Persons applying directly to the MFDA, please include a copy of a valid drivers license)

¹ Only fully completed and unaltered forms will be accepted.

A. To be completed by current or former Approved Person:

I, _____, hereby authorize the Mutual Fund Dealers Association of Canada (the “MFDA”) to provide me and the Member designated below with certain information and documents regarding my enforcement activity history. I hereby release the MFDA, its employees and agents from all liability in connection with the release of this information. I am aware and understand that my enforcement activity history is limited to: a list of all files closed with formal or informal disciplinary action and copies of Warning Letters, Cautionary Letters, Agreements and Undertakings, Settlement Agreements, and MFDA Hearing Panel decisions and orders on such files, a list of open files pertaining to allegations which have not yet been subject to a final determination by the MFDA² and copies of file opening and escalation letters on such files, and the number of METS events reported in relation to me. I am aware and understand that the MFDA does not disclose copies of enforcement files, copies of any other work product generated by or on behalf of MFDA Staff or any other documents and therefore reports, notes, opinions, client complaints, e-mails and other information will not be included as part of my enforcement activity history, and further, that the MFDA does not disclose any information regarding METS events other than the number of events reported.

Signature

Date

B. To be completed by Member:

I hereby release the MFDA, its employees and agents from all liability in connection with the release of this information to the Member.

Member Name: _____

Member Representative Signature

Date

Member Representative Name and contact email address

² The MFDA reserves the right to withhold the release of the existence of any open files pertaining to allegations which have not yet been subject to a final determination by the MFDA where, in the MFDA’s sole discretion, it is necessary to do so for the purposes of an ongoing investigation or hearing.