

## **MFDA IPC Privacy Policy**

The MFDA Investor Protection Corporation (“MFDA IPC”) understands the importance of privacy and is committed to protecting personal information under its control. This Policy sets out the principles and practices that the MFDA IPC follows with respect to the collection, use, disclosure and protection of personal information that is in its custody or control. This includes the personal information of any identifiable individual.

### **Personal Information**

Personal information means information about an identifiable individual. The MFDA IPC may collect personal information including an individual’s name, age, home address, telephone number, date of birth, identification numbers, banking information, other financial or asset-related information. The type of personal information held varies depending on the individual’s relationship with MFDA IPC, for example, whether the individual is a director, officer, a current or prospective customer of a MFDA Member, a supplier or a service provider. Personal information does not include business contact information which includes an individual’s name or title and business contact information.

### **Accountability**

Any questions, concerns or complaints regarding this Policy or the MFDA IPC’s management of personal information may be directed to the MFDA IPC’s Privacy Officer at:

MFDA Investor Protection Corporation  
121 King Street West, Suite 1000  
Toronto, Ontario M5H 3T9  
Attention: Privacy Officer Email: [privacyofficer@ipc.mfda.ca](mailto:privacyofficer@ipc.mfda.ca)

### **Collection, Use and Disclosure**

The MFDA IPC may collect personal information concerning claimants for regulatory purposes or for the assessment of customer claims in the event of a MFDA Member insolvency. The MFDA IPC may occasionally collect personal information for other regulatory purposes including financial compliance and audits, information sharing with securities regulatory authorities, regulated marketplaces, other self-regulatory organizations, other regulatory bodies and law enforcement agencies or as otherwise permitted by law.

The MFDA IPC limits the collection, use and disclosure of personal information to what is required and reasonable in the circumstances. Although the MFDA IPC collects personal information primarily from the individual involved, MFDA IPC may also collect personal information from MFDA Member or from the MFDA. MFDA IPC may change this Policy from time to time by posting the updated Policy on its website.

## **Consent**

Canadian privacy laws may allow the collection, use, retention or disclosure of personal information without consent and/or its collection from a source other than the individual. When an individual provides their personal information to MFDA IPC, the individual consents to the collection, use, disclosure, retention and deletion of that information in accordance with this Policy and as otherwise permitted by applicable law.

## **Retention and Accuracy**

The MFDA IPC retains personal information for as long as required by law or business purposes. Personal information that is no longer required is destroyed. The MFDA IPC does not use or disclose personal information for purposes unrelated to its regulatory function unless required to by law. The MFDA IPC relies on individuals to provide accurate and current personal information. Where appropriate and on request, MFDA IPC will revise personal information if it is inaccurate, incomplete or irrelevant.

## **Safeguards**

The MFDA IPC understands the importance of using security safeguards to protect personal information against unauthorized access, collection, use, disclosure, copying, modification, disposal, destruction or similar risk. The MFDA IPC employs physical, administrative and technological measures to protect personal information regardless of the format in which it is held and in accordance with the sensitivity of the information. The MFDA IPC reviews these procedures periodically to ensure the ongoing safety and security of information in its custody or control.

## **Access**

Subject to applicable exceptions and limitations prescribed by applicable law, individuals will be given reasonable access to their personal information. Individuals may inquire about the procedure by which they may access their personal information, by contacting the MFDA IPC Privacy Officer in writing using the contact information above.