METS User Manual

Last Updated: February 22, 2013

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1   GETTING STARTED

In this section, you will be presented with information regarding:

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1.1   System requirements for METS users

**Please note, METS has certain minimum system setting requirements.

Microsoft Internet Explorer and Mozilla Firefox only. Versions supported are:

- Internet Explorer 8
- Internet Explorer 9
- Mozilla Firefox 14

IE browser must be set to:

- Enable cookies.

Adobe Reader 9

The MFDA METS Administrator will provide each Member Administrator their METS Login and initial password. It is the responsibility of each Member Administrator to set up Member user accounts. Please consult the Members Only - User Management Manual on the Members Only website for more information on how to administer METS users in Members Only.

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1.2 Logging in to METS

1. In your Internet browser, go to www.mfda.ca and click on the METS link in the "Quick Links" list. Alternatively, click on the Member Login link to go directly to the METS (and Members Only) login screen.

2. The METS Login screen opens.

3. Type in your Login and Password. Remember that your password is case sensitive.

4. Click **Login**.

   Note**:** For security purposes, you should log into METS manage users to change your Administrator appointed password. See **Changing your password** below

   If your Account Status is "Inactive" then you will be prevented from continuing. Contact your Member Administrator to activate your user account.

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1.3   Changing your Password

If you are just logging into METS for the first time or if you have forgotten your password and a new one has been sent to you, for security reasons you should change your password.

To change your password, you must first login to METS using the ID and Password that was provided to you by the Member Administrator.

1.   Click the **Change Password** button on the Login screen.

2.   Type in your Login and current password. Enter the new password in the New Password dialog box and the Verify New Password dialog box.

3.   Click **Save**.

If you fail to properly confirm your new password you will receive an error message. Try again.

If you are successful, you will see this message and be returned to the Login screen so that you can login with the new password.

> Your password has been changed succesfully and you have been logged out.
> You will be redirected back to the login screen in a few seconds.

4. Type in your Login and Password and click **Login**.

1.4 METS Access

Your access and rights on the METS site will be determined by your assigned status. Each MFDA Member has one assigned METS Administrator and usually one or more METS Authors and Readers.

- METS Administrators - One METS administrator is assigned to each Member. Members can request additional administrators by emailing MFDA Membership Services at membershipservices@mfda.ca . METS Administrators are responsible for assigning and maintaining Member Authors and Readers. They have the ability to enter, edit and view events and delete unsubmitted events.

- METS Authors - There can be multiple Authors at each Member. METS Authors are assigned by the METS Administrator and have the ability to enter, edit and view events and delete unsubmitted events.

- METS Readers - There can be multiple Readers at each Member. METS Readers are assigned by the METS Administrator and have the ability to view events only.

1.5 Forgotten Password

Use the forgotten password feature to reset a forgotten password. This feature generates a new password and emails the new password to the email address as known by METS. To use, select the **Forgot Password?** link on the METS login screen. From the Reset Password form, enter your Login Name and click on the **Reset Password** button. A new password will be emailed to you shortly.

1.6 Welcome Screen

The Welcome screen provides a brief description of the Members Only Site as well as links to METS and EFS.

Select the METS option from the Quick Links section.

1.7   Home Screen

Once METS is selected a new window will open that brings you to the METS homepage. On the homepage you may view recent METS notices. METS notices relay important information about updates to the system, planned system outages, and other information that is relevant to METS users. The homepage contains a summary box of your Events that have not yet been submitted to the MFDA, customer complaints that are pending (by age) and your recently edited events. You may view the events in each section by clicking on the drop-down menu provided.

METS
Notices

Summary Box

Drop Down
Menus

Near the bottom of the Home screen, you will see three drop down menus: Events that are not Submitted to MFDA, Customer Complaints that are still Pending and Recently Edited Events.

Events that are not submitted to the MFDA are those events that:

-have never been submitted to the MFDA

-have been submitted to the MFDA at some point, but have been re-opened for a revision, and the revision has not been submitted to the MFDA.

Events that are not submitted to the MFDA will appear in the drop down menu of the same name on the Home page. If an Event appears on this list, and the Rev column says "0" then that event has never been submitted to the MFDA. If an Event appears on this list and has a number other than "0" in the Rev column, it means that the Event was submitted at one point, but has been reopened, and the current version's revisions have not been submitted to the MFDA.

Revision Column

The **Customer Complaints that are still pending** drop down menu lists those METS Events having to do with customer complaints that have not yet been resolved by the Member. These events may be submitted to the MFDA or not submitted. It acts as a reminder of customer complaints that still need to be dealt with.

Recently Edited Events shows the Events that have recently been edited by all users at the Member firm.

You can view the Event Report Form for any event listed on the **Home** screen by clicking on the METS reference number or by searching by the filters at the top of each drop down section.

