

# Investor Forum

## Appendix A

# Working together: The 2007 Investor Forum



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



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

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## **Dealers & Advisers**

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## > Related Links

## > Hot Topics

[81-406 - Point of Sale](#)  
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[Information on Portus](#)  
[Information on Norshield](#)  
[NI 51-102 - Amendments](#)

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**REGISTER NOW!**  
**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.*

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*



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:**

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](#)

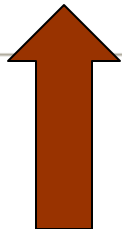
 indicates terms and conditions exist.

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

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.

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

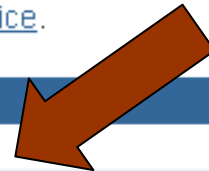
## Note:

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](#)
- ▶ Registrant  
July 26, 2007      [Notice from the Office of the Secretary](#)  
July 26, 2007      [Notice of Hearing](#)  
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

## What's New

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[Member Firm/  
Registrant Info Service](#)

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You Are Here: [What's New](#)

Last Updated: Tuesday October 16, 2007

### LATEST ADDITIONS

- [Web Cast: Safeguarding Communication-Email Issues & Hazards](#)
- [CE Administrators Workshop](#)
- [IDA CLS Annual Compliance Conference](#)
- [BCSC EVENT: Capital Ideas 2007](#)
- [Quebec Breakfast Seminars](#)
- [Investor Forum](#)

### RECENT ISSUES

#### Releases

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

#### Publications & Speeches

Regulatory Analysis of Contracts for Differences (CFDs) ... [more](#)

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- [Rule Book & Bulletins](#)
- [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.

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[Member Firm/  
Registrant Info Service](#)

[Ombudsman](#)

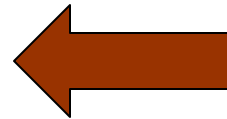
[Consumer Protection](#)

Member Firm/Registrant Information Service

Last Updated: Thursday August 17, 2006

## Member Firm/Registrant Information Service

- [Types of Information](#)
- [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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- Contact Us
- Enforcement
- Industry Issues & Information
- Investors
- Media, Events, Speeches
- Membership
- Regulatory Policy
- Registration
- Resources For Members
- Rule Book & Bulletins
- Investment Industry Association Of Canada



# 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

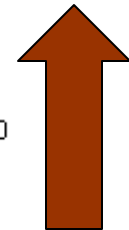
Rule Book & Bulletins ▶

Investment Industry Association Of Canada

[ABN AMRO Capital Markets Canada Limited](#)

## Address

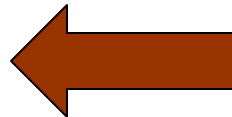
TD Centre, PO Box 114  
79 Wellington Street West, Suite 1500  
Toronto ON M5K 1G8  
(416) 367-0850



[Acadian Securities Incorporated](#)

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

[Acker Finley Inc.](#)



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

[Employment](#) | [Print-Friendly](#) | [Disclaimer](#) | [Site Search](#)

[Ombudsman](#)

[Consumer Protection](#)

[Home](#) > [Disciplinary Search](#)

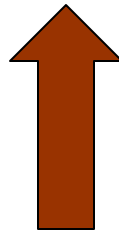
Last Updated: Thursday August 16, 2007

Search by firm name or last name

MEMBER FIRM / REGISTRANT

Search

[Search Tips](#)



- What's New
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- Rule Book & Bulletins
- Investment Industry Association Of Canada

# Online Search - Results

The screenshot shows the website interface for the Investment Dealers Association of Canada. At the top left is the logo and name. To the right is the word "Investors" in red, followed by navigation links: Français | Help | Site Index | Contact Us | Employment | Print-Friendly | Disclaimer | Site Search. Below this is a horizontal menu with buttons for "e-Publications", "Member Firm/ Registrant Info Service", "Ombudsman", and "Consumer Protection". A "Task Force" button is also visible. A breadcrumb trail reads: "You Are Here: Investors > Member Firm/Registrant Information Service > Disciplinary Search". The date "Last Updated: Thursday August 16, 2007" is shown. A search bar contains the text "Search by firm name or last name" and a dropdown menu is set to "MEMBER FIRM / REGISTRANT". A "Search" button and a "Search Tips" link are present. The search results list one item: "1. Media Releases: Hearings" with a release date of 8/22/2007 and a URL: "/Files/Media/MediaRelease/Hearings/MRH2007082200\_en.pdf". The result text reads "IDA Hearing Panel fines MEMBER FIRM / REGISTRANT \$60,000". A large brown arrow points to this result. An 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 left sidebar contains a vertical menu with items like "What's New", "About The IDA", "Com...", "Enf...", "Indu...", "Inve...", "Med...", "Spe...", "Mer...", "Reg...", "Reg...", "Resources For Members", "Rule Book & Bulletins", and "Investment Industry Association Of Canada".

