



Financial
Services
Tribunal

Form 4 - Application for Party Status

For hearings before the
Financial Services
Tribunal

A person who is interested in actively participating as a party in a proceeding before the Tribunal must complete and file this form with the Registrar of the Financial Services Tribunal by mailing or delivering this form to 25 Sheppard Ave W, 7th Floor, Suite 100, Toronto, Ontario, M2N 6S6, or by sending this form by e-mail to contact@fstontario.ca, or faxing it to (416) 226-7750. The Tribunal will then 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*.

Information that you file with the Tribunal in connection with this matter will be available to all parties to the proceeding and will become part of the public record. When filing material with the Tribunal you may wish to consider protecting the privacy of individuals by removing social insurance numbers and other personal identifiers. Please refer to *Information For Parties With Privacy Concerns* at www.fstontario.ca. Tribunal hearings are open to the Public unless the Tribunal orders otherwise. The Tribunal's decisions are posted publicly on the internet.

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.

Applicants should review the FST Guide to Regulatory Proceedings posted on the FST website at <https://www.fstontario.ca/en/proceedings/index.html>

Note: You are required to fill out **all** sections of this form as completely as possible. Incomplete forms may be returned and may not be processed until they have been properly completed.

Tribunal File Number (Office Use Only)

Name of Tribunal File

Applicant's Name and Address

Last Name

First Name

Company Name or Organization

Street Address

Apt./Unit

City

Province

Postal Code/ZIP

Phone Number

Ext.

Fax Number

Email Address

Applicant's 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?

Describe how the decision will affect your interests (i.e., the nature of your legal interest in the proceeding). Identify clearly what position you intend to take if you are given party status, and whether you will be supporting or opposing the position of anyone who is already a party to the proceeding. Explain the reasons why you think you should be granted party status to participate in the proceeding. (Attach additional pages if you need more space).

Nature of the Party Status Sought

Indicate whether you wish to have full party status or are seeking only to play a more limited role. If you are seeking only a limited role, what type of participation are you seeking? (e.g. to call evidence? to cross-examine witnesses? to make submissions / arguments?)

What do you want the Tribunal to decide or order?

Explain as precisely as possible what decision you want the Tribunal to make. 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

Applicant Name (please print)

Applicant Signature

Date (yyyy-mm-dd)

Representative Name (please print)

Representative Signature

Date (yyyy-mm-dd)

The personal information requested on this form 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 in the proceeding and will become part of the public record. Any questions about the collection and use of your personal information may be directed to the Registrar by telephone 1-888-333-9211 or 416-590-7294, e-mail (contact@fstontario.ca) or fax at (416)226-7750.

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