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Filters →

METS Ref # →

METS ref# ▲	Member ref	Event Type	Violation Type	Date of Initiation	Age	Status
1C0167		Other Theft, Fraud and Serious misconduct		11/18/2010	659	Pending
1C745F		Customer Complaint		11/2/2011	310	Pending
1F7097		Criminal Charge		7/18/2007	1878	Pending
3D6A2B		Customer Complaint		10/28/2011	315	Pending
4286B0		Customer Complaint	Books, Records, and Client Reporting	10/25/2011	318	Pending
4F58CD		Termination, Compensation Paid to Client and Internal Discipline (not otherwise reported above)		3/30/2012	161	Concluded
5DC472		Criminal Charge	Falsification / Misrepresentation	11/5/2010	672	Concluded
6FA999		Criminal Charge		10/1/2011	342	Pending
BB4252		Civil Claim		4/20/2012	140	Pending
F9C4CA		Customer Complaint		11/2/2011	310	Pending

Events that are not submitted to MFDA: 0 — Today: 0, This Week: 0, Last Week: 0, Older: 0

Customer Complaints that are still pending: 9 — < 90 Days: 2, 90 - 120 Days: 0, 120 - 180 Days: 0, > 180 Days: 7

Recently Edited: 10

10 items in 1 pages

2   NAVIGATING THE METS SYSTEM

The functional components of METS use common elements. Once these are understood, you will be able to quickly navigate through the system to find information you are seeking.

Always use the **previous** and **next** buttons to navigate through an event and to save any changes you make along the way. Try to avoid the use of the **back** and **forward** arrows in your browser.

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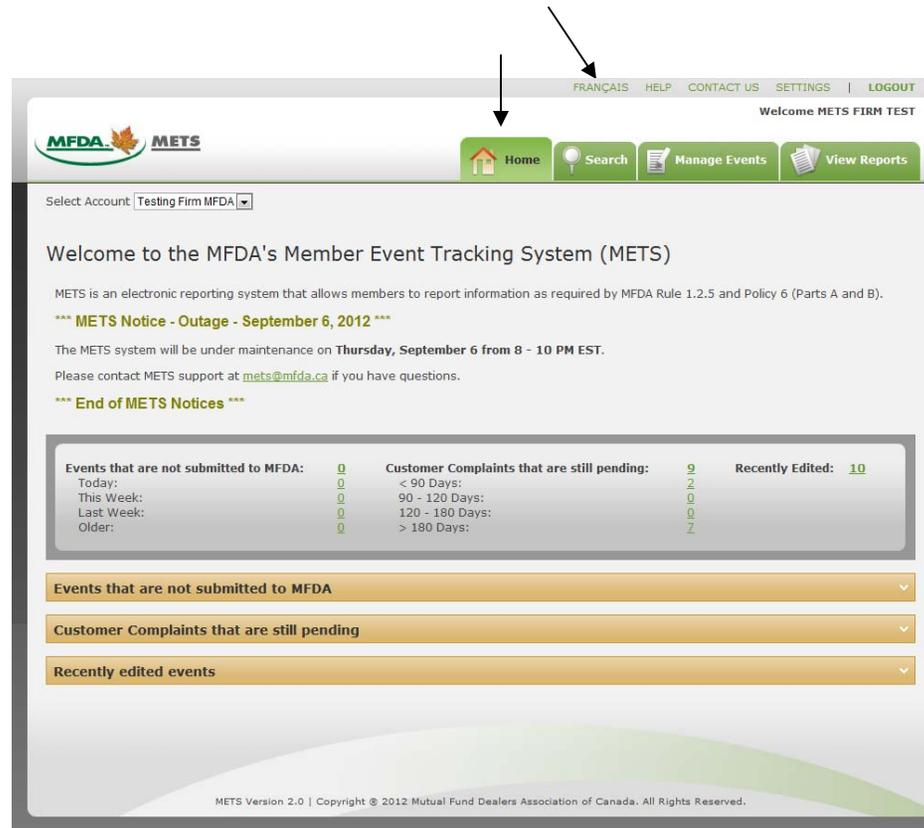
The top right side of the METS window provides tabs to functions within the system. The main METS functions are:

- **Home**

- **Search**

- **Manage Events**

- **View Reports**

If one of the links, such as **Manage Events** appears greyed out it means that it is not applicable or not available to your security role.

Helpful links are located at the top right corner of the main METS screen:

- **Français** toggles the language from English to French
- **Help** opens up the METS Software User Manual
- **Contact Us** provides contact information for METS Support
- **Settings** allows each user to customize the number of records to display at a time in various screens within METS and to add/manage Member contact persons
- **Logout** logs you out of the system

3   MANAGE EVENTS

To make an Event report under MFDA policy 6 parts A and B, the Member must create an event on METS. The Manage Events function allows you to launch the Event Report screen. The Event Report appears in sections to permit related data to be entered to summarize the nature of the event and how the Member has responded to it.

The sections, which are common to all Event Types, are described below to assist you in completing the Event Report.

To start:

1.   Ensure that you are logged into METS.

2.   Click the Manage Events tab on the top right of the screen.

3.   Select the Mandatory event criteria:

    a.   Event type

    b.   Date of initiation

    c.   Subject type

3.1 Event Type

Select the appropriate Event Type by clicking on the **Radio Button** to the immediate left of the name of the appropriate event type. The event types are:

1. Bankruptcy

2. Civil Claim

3. Criminal Charge

4. Customer Complaint

5. Denial, Cancellation, Suspension or Termination of Registration or Approval

6. External Disciplinary Action

7. Garnishment

8. Other Theft, Fraud and Serious misconduct

9. Termination, Compensation Paid to Client and Internal Discipline (not otherwise reported above)

3.2 Date of initiation

You must set the date as appropriate to the event. See the table below for how to calculate the proper date for each event type.

