

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?



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

OSC
Ontario Securities Commission

Take our
**WEBSITE REDEVELOPMENT
SURVEY** We want your feedback!

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HEADLINE

REGISTER NOW!
Dialogue with the C

October 15, 2007
In the Matter of Seven Financial Services et al.

October 15, 2007
In the Matter of Global Partners Capital et al.

October 12, 2007
In the Matter of Firestar Capital Management Co et al.

October 11, 2007
In the Matter of Global Partners Capital et al.

October 5, 2007
In the Matter of Imagin Diagnostic Centres Inc. et al.

October 4, 2007
In the Matter of John Daubney and Cheryl Lit

October 3, 2007
In the Matter of John Daubney and Cheryl Lit

OSC
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.

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:

and/or

INDIVIDUAL:

[\[Help\]](#)

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:

[\[Help\]](#)

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.

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

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

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.

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

[G](#) [H](#) [I](#) [J](#) [K](#) [L](#) [M](#) [N](#) [O](#) [P](#) [Q](#) [R](#) [S](#) [T](#) [U](#) [V](#) [W](#) [X](#) [Y](#) [Z](#)

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



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



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

What's New
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e-Publications **Member Firm/Registrant Info Service** **Ombudsman** **Consumer Protection**
Task Force

You Are Here: What's New

Last Updated: Tuesday October 16, 2007

LATEST ADDITIONS

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

RECENT ISSUES

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Publications & Speeches
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Investment Industry Association Of Canada

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.

Fransais | Help | Site Index | Contact Us | Employment | Print-Friendly | Disclaimer | Site Search

Member Firm/Registrant Info Service **Ombudsman** **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.



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](#)

	Address
ABN AMRO Capital Markets Canada Limited	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

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.

Investment Dealers Association of Canada

Employment | Print-Friendly | Disclaimer | Site Search

Ombudsman Consumer Protection

Disciplinary Search

Last Updated: Thursday August 16, 2007

Search by firm name or last name

MEMBER FIRM / REGISTRANT Search Search Tips

Online Search - Results

The screenshot displays the website's navigation menu on the left, including links for 'What's New', 'About The IDA', and 'Resources For Members'. The main content area is titled 'Investors' and features a search bar with the text 'Search by firm name or last name'. Below the search bar, a search result is listed: '1. Media Releases: Hearings', with a release date of '8/22/2007' and a URL: '/Files/Media/MediaRelease/Hearings/MRH2007082200_en.pdf'. A brown arrow points to the URL. An orange callout box with a white border contains the text: 'Click on the link to see the media release, decision, notices and other related documents (if available)'. The website header includes the IDA logo and navigation links such as 'Français | Help | Site Index | Contact Us | Employment | Print-Friendly | Disclaimer | Site Search'.



**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.

Information Request Form

Don't hesitate to contact us!

Fill out the info request form to obtain information relating to the registration status of individuals and the disciplinary history of firms and individuals (before September 1997), registration terms and conditions and current situation.

All requests will be answered within seven business days of receipt.

The IDA's Investor Information Service is provided to help investors receive public information relating to IDA Member Firms and their registered employees. All requests will be returned within seven business days.

Your Information

First Name: *Required field
Last Name:
Address:
City:
Province: Choose province...
Postal Code: (XXXX)

Please include a telephone number where we may reach you in the event we need to clarify your request.

Optime Information:

Please indicate how you would like to receive our response:

Mail
 Fax:
 Email:

Subject of Your Inquiry - Please provide as much information as possible

First Name:
Last Name:
If Individuals only:
Firm Name:
City:
Province: Choose province...

Nature of Your Inquiry - Please check all that apply

Firm:

current membership status
 location of head office
 disciplinary history

Individual:

type of current approval (e.g. include in securities)
 current place of employment
 current conditions of approval
 disciplinary history

Please note: Information is only provided on individuals and firms under the jurisdiction of the IDA. Prior to 1997, the registration of Member Firms and their registered employees was controlled by a broader range of agencies and organizations. Ongoing investigations or complaints that have not been resolved are not disclosed to the public due to privacy law constraints. The information provided by the Investment Dealer's Association of Canada is for informational purposes only.



**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

Enforcement Hearings – Current Cases

Enforcement	Enforcement Hearings - Current Cases		
<p style="font-size: 0.8em;"> Home > Home Schedule > Current Cases > Completed Cases Hearing Procedures </p>	Location	Date and Document Type	
	Toronto	June 27/07	News Release (MFDA issues Notice of Hearing regarding MEMBER)
	(XX)	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

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.

Enforcement Hearings – Completed Cases

Enforcement	Enforcement Hearings - Completed Cases		
<p style="font-size: 0.8em;"> Home > Home Schedule > Current Cases > Completed Cases Hearing Procedures > Rules of Procedure </p>	Location	Date of Issue and Document Type	
	Toronto	July 17/07	Case Summary (Hearing Panel approves Settlement Agreement with MEMBER)
	(XX)	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

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.

Searching

The screenshot shows the MFDA website header with the logo and name: "Mutual Fund Dealers Association of Canada / Association canadienne des courtiers de fonds mutuels". A search bar is located in the top right corner with a "Go" button. A callout box points to the search bar with the text: "Search for information on the MFDA website. Each page of the website offers the search feature." Below the header, there is a navigation menu with links: "ABOUT THE MFDA | NEWS | FOR INVESTORS | FOR...". The main content area contains text about the MFDA's role as a self-regulatory organization and its establishment in June 1998. A sidebar on the right lists links: "MFDA Investor Protection Corporation", "Login to EFS", "METS", "Member Directory", and "Careers".

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

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