



Form 1.4 - Application for Party Status Financial Hardship Proceeding

for hearings before the
Financial Services Tribunal

Instructions and Important Information about Financial Hardship Proceedings

Please read all of the following important information before you complete and submit this Form to the Registrar.

If you are interested in actively participating as a party in a financial hardship proceeding before this Tribunal to challenge a Request for Hearing filed by the financial institution that holds your locked-in account in respect of a Notice of Intended Decision of the Chief Executive Officer of the Financial Services Regulatory Authority of Ontario, you must complete and file this Form with the Registrar of the Financial Services Tribunal by mail, or fax or email to:

The Registrar
Financial Services Tribunal
25 Sheppard Ave W, 7th Floor, Suite 100
Toronto, Ontario, M2N 6S6
Fax: (416) 226-7750
Email: contact@fstontario.ca

Sending documents by Fax

If you send any document to the Registrar by fax, the fax should include a cover page indicating:

- the name, address and phone number of the sender,
- that the fax is being sent to the Registrar,
- the date and time the document is transmitted,
- the total number of pages transmitted including the cover page,
- the fax number from which the document is transmitted, and
- the name and phone number of a person to contact if problems arise with the transmission of the fax.

Procedures

The Tribunal will decide whether party status will be granted, either unconditionally or subject to some limitations on participation in the proceeding. The factors that the Tribunal may consider in deciding whether to grant party status are set out in Rule 36.04 of the Rules of Practice and Procedure for Proceedings Before the Financial Services Tribunal. The Financial Hardship proceeding will be conducted as a written hearing unless the Tribunal determines it should be conducted in a different manner. The proceedings will **not** be open to the public.

Personal information requested is necessary for the proper administration of a lawfully authorized activity and is collected under the authority of the *Financial Services Tribunal Act, 2017*. This information will be used for the purposes of the proceeding and will be available to all parties to the proceeding. Any personal information collected must be held in confidence by all parties to the proceeding and their representatives and the Tribunal.

The Tribunal's orders are posted publicly on the internet but will not contain the name of the owner of the locked-in account ("Owner") or contain any other information by which the Owner can be identified. The order shall be published by the Tribunal after being communicated to all parties.

You may represent yourself before the Financial Services Tribunal or you may be represented by someone who is licensed under the *Law Society Act* to practice law or to provide legal services in Ontario (i.e. a lawyer or paralegal) or by someone who is not required to be licensed under that Act (e.g. a trade union representative or a friend helping out on a voluntary basis.). If you are not sure whether or not a person can act as your representative (e.g. he or she is not a lawyer or a licensed paralegal), you should contact the Law Society of Ontario: (416) 947-3300, or 1-800-668-7380, or lawsociety@lso.ca. The Financial Services Tribunal cannot assist you in obtaining representation and cannot provide you with information about the authority or licence status of a representative.

Calculating time

If the day that the Registrar is due to receive a document falls on a Saturday, Sunday or holiday, the due date for receipt of the document becomes the next day that is not a Saturday, Sunday or holiday.

If a document is received by the Registrar after 4:45 p.m., it will be deemed to have been received by the Registrar on the following day.

If a document is sent by first class mail, the person to whom the document is addressed will be deemed to have received the document on the seventh calendar day after the document is mailed.

For more information

For more information please contact the Registrar at (416) 590-7294 or toll free at 1-800-668-0128 or visit the Tribunal's website at www.fstontario.ca

NOTE: You are required to fill out ALL sections of this form as completely as possible.



Financial
Services
Tribunal

Form 1.4 - Application for Party Status Financial Hardship Proceeding

For hearings before the
Financial Services
Tribunal

Tribunal File Number

(The Registrar of the Financial Services Tribunal will complete this box.)

Name and Address of the Owner of the Locked-In Account

Last Name

First Name

Street Address

Apt./Unit

City

Province

Postal Code/ZIP

Phone Number

Ext.

Fax Number

Email Address

Owner of Locked-In Account Representative (if any)

Last Name

First Name

Firm

Street Address

Apt./Unit

City

Province

Postal Code/ZIP

Phone Number

Ext.

Fax Number

Email Address

The Representative is:

- ☐ Lawyer
- ☐ Paralegal licensed to provide legal service
- ☐ Not required to be licensed under the *Law Society Act* and its By-Laws

What is your interest in the Proceeding and why should the Tribunal grant you party status?

Identify clearly whether you will be supporting in whole or in part the position of the CEO and provide your reasons. Explain the reasons why you think you should be granted party status to participate in the proceeding.

What do you want the Tribunal to decide or order?

Explain as precisely as possible what decision you want the Tribunal to make if you are given party status. Use point form if desired.

French and Accessibility Requirements

A person has the right to communicate with the Registrar's office and at hearings in French as provided in the *French Language Services Act*. If a person intends to communicate in French as a party in a proceeding, the person shall indicate this intention in the Request for Hearing or in a letter filed with the Registrar as early as is practicable.

Do you intend to communicate in French?

☐ Yes

☐ No

Do you have any accessibility requirements for the proceeding? (e.g., wheel chair access, sign language interpreter, visual aids or any other accommodation)

☐ Yes

☐ No

If yes, please describe

Signature

Appellant Name (please print)

Appellant Signature

Date (yyyy-mm-dd)

Representative Name (please print)

Representative Signature

Date (yyyy-mm-dd)