Event Type	Date of Initiation Message
Bankruptcy	The date of bankruptcy filing
Civil Claim	The date that the civil claim was filed
Criminal Charge	The date the criminal charge was laid
Customer Complaint	The date the complaint was received by the Member firm
Denial, Cancellation, Suspension or Termination of Registration or Approval	The date of the denial of application or registration
External Disciplinary Action	The date the subject was named as a defendant
Garnishment	The date of garnishment
Other Theft, Fraud and Serious misconduct	The date you became aware of the serious event
Termination, Compensation Paid to Client and Internal Discipline (not otherwise reported above)	The date the disciplinary action was taken or serious event occurred

3.3 Subject Type

The Subject Type is the role of the subject against which the event is being filed. Your choices are Member or Individual. After you have made your selection, click **Create Event**.

3.3.1 Subject Type is Member

Select this subject type for only those events that do not involve individuals.

When you select **Member** as the subject type, after you click **Create Event**, the Event Report Form will open. The subject-Member relationship section of the event report form will not be editable as it is not applicable with this option.

3.3.2 Subject Type is Individual

When you select **Individual** as the subject type, after you click **Create Event**, the Event Report Form will open. After the Event Report Form opens, select **Search** under the **Subject** section to add an individual.

Click here to search for an existing individual subject or add a new individual subject

When you select **Search** for a subject the Search Individual Subject box will open.

3.3.3 Search Individual Subject

The search fields use the criteria you enter as follows:

- **In any part of First, Last or Middle Name:** Will return individuals if text anywhere, in any name field, matches what you have entered. For example, if you enter "Jo" in this field, individuals "John Smith", "Mary Smith-Jones", and "Betty-Jo Miller" would all be returned in the search results.

- **NRD Number and Province of Residence** Will return individuals only if an exact match exists to the values you entered.

NOTE: If you click the search button without entering any search criteria, all individuals entered by your Member will be included in your search results.

Once you have entered your search criteria, click **Search**. You will be presented with a list of results matching your query.

If the desired individual is found, click on the **Radio Button** next to the name to select it. Click **Select** and you will be returned to the Event Report Form.

If the desired individual is not found, but you are certain the individual has been added, attempt another search using broader search criteria. (Use jo, instead of Joseph, for example.)

If the Subject is not in METS, you can click the **Add New Subject** button.

3.3.4 Add New Subject

If the individual has not been entered previously for your Member, you will have to add them to METS by clicking the **Add New Subject** button, which will bring up the new subject fields.

To add a new individual for your Member (including former employees / agents) complete all of the fields shown below. The asterisk (*) denotes a required field.
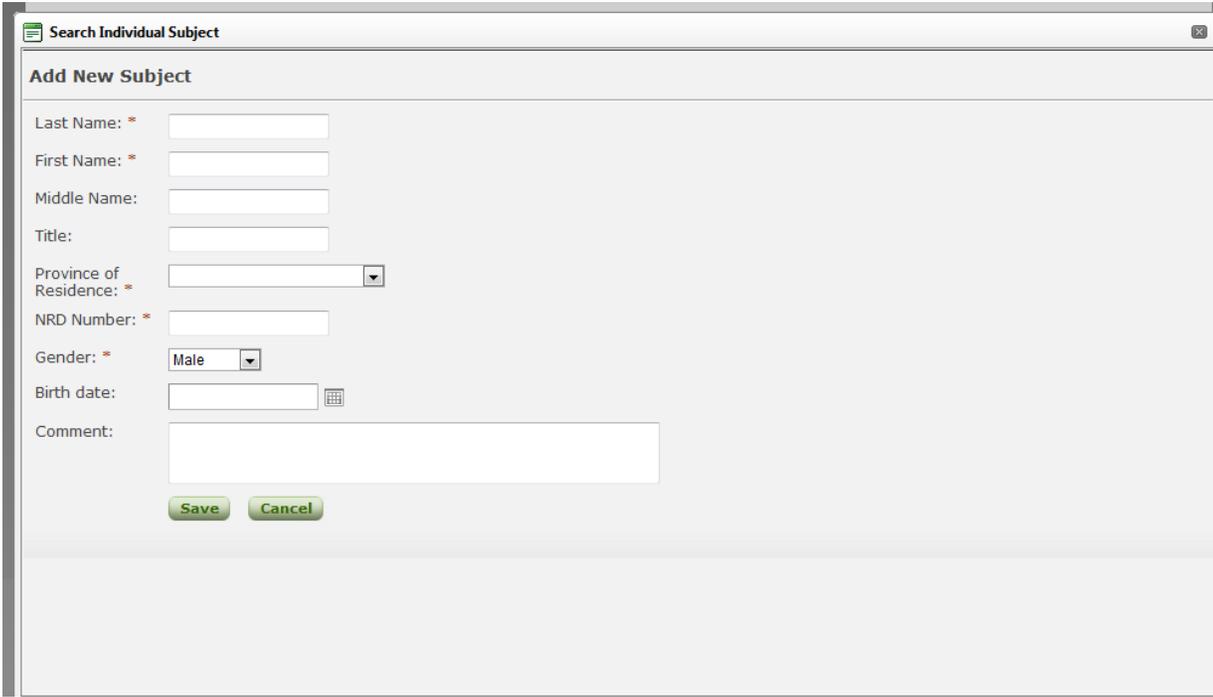
All fields are Mandatory if known. However you may not have all data available when creating the event and, in such cases, data can be omitted. However, first and last name fields (marked with an *) must be completed to allow you to proceed.

