FP Canada®
Advancing Professional Financial Planning

QAFP™ Certification Reinstatement Application 2019/2020

The following application must be completed in its entirety in order for FP Canada to review your request for reinstatement of your FPSC Level 1® Certification in Financial Planning as a QUALIFIED ASSOCIATE FINANCIAL PLANNER™. This application will take approximately 5 – 10 minutes to complete. All documents referenced in this application are available at fpcanada.ca.

If you are a former FPSC Level 1 certificant whose certification has lapsed due to non-renewal or suspension, you are permitted to seek reinstatement of your certification as a QAFP professional within five years of the date your certification expired, subject to the following reinstatement policies. You must:

- Have continued to adhere to the FP Canada Standards Council™ Standards of Professional Responsibility;
- Complete a Reinstatement Application;
- Provide documentation of Continuing Education (CE) requirements for each year not certified;
- Pay the late renewal certification fee (prorated to July 31); and
- Pay a separate non-refundable reinstatement fee.

It is important that you complete the entire application and check the information provided for accuracy prior to submission. FP Canada cannot process incomplete applications.

For assistance in completing the application, contact FP Canada's Stakeholder Support team at 416.593.8587, 1.800.305.9886 or
info@fpcanada.ca.

For additional information on maintaining your certification, please refer to the QAFP Certification Policies.

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PART A | Contact Information (please print)

Preferred Name	Legal Name	
FP Canada ID Number	Gender	Date of Birth

☐ Check here if you do not have a business address.

Business Name			
Sponsoring Investment / Mutual Fund Dealer		Sponsoring Insurance Agency	
Job Title			
Suite	Business Address (street number and name)		
City	Province	Postal Code	Country
Business Phone ( )	Ext.	Business Email	
Toll Free	Ext.		

Please note that FP Canada's public Find a Planner tool displays the Business information and Business Number of those that have opted in to displaying their contact information (see Part D: Marketing your Certification)

Suite	Home Address (street number and name)		
City	Province	Postal Code	Country
Home Phone ( )		Mobile Phone ( )	
Home / Personal Email			

Preferred contact information: ☐ Business ☐ Home
Preferred phone: ☐ Business ☐ Home ☐ Mobile

Note: FP Canada's publicly accessible Find a Financial Planner tool displays the Business Address and Business Phone Number of those that have opted in to displaying their contact information (See Part D: Marketing Your Certification).

FP Canada will use your preferred contact information to communicate with you. Please keep your contact information current by updating your FP Canada portal or emailing info@fpcanada.ca promptly to notify us of any changes. It is your professional obligation and responsibility to ensure your contact information is accurate and up-to-date.

PART B | Declarations and Professional Obligations

Definitions

Bankruptcy

Bankruptcy means having declared bankruptcy, or been petitioned into bankruptcy, made an assignment, proposal or plan (including any Notice of Intention thereof) under any bankruptcy or insolvency legislation, been subject to or instituted any proceedings, arrangement or compromise with creditors, or had a receiver and/or receiver-manager appointed.

Business

Business means any business over which the Certificant has (or had at the time of the bankruptcy) a significant influence. Significant influence may include being: a partner, officer, director or shareholder holding at least 10% of the voting shares of the business.

Offence

Offence includes but is not limited to an offence under:

1. The Criminal Code (Canada);
2. Any other Act of the Legislature of a province or territory of Canada or an Act of Parliament, which includes al legations relating to:
   i. Breach of trust;
   ii. Corruption;
   iii. Forgery;
   iv. Fraud;
   v. Other activities involving deceit or dishonesty for personal gain or advantage;
   vi. Perjury;
   vii. The sale or trade of financial products and services; and/or
   viii. Theft.

1. Professional Declarations

Please answer each of the following questions.

