

FP Canada Standards Council™
and
Mei Deng (Martin) Que, CFP®

STATEMENT OF ALLEGATIONS

THE CFP® PROFESSIONAL

1. Mei Deng (Martin) Que (“Mr. Que” or “the Respondent”) was certified by the Financial Planning Standards Council®, now FP Canada™, as a CERTIFIED FINANCIAL PLANNER® professional in August 2001. Mr. Que consistently renewed his certification with FP Canada until April 10, 2018, when his certification was cancelled for failing to renew. Mr. Que was permitted to renew his certification on June 25, 2018 and he remained certified until June 3, 2019, when his certification was cancelled, again, for failing to renew. Mr. Que subsequently sought to be reinstated and his certification was reinstated on September 27, 2019. Mr. Que has consistently renewed his certification since 2019 and his certification is current as of the date of this Statement of Allegations. Mr. Que does not have a discipline history with the FP Canada Standards Council™ (the “Standards Council”).
2. According to FP Canada’s records, Mr. Que is employed as a Financial Planner at Allvista Financial, in Burnaby, British Columbia.

HISTORY OF THE PROCEEDINGS

3. On his 2019/2020 CFP® Reinstatement Application Form, submitted on September 27, 2019, Mr. Que answered “yes” to each of the following Declarations:
 - a. Have you or any Business [over which you had/have significant influence] been charged or indicted for a criminal offence?
 - b. Has any judgment or garnishment ever been rendered against you (or is any currently outstanding against you)?
 - c. Has any financially related claim, investigation or inquiry ever been filed against you or a Business [over which you had/have significant influence]?
 - d. Have you ever declared bankruptcy?

4. On his 2020/2021 CFP® Renewal Application Forms, submitted on April 2, 2020, Mr. Que answered “yes” to each of the following Declarations:
 - a. Since signing your last application for certification, have you received notice of a pending or current complaint, investigation, or proceeding against you or any business with which you are/were involved before any professional-oversight body, licensing body and/or self-regulatory body for any reason whatsoever?
 - b. Since signing your last application for certification, have you received notice of a civil proceeding against you, and/or commenced a civil proceeding before a tribunal or court of a province or territory of Canada?
5. On April 2, 2020, FP Canada staff in the Certificant & Student Services (“CSS”) department emailed Mr. Que requesting information regarding the Declarations set out in paragraph 4 above. As no response was received, CSS sent a follow up email to Mr. Que on August 19, 2020, which he also failed to respond to. On October 18, 2021, staff left a voicemail message for Mr. Que on his business telephone number on record with FP Canada, which he also failed to respond to.
6. On March 1 2022, the Standards Council opened a file in initial review and sent an initial inquiry letter to Mr. Que via email, mail and courier inquiring about the Declarations at paragraphs 3 and 4 above. As no response was received, a follow up letter was sent on May 6, 2022 via email, mail and courier. Once again, no response was received.
7. A further follow up letter was sent to Mr. Que on June 7, 2022 via email, mail and courier. Mr. Que responded on June 8, 2022 by email, stating that an investigation by another regulatory body had been concluded. On July 7, 2022 (after a follow up email by staff), Mr. Que provided the outcome letter related to that investigation. While Mr. Que provided some information relating to the declaration set out above at paragraphs 3(c) and 4(a), he did not respond to staff’s inquiries related to the balance of the Declarations set out at paragraphs 3 and 4 above.
8. By email dated July 12, 2022, the Standards Council once again followed up with Mr. Que, by email, asking him for responses to the inquiries made. The final deadline for response to the Standard Council’s communications expired on July 15, 2022. As of the date of this Statement of Allegations, Mr. Que has not responded.
9. On August 29, 2022, the Executive Director, Standards & Certification and Head of the FP Canada Standards Council (the “Executive Director”), referred this matter to a Disciplinary Hearing Panel in accordance with Article 4.3 of the *FP Canada Standards Council Disciplinary Rules and Procedures* (DRP).

NOTICE

10. Further to the direction of the Executive Director and in accordance with Article 5.1 of the DRP, I hereby give notice of the Standards Council's request that a hearing date be set with respect to the matter identified as: *FP Canada Standards Council™ and Martin Que*.
11. The Standards Council requests that the hearing in respect of this matter be held in writing.

APPLICABLE STANDARDS

Mr. Que has failed to respond to communications from FP Canada and then from the FP Canada Standards Council since April 2020. Accordingly, Mr. Que's conduct is governed by the *Standards of Professional Responsibility* in place from January 2020 to those which took effect on May 1, 2022. The applicable Principles and Rules of the *Standards of Professional Responsibility* are as follows:

Applicable *Standards of Professional Responsibility* in effect from January 2020 to June 2021 and July 2021 to April 2022

Rule 33	<i>A Certificant shall reply promptly and completely to any communication from FP Canada or the FP Canada Standards Council in which a response is requested.</i>
Rule 34	<i>A Certificant shall cooperate fully with a FP Canada Standards Council investigation of a complaint unless legally prevented from doing so. This rule applies equally to current and former Certificants.</i>

Applicable *Standards of Professional Responsibility* in effect from May 1, 2022

Rule 35	<i>A Certificant shall reply promptly and completely to any communication from FP Canada, the FP Canada Standards Council or any other department or division of FP Canada in which a response is requested.</i>
Rule 36	<i>A Certificant shall cooperate fully with an FP Canada Standards Council inquiry, initial review and/or investigation of a complaint unless legally prevented from doing so.</i>

ALLEGATIONS

The Standards Council makes the following allegations against the Respondent:

1. The Respondent failed to reply promptly and completely to correspondence sent by FP Canada dated April 2 and August 19, 2020 and to correspondence sent by

the FP Canada Standards Council dated March 1, May 6, June 7 and July 12, 2022, each of which included requests for information, contrary to Rule 33 of the *Standards of Professional Responsibility* in effect from January 2020 to April 2022 and Rule 35 of the *Standards of Professional Responsibility* in effect from May 1, 2022.

2. By failing to respond to four (4) correspondences sent by the FP Canada Standards Council between March 1 and July 12, 2022, the Respondent failed to cooperate fully with an FP Canada Standards Council initial review, contrary to Rule 34 of the *Standards of Professional Responsibility* in effect from January 2020 to April 2022 and Rule 36 of the *Standards of Professional Responsibility* in effect from May 1, 2022.

Dated the 26th day of September, 2022

"Tamara Center"

Tamara Center
Director, Professional Conduct and Enforcement
Counsel to FP Canada Standards Council™