When you are done entering individual subject information, click **Save** and you will be returned to the event report form that you can now begin to edit.

3.4   Special notes to creating an event

Event Type and Subject Type are mandatory fields. You will receive an error message at the bottom of your window if you try to continue without making these selections.

Choosing one of the Other Theft, Fraud and Serious misconduct, or Termination, Compensation paid to Client, and Internal Discipline event types will bring up the following message:
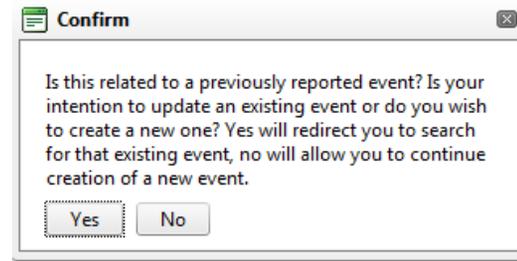
If you select Yes:

You will be forwarded to the Search Event Report screen so that you can find and update the existing event.

This feature helps prevent you from adding a duplicate Event Report for a single event.

If you select No:

You will proceed with new event creation as normal.

4   EDIT AN EVENT

You can open an event report form to update it in two ways: By creating a new event; or by searching for a previously entered event and clicking on the METS Reference Number.

4.1   Event Report Form Tips:

- In the Event Report Form (and anywhere in METS) Fields marked with an Asterisk * are mandatory.

- In any field involving a Dollar amount (settlements, compensation, or commissions withheld, for example) round to the nearest $10. So $1347.34 becomes $1350.

- When entering Dollar amounts just enter the number without the $ or any commas, periods, etc.

- Any documents attached to the event (i.e. letter of complaint) must be in PDF format

4.2   Open Event Report form

Information in the Event Report Form can always be edited. If it has already been submitted to the MFDA, re-opening the event will be shown in the audit trail. Any changes made must be saved and then the event may be re-submitted to the MFDA. Even events that are concluded may be re-opened and edited. If an Event is re-opened for editing, it must be re-submitted in order for the MFDA to view the changes.

4.3 Subject-Member Relationship

The Subject-Member Relationship is a description of the Subject's relationship to the Member at the time the event occurred.

Select the current relationship to the individual from the four options in the drop down menu

- Current employee/agent, event occurred here

- Current employee/agent, event occurred at past employer

- Former employee/agent, event occurred here

- Former employee/agent, event occurred at past employer

Note: This section is not editable if you selected Member at event creation.

4.4   Branch

Note: The Branch is the registered location where the subject was working at the time the event allegedly occurred. Member head office addresses are included in METS and are the default location.

To change the Branch:

1. Click **Search** to enable the search function

2. You may search branches by Address, City or Province. A list of branches meeting the search criteria currently in METS will appear. If the subject's branch appears, select it, if not select **Add Individual Branch** and add the branch information.

As with all areas of METS, all fields are required, if known. Fields marked with a red asterisk * are mandatory

3. If you have added a new Branch, Click **Save**.

4. If the Branch you were looking for is already in METS, select the radio button next to the Branch listing, and then **Select**.

5. Clicking **Edit** on the Event Report Form allows you to edit the address and NRD # associated with the branch for this event and will overwrite the Branch information for all other events related to the branch.

4.5   Related Events

METS requires a separate event to be entered for each subject involved in an event, however, events should only be related when two subjects are connected to a single event trigger, such as a customer complaint or civil claim, and not when the Member receives more than one regarding the same subject.

For example, a customer may complain about his account performance over several years and name his original approved person, his current approved person, and their branch manager. This should be entered as three, related, events. However, if you receive two complaints, from two different customers, regarding the same approved person, you should not relate the events.

To relate an event:

1. Under the **Related Events section** of the Event Report Form, select **Add Related Events**;

2. Search by subject name or METS Reference # or status. Select the appropriate METS event by clicking the radio button, followed by the **Select** button.

3. Repeat as necessary for additional events.

4. If you relate an event in error, you may delete the relationship between the two events by clicking the **X** to the left of each METS reference number. A pop-up window will ask "Are you sure to want to delete this related event?" Select **OK**. This deletes only the relationship, not the event.

Related Events					
	Subject Name	Event Type	Primary Violation	Member Ref	Date Initiated
✕ F9C4CA	Advisor, John	Customer Complaint			11/02/2011
Add Related Events					

5. Click **Next** when you are done.

4.6   Nature and Scope of Allegation

Under the Nature and Scope of Allegation there are several fields that may be completed. Some are mandatory, while others are optional. One optional area that the MFDA strongly urges Members to complete is "Complainant Information." The greater the volume of information passed along to the MFDA, the easier it will be for the MFDA to assess the Event. Under this heading, one of the fields is "Duration of Activity". "Duration of Activity" is the approximate start and stop dates of the misconduct related to the primary allegation.

