

# Request for Investigation (RFI)

## Overview and Instructions

Advocis and The Institute demand that its members and designation holders always act with the utmost professionalism. We take the enforcement of our Code of Professional Conduct very seriously. When someone alleges that an Advocis member or Institute designation holder has violated the Code, we have a formalized disciplinary process in place to investigate such allegations.

This form must be used to report an alleged Code violation and to initiate the disciplinary process. Advocis and The Institute will also accept a written submission that addresses all questions listed on this form.

Please provide all information requested within this form and **return to The Institute at the address provided on the last page of this form**. Envelopes should be marked **PRIVATE & CONFIDENTIAL** and to the attention of The Institute. This form should be completed by the initiator of this Request For Investigation (RFI).

## Initiator Contact Information

Mr.    Ms.    Miss    Mrs.   Advocis ID No (if applicable)

First Name \_\_\_\_\_ Initial \_\_\_\_\_ Last Name \_\_\_\_\_

Street Address \_\_\_\_\_ City \_\_\_\_\_ Province \_\_\_\_\_ Postal Code \_\_\_\_\_

Telephone \_\_\_\_\_ Fax \_\_\_\_\_ Email Address \_\_\_\_\_

Business Name \_\_\_\_\_

Business Address \_\_\_\_\_ City \_\_\_\_\_ Province \_\_\_\_\_ Postal Code \_\_\_\_\_

Business Telephone \_\_\_\_\_ Fax \_\_\_\_\_ Email Address \_\_\_\_\_

Are you an Advocis member or Institute designation holder?    Yes    No

## Additional Information

Please indicate the name of the Advocis member or Institute designation holder who is the subject of your RFI \_\_\_\_\_

Does the alleged unprofessional conduct involve a client?    Yes    No

If yes, please provide the following:

Client's Name \_\_\_\_\_

Street Address \_\_\_\_\_ City \_\_\_\_\_ Province \_\_\_\_\_ Postal Code \_\_\_\_\_

Telephone \_\_\_\_\_

Have you received the client's approval to file this complaint?    Yes    No

Have you received written authorization from the client(s) in this matter to disclose, to Advocis and The Institute, their client information and details as it relates to the allegations made within this RFI?    Yes    No

**Note:** If you are a third party to this matter, client authorization must be obtained in writing and submitted to Advocis and The Institute regarding the disclosure of pertinent client information as it relates to the allegations described within this RFI. If written authorization from the client is not apparent at the time the RFI is submitted, Advocis and The Institute will pursue written authorization from the client prior to any further steps within the disciplinary process taking place.

Where the initiator in an RFI is the client in the matter, written authorization is not required. Submission of an RFI with Advocis and The Institute is considered consensus.



## Evidence or Other Documentation Supporting the Allegations

Please attach copies of any supporting documentation or correspondence that may assist Advocis and The Institute in determining whether an Advocis member's or Institute designated practitioner's conduct has failed to comply with the Code of Professional Conduct (CPC).

## Signature

- I hereby submit this RFI with the purpose of initiating the Advocis/Institute Disciplinary Procedures.
- I hereby attest that the information provided herein is accurate and true to the best of my knowledge.
- I understand that should Advocis/Institute proceed with my RFI, I will be required to enter into a confidentiality agreement.
- I understand that I am restricted in discussing or disclosing any disciplinary procedures, actions or outcome of an Advocis/Institute investigation.
- I understand that my failure to enter into a confidentiality agreement shall bring the Advocis/Institute disciplinary process to a halt and no further action or steps shall be taken.
- I hereby understand that the Advocis/Institute disciplinary process is separate and distinct from any other process and that the Association's written procedures shall be followed and will take all precedence in steps taken.
- I understand that a copy of this RFI shall be provided to the Advocis member and/or Institute designation holder who is identified within this form as the subject of this RFI.

Signature \_\_\_\_\_  Date \_\_\_\_\_

Note: The identity of the initiator of a Request For Investigation shall be made known to any Advocis member and/or Institute designation holder who is the subject of a Request or Investigation. Advocis/Institute will not entertain anonymous requests. Should Advocis/Institute receive any anonymous RFIs or written complaints, the disciplinary process will not be initiated and no further action will occur.

## Send Completed Form To:

Fax To: 416.444.8031

Scan to: info@advocis.ca

OR

Mail To: The Institute

10 Lower Spadina Avenue, Suite 600

Toronto, ON M5V 2Z2

Tel: 416.444.4449 / 1.877.773.6765

## Privacy Statement

Your privacy is important to us. Advocis collects, uses or discloses your personal information for the purposes identified in the Advocis Privacy Policy. Unless you instruct us otherwise, your personal information including email address and your telephone or fax number may be used for marketing, including telemarketing: 1) Advocis and TFAAC entity products and services; and, 2) third-party products and services that may be of interest to you. If you do not wish to receive any communications related to the marketing of Advocis and third-party products and services, please complete the web page in the members' website and indicate your preferences. View our Advocis Privacy Policy.