**Investors**

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

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](/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 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.

**IDA Investor Information Service  
Information Request Form**

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

---

**Your Information** \* required fields

First Name:

Last Name:

Address:

City:

Province:

Postal Code:

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

Daytime telephone:

Please indicate how you would like to receive our response.

Mail

Fax:

Email:

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

First Name:

Last Name:   
(For individuals only)

Firm Name:

City:

Province:

**Nature of Your Inquiry - Please check all that apply.**

**Firms:**

current membership status

location of head office

disciplinary history

**Individuals:**

type of current approval (e.g., to trade in securities)

current place of employment

current conditions on approval

disciplinary history

**Please note:** Information is only provided on individuals and firms under the jurisdiction of the IDA. Prior to 1997, the regulation of Member firms and their registered employees was carried out by a broader range of agencies and organizations. Ongoing investigations or complaints that have not been validated are not disclosed to the public due to privacy law concerns. The information provided by the Investment Dealers Association of



# 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

Go

[ABOUT THE MFDA](#) | [NEWS](#) | [FOR INVESTORS](#) | [FOR MEMBERS](#) | [POLICY & REGULATION](#) | [ENFORCEMENT](#)

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

[Complaints](#)

[MFDA Investor Protection Corporation](#)

[Login to EFS](#)

## 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

Membership

> Becoming A Member

> Membership Fees

> Membership Statistics

> Frequently Asked Questions

Forms

2006 Year In Review

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**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

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**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

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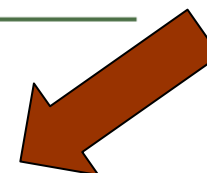
**Addington Financial Corporation**

(Membership Effective May 10, 2002)

7050 Weston Road, Suite 320

Vaughan, ON L4L 8G7

Phone: (905) 850-5075

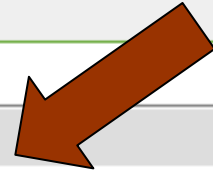


# Enforcement Hearings – Current Cases

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.



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

> Hearings Schedule

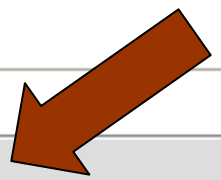
> **Current Cases**

> Completed Cases

Hearing Procedures

# Enforcement Hearings – Completed Cases

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.



Enforcement		Enforcement Hearings - Completed Cases	
<a href="#">How To Make A Complaint</a> <a href="#">A</a> <a href="#">B</a> <a href="#">C</a> <a href="#">D</a> <a href="#">E</a> <a href="#">F</a> <a href="#">G</a> <a href="#">H</a> <a href="#">I</a> <a href="#">J</a> <a href="#">K</a> <a href="#">L</a> <a href="#">M</a> <a href="#">N</a> <a href="#">O</a> <a href="#">P</a> <a href="#">Q</a> <a href="#">R</a> <a href="#">S</a> <a href="#">T</a> <a href="#">U</a> <a href="#">V</a> <a href="#">W</a> <a href="#">X</a> <a href="#">Y</a> <a href="#">Z</a>			
Location	Date of Issue	Document Type	
Toronto	July 17/07	<a href="#">Case Summary</a> (Hearing Panel approves Settlement Agreement with MEMBER)	
	July 06/07	<a href="#">News Release</a> (MFDA Hearing Panel issues Decision and Reasons respecting MEMBER Settlement Hearing)	
	June 22/07	<a href="#">Decision and Reasons</a>	
	June 15/07	<a href="#">News Release</a> (MFDA Hearing Panel Approves Settlement Agreement with MEMBER)	
	June 15/07	<a href="#">Order</a>	
	May 14/07	<a href="#">News Release</a> (MFDA issues Notice of Settlement Hearing regarding MEMBER)	
	May 14/07	<a href="#">Notice of Settlement Hearing</a>	

- Current Cases
- > **Completed Cases**
- Hearing Procedures
- > Rules of Procedure

# Searching

[DISCLAIMER AND PRIVACY](#) | [CONTACT US](#) | [RELATED LINKS](#)



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

SEARCH

Go

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The Mutual Fund Dealers Association of Canada is the national self-regulatory organization on 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.

Search for information on the MFDA website.

Each page of the website offers the search feature.

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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.