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Examples:

- Client complains about suitability of investments. The start date would be the day the initial investment was made. The end date would be the day the investment(s) was sold or if the client is still invested the day the complaint was received.

- Client complains about transfer delay. The start date would be the day the transfer was initiated. The end date would be the day the investment(s) was sold/transferred.

The other fields that are available to be completed may vary depending on the Event Type you choose.   Different information related to the event type selected will be required. For example, if External Disciplinary Action was selected, you will be required to indicate the Regulatory Body imposing the discipline. The list of Violation Types is also dependent on the Event Type you have selected, and therefore may differ from one event to the next. In the screen shot below Criminal Charge was selected, so the list of violation types is reduced and you must provide a Court File Number.

1. Select the check boxes of all applicable Violation Types. If the violation you are reporting is not presented in the list, there is a choice of Other.

Amount in dispute:	Not applicable ▾		Amount $:	
Country:*	Canada ▾		Other:	
Province/State:*	NB-New Brunswick ▾		Other:	
Court File Number:*	NBCJ 12345			

Violation Type:*

Select	Primary	
☐	◯	Blank Signed Forms
☐	◯	Falsification / Misrepresentation
☑	⦿	Forgery / Fraud / Theft / Misappropriation / Misapplication
☐	◯	Insider Trading
☐	◯	Market Manipulation
☐	◯	Money Laundering
☐	◯	Other

Product or Service:*

Select	Primary	
☐	◯	Mutual Fund
☐	◯	Bond
☐	◯	GIC
☐	◯	Hedge Fund
☐	◯	Limited Partnership
☐	◯	Other exempt product
☐	◯	PPN
☐	◯	Securities outside registration
☐	◯	Segregated Fund
☐	◯	Finanical Planning
☐	◯	Tax Preparation
☐	◯	Other
☑	⦿	Not applicable

Previous   Next

2. You should choose the "Other" violation type as a last resort and ONLY in cases where there is no appropriate violation from the list that adequately describes the circumstances of the event. If you choose Other, you must fill in the details in the dialog box provided or METS will not enable you to continue.

3. Select the **Primary Violation Type** by clicking on the corresponding radio button. You must select the Primary Violation Type, even if you have chosen only one violation. When two or more allegations relate to an event, the **Primary Violation Type** is generally the most serious allegation.

4. Choose the **Product or Service** by clicking on it if it is applicable. If you have selected a Product you must also select the Primary Product, even if you have chosen only one.

5. You should choose **Other** from the **Product or Service** list as a last resort. When there is no related product or service, choose **Not applicable**. Use the adjoining text boxes to add more information regarding the product(s) as necessary.

Click the **Next** button when you are done updating. If you have not included information for any mandatory fields, METS will produce an error message indicating the missing information. Scroll down and add the required information.

4.7   Member Response

- **Member Reference** is available for the Member's use and completely at the Member's discretion.

- **Contact person for report**: Select the appropriate Member contact for this event. If the Member contact does not appear on the list, you can add the name, phone number, and email address of the appropriate Member contact by selecting the **Add New Contact** link. You may also add new Member contacts using the **Settings** link at the top right of the METS screen.

- If there is an Internal Investigation, enter the Start date of the Investigation. Once the investigation is concluded, enter the end date as well.

- Enter all **Member Identified Allegations**, including the primary allegation. While similar allegations are listed in the Nature and scope section, this area allows the Member to show that more, less or different allegations may be identified by Member staff than may have been alleged by a customer.

For example, the Member may receive a complaint alleging theft but, upon further review, the Member finds that a fund merger caused the customer to misread a statement and believed her money had been removed from her account.

As a further example, a customer may raise suitability concerns while the Member may find that the Approved Person had pre-signed forms in the client file and note the blank signed form allegation in this section.

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- Report the Finding of the Investigation by choosing it from the drop down menu.
- Choose the Disciplinary Action, if any, which was taken as a result of the event from the drop down menu.

☑	◉	Forgery / Fraud / Theft / Misappropriation / Misapplication
☐	◎	Handling of Funds
☐	◎	Insider Trading
☐	◎	KYC Documentation Deficiency
☐	◎	Market Manipulation
☐	◎	Money Laundering
☐	◎	Outside Business Activities / Dual Occupation
☐	◎	Personal Financial Dealings
☐	◎	Policy and Procedure
☐	◎	Provincial Securities Legislation
☐	◎	Referral Arrangements
☐	◎	Reporting Violations
☐	◎	Sales Communication
☐	◎	Securities Regulator's Order
☐	◎	Suitability - Investments
☐	◎	Suitability - Leveraging
☐	◎	Supervision
☐	◎	Trading Outside Jurisdiction
☐	◎	Transfer Accounts
☐	◎	Unauthorized / Discretionary Trading
☐	◎	Other

Finding: ⬜ Other:

Disciplinary action : No disciplinary action ta ⯆ Other:

Demotion
Imposition of conditions
Imposition of fines or withh
Increased supervision   Effective Date:
No disciplinary action take
Suspension
Termination
Other

Comments:

Previous   Next

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4.8   Comments

If you have any Comments, information or updates to add (that don't fit or aren't appropriate in other fields), you may type or copy and paste them into the Comment space.

Adding extra information to your METS report is always useful for any MFDA staff reviewer. The comment field can contain approximately two standard pages of text.

4.9   Status of the Event

1. **Initiation Date:** Set at the time the event was created. You may correct it if you made a mistake at the time of event creation.

2. **Status**

   - **Pending**: In the process of resolution, may or may not be submitted to the MFDA

   - **Concluded**: When the event has been resolved, you should update the status to concluded and re-submit it to the MFDA

Most Event types are created with the Event Status set to Pending. There are 2 exceptions: Denial, Cancellation, Suspension or Termination of Registration or Approval; and Termination, Compensation Paid to Client and Internal Discipline (not otherwise reported above). These are both automatically set to Concluded because these events have already come to a conclusion by triggering of the reporting obligation. However, the status may be changed to Pending by the Member where appropriate.

3. **Status Detail:** Additional details regarding either the ongoing status or resolution of the event that you are required to add to most event types.

Note: If the Status Detail you are choosing is not presented in the drop down list, please click **Other** from the list and fill in the free-form text box that becomes available.

4. **Revision Status:** This refers to whether or not the event is **New** (i.e. Not Submitted to MFDA) or **Submitted** (Submitted to the MFDA, no edits in progress) or **In-Progress** (Has been submitted in the past and is being edited). The METS Ref # sets out the revision status

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Event Report Form

Member:	**Testing Firm MFDA**	Revision Status:	**New**
Subject:	**Advisor, Jenny**		**(Not Submitted to MFDA)**
Event Type:	**Bankruptcy**	METS Ref#:	**C28B48 rev.0**
Status:	**Concluded**	Member Ref#:	**Jenny Advisor**
			Bankruptcy
		Date Recorded:	**September 10, 2012**

Revision Status New

Event Report Form

Member:	**Testing Firm MFDA**	Revision Status:	**Submitted**
Subject:	**Advisor, Joe**	METS Ref#:	**172B07 rev.1**
Event Type:	**Criminal Charge**	Member Ref#:	**Joe Advisor Fraud**
Status:	**Pending**		**Charge**
		Date Recorded:	**September 18, 2012**

Revision Status Submitted

Event Report Form

Member:	**Testing Firm MFDA**	Revision Status:	**In-Progress**
Subject:	**Advisor, Joe**		**(Not Submitted to MFDA)**
Event Type:	**Criminal Charge**	METS Ref#:	**172B07 rev.1**
Status:	**Pending**	Member Ref#:	**Joe Advisor Fraud**
			Charge
		Date Recorded:	**September 18, 2012**

Revision Status In-Progress

5. **Date of Resolution:** This field is required for all concluded events. This relates to the primary event not, any actions stemming from that event.
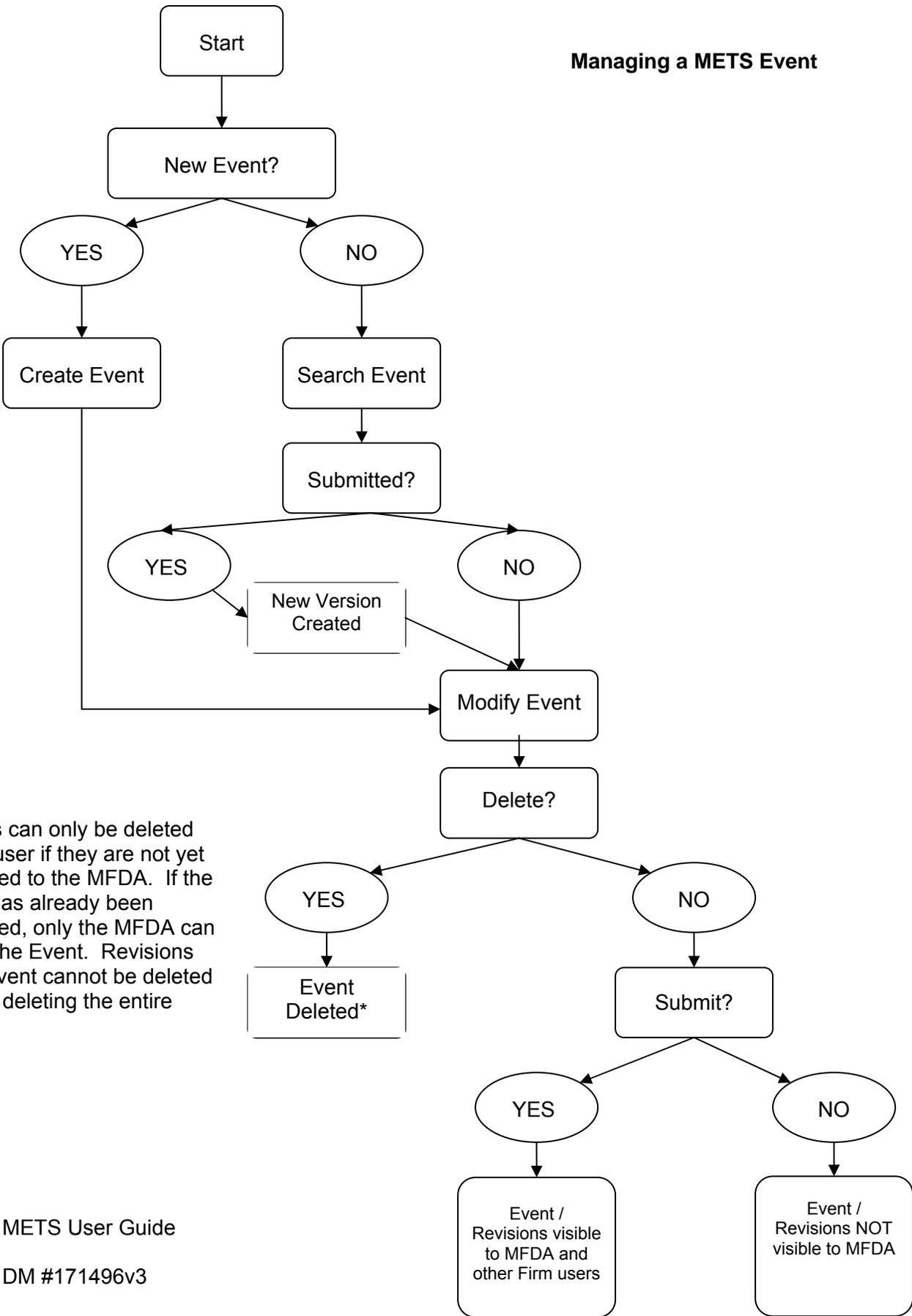
For example, if a customer complaint is reviewed and found to have merit, the Member may make an offer of settlement. The date this offer is made is the date of resolution. (Acceptance of the offer is not required).

Even if the Member also terminates the Approved Person in relation to this complaint two weeks later the date of resolution does not change.

6. **Procedure for creating and managing a METS event:** New for METS 2.0 is the ability to create an event and save your progress, without submitting it to the MFDA. Events that are not submitted to the MFDA appear on the **Home** page under the drop-down menu called **Events that are not submitted to MFDA**. The MFDA can not view events that have not been submitted. Events that have not been submitted may be deleted by the user using the **Delete Event** button (see part 6 of this Manual).

7. **Managing a METS Event:** See Flowchart on following page.

Managing a METS Event

```
                    ┌──────────┐
                    │  Start   │
                    └────┬─────┘
                         │
                    ┌────▼─────┐
                    │New Event?│
                    └────┬─────┘
             ┌───────────┴───────────┐
         ┌───▼───┐               ┌───▼───┐
         │  YES  │               │  NO   │
         └───┬───┘               └───┬───┘
         ┌───▼────────┐       ┌───────▼──────┐
         │Create Event│       │ Search Event │
         └───┬────────┘       └───────┬──────┘
             │                   ┌────▼─────┐
             │                   │Submitted?│
             │                   └────┬─────┘
             │              ┌─────────┴─────────┐
             │          ┌───▼───┐           ┌───▼───┐
             │          │  YES  │           │  NO   │
             │          └───┬───┘           └───┬───┘
             │      ┌───────▼──────┐            │
             │      │ New Version  │            │
             │      │   Created    │            │
             │      └──────────────┘            │
             │                  ┌───────────────▼┐
             └─────────────────►│  Modify Event  │
                                └───────┬────────┘
                                   ┌────▼────┐
                                   │ Delete? │
                                   └────┬────┘
```

Delete?
YES / NO

Event Deleted*

Submit?
YES / NO

Event / Revisions visible to MFDA and other Firm users

Event / Revisions NOT visible to MFDA

*Events can only be deleted by the user if they are not yet submitted to the MFDA. If the Event has already been submitted, only the MFDA can delete the Event. Revisions to an Event cannot be deleted without deleting the entire Event.

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Document Audit

The Document Audit section of the Event Report Form displays the history of changes that have been made to an event. This includes the Revision Number, the date and time the event was edited, what Event Report Form section was edited and the user who performed the editing.

Document Audit

Created: FIRM TEST, METS 09/07/2012 2:15:36 PM
Last Modified: FIRM TEST, METS 09/17/2012 12:00:47 PM

Details

Rev #	Date and Time	User	Activity	Activity
0	09/07/2012 2:15:36 PM	FIRM TEST, METS	Event created	Event created
0	09/07/2012 2:26:34 PM	FIRM TEST, METS	Subject-member relationship modified	Subject-member relationship modified
0	09/12/2012 10:43:19 AM	FIRM TEST, METS	Nature and scope of allegations modified	Nature and scope of allegations modified
0	09/12/2012 10:45:22 AM	FIRM TEST, METS	Nature and scope of allegations modified	Nature and scope of allegations modified
0	09/12/2012 10:54:07 AM	FIRM TEST, METS	Member response modified	Member response modified
0	09/12/2012 10:54:22 AM	FIRM TEST, METS	Status modified	Status modified
0	09/12/2012 10:54:38 AM	FIRM TEST, METS	Investigation end date is not a valid date	Investigation end date is not a valid date
0	09/12/2012 10:55:08 AM	FIRM TEST, METS	Status modified	Status modified
0	09/12/2012 10:55:47 AM	FIRM TEST, METS	Member response modified	Member response modified
0	09/12/2012 10:55:51 AM	FIRM TEST, METS	Status modified	Status modified
0	09/12/2012 10:56:00 AM	FIRM TEST, METS	Event submitted	Event submitted
1	09/12/2012 10:57:22 AM	FIRM TEST, METS	Event re-opened	Event re-opened
1	09/12/2012 11:02:51 AM	FIRM TEST, METS	Nature and scope of allegations modified	Nature and scope of allegations modified
1	09/12/2012 11:04:23 AM	FIRM TEST, METS	Member response modified	Member response modified
1	09/13/2012 9:31:33 AM	FIRM TEST, METS	Status modified	Status modified
1	09/13/2012 9:31:40 AM	FIRM TEST, METS	Event submitted	Event submitted
2	09/13/2012 9:31:56 AM	FIRM TEST, METS	Event re-opened	Event re-opened
2	09/17/2012 12:00:17 PM	FIRM TEST, METS	Nature and scope of allegations modified	Nature and scope of allegations modified
2	09/17/2012 12:00:41 PM	FIRM TEST, METS	Member response modified	Member response modified
2	09/17/2012 12:00:44 PM	FIRM TEST, METS	Status modified	Status modified
2	09/17/2012 12:00:47 PM	FIRM TEST, METS	Event submitted	Event submitted

Revision Number
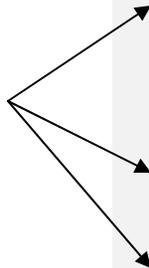
Link to previous version of Event
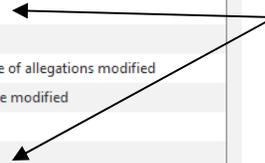
Note: The revision number of an Event starts at 0. Any time an Event is submitted and reopened, the revision number of the event goes up one, from 0 to 1 and so on. Each time an Event is reopened a copy of it, as it was when it was last submitted, is stored in the Audit history. This previous version will appear as a link which, when clicked, will open the previous version of the event Report.

5   REOPEN AN EVENT

If you receive additional information relevant to an event after submitting the event you may re-open it.

To Reopen click the **Edit Event** button

Once reopened, an event should be re-submitted after any updates have been completed.

The system will retain a copy of all data in the event report form as it appeared when initially submitted.

To view the previous version, open the **Document Audit** section of the **Event Report Form**.

An event that has been reopened will display a revision number in the **Event Report Form** header:

6   DELETE AN EVENT

You may delete an event up until the point the event is submitted to the MFDA. Events that have not been submitted to the MFDA may be deleted by the user. The **Delete Event** button is located at the top right of the screen next to the options to print and PDF.

If you have submitted a duplicate event you must contact MFDA METS Support.

Once an event has been submitted, only the MFDA can delete an event.

A deleted event is virtually deleted for Member users and for most reports. The deletion is noted in the document audit.

Revisions to an Event cannot be deleted without deleting the entire Event.

7   SEARCH AN EVENT

Search and Report screen tips:

The basic search fields are **Complainant name**, **METS Reference Number**, **Event Type**, **Violation Type**, **Date of Initiation**, **Date Recorded**, **Status**, and **Subject Type**. If the **Individual** radio button is selected, you may also search by any part of the **First, Last or Middle Name, NRD Number and Province/State**. These options are not available if Subject type is **All** or **Member Firm**.

For **Event Type** and **Violation Type** choose the appropriate option(s) from the drop down menu by checking the box next to each option. For **Date of Initiation** and **Date Recorded** both start and end dates are required.

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Events that meet all search criteria will be listed in the search results.

Click the **METS Reference Number** of a particular event to view its **Event Report Form**.

If after viewing the Event Report Form you wish to return to your search results, click the **Return to Results** button at the top of the page.

If you wish to edit the event click the **Edit Event** button.

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8   VIEW EVENT DETAILS

Every METS user has the ability to view Event Details. Users can only view Event Details of events that pertain to their Member.

To View Event Details:

1.   Search an Event

2.   In the search results, click on the METS Reference Number to open the Event Report Form for that event.

3.   You now have the option to print the Event Report Form or view it in PDF format

9   REPORTS

The **View Reports** tab on the top right of the METS screen allows you to create Reports by **Subject**, **Event Type**, **Branch**, **Province/State**, **Initiation Date**, **Date Recorded** or **Status**.   You may also select the format of the report (PDF or Excel).

9.1   Run a Report

1.   Click the **View Reports** tab on the top right of the METS window.

2.   Choose a Report type: **Subject**, **Event Type**, **Branch**, **Province/State**, **Initiation Date, Date Recorded** or **Status**

1.   Select the desired format of your report: PDF or Excel. Your report will open in the format you selected with the standard options to print, save, etc.

10 Special - Member Selection Screen

Most METS Users will have access to METS for one Member only, however, when two or more Members are related at a corporate level, the Members may request that certain users be permitted to have access to METS for more than one related firm.

You may verify which account you are in or change accounts at any time by referencing the drop down menu at the top left side of the screen.

11 HELP & SUPPORT

If you have questions regarding METS, please contact Membership Services METS support via email at:

METS@mfda.ca

Or by phone at:

1.888.466.6332