Since signing your last application for certification:

	Yes	No
a) have you or any business with which you are/were involved been charged with, pleaded or been found guilty of an offence?	☐	☐
b) have you or any business with which you are/were involved been sanctioned, fined, held liable, pleaded or been found guilty by any tribunal, court, professional oversight body, licensing body and/or self-regulatory body for any reason whatsoever?	☐	☐
c) has any judgment or garnishment been rendered against you or any business with which you are/were involved, or is any judgment or garnishment currently outstanding?	☐	☐
d) 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?	☐	☐

e) have you received notice of a civil proceeding against you before a tribunal or court of a province or territory of Canada and/or have you commenced a civil proceeding before a tribunal or court of a province or territory of Canada?	Yes ☐	No ☐
f) have you been found in breach of a Court Order?	Yes ☐	No ☐
g) have you filed or declared bankruptcy, or entered into a consumer proposal?	Yes ☐	No ☐
h) has any business with which you are/were involved been declared bankrupt, been petitioned into bankruptcy, made an assignment, proposal or plan and/or had a receiver manager appointed?	Yes ☐	No ☐

If you have answered “yes” to one or more of the above, please describe the principal facts, including dates, and the outcome, if any, on a separate attached sheet and include copies of any relevant documentation with this application. Relevant documentation may include, for example:

- Proposals and/or discharges relating to bankruptcy;
- Pleadings (statements of claim, statements of defence, notices of application, etc.), court orders, endorsements and/or decisions; and
- Notices, letters, published settlement agreements, orders and decisions from licensing or regulatory bodies such as IIROC, MFDA, etc.

2. Professional Declarations from Prior Years

If you answered “yes” in a prior year’s renewal to one or more of the declarations **and the matter is still outstanding**, indicate the renewal year and specific attestation(s) in the boxes below:

Renewal Year	Attestations (See Attestations under 1. Professional Declarations. Please circle all that apply.) a) b) c) d) e) f) g) h)

3. Professional Obligations

I understand that, as a QAFP professional;

	INITIAL
I have a professional obligation to provide complete and accurate Declarations to FP Canada and to report any changes to the above Declarations in writing to FP Canada within **15 days** of becoming aware of a change. I will send any such reports to FP Canada by mail or via email to info@fpcanada.ca. I will also report, within **15 days** of notice, any outcome reached in respect of any matters declared on this or prior application forms. I understand that this is an ongoing obligation and that failure to report this information within the required timeframe is a breach of the FP Canada Standards Council Standards of Professional Responsibility.	
If I am charged with an offence, I shall **immediately** notify FP Canada, in writing, and provide specifics in respect of the offence together with all relevant documentation.	

I must fulfill my professional and ethical obligations as outlined in the Standards of Professional Responsibility, the marks usage guide(s) relevant to my status as a QAFP professional, and my continuing education requirements as outlined in the QAFP Certification Policies.	
I understand that my application to reinstate my FPSC Level 1 certification in Financial Planning as a QAFP professional will be reviewed in light of the Fitness Standards, which identify conduct that may be a potential bar to certification by FP Canada.	

4. Right to Enforce

I understand that failure to comply with my professional and ethical obligations may result in remedial/ disciplinary action by FP Canada including, without limitation, revocation, suspension or other restriction on my ability to use the QAFP marks. I further understand that any such disciplinary action may impact my ability to maintain certification by FP Canada as a QAFP professional or obtain certification as a CFP professional in the future. I understand and acknowledge that FP Canada is not restricted in its ability to investigate my conduct and take remedial/disciplinary action in response to concerns regarding activities that occurred while I was certified by FP Canada or allegations of a breach of the Standards of Professional Responsibility, even if I am no longer certified by FP Canada when a review of my conduct is initiated by the Standards Council. Findings of professional misconduct by FP Canada's Hearing Panel will be publicized in accordance with the FP Canada Standards Council Policy on the Publication of Disciplinary Information.	INITIAL

PART C | Continuing Education (CE) Requirements for Years Lapsed

In order to maintain the integrity and reputation of QAFP certification and to ensure that your knowledge and competence remain current, QAFP professionals are responsible for completing 12 qualifying CE credits each year in accordance with the QAFP Certification Policies.

As part of our commitment to the integrity of QAFP certification, each year FP Canada conducts random audits in which QAFP professionals are required to provide evidence of CE credits claimed. Ensure that you have sufficient documentation to verify all CE credits.

To recognize the extent of and currency of learning resulting from successful completion of a Professional Education Program, QAFP professionals are exempt from CE requirements in all categories, including the category of Professional Responsibility in the year they pass the QAFP exam and the two following consecutive calendar years.

At least one credit out of the 12 CE credits must fall under the category of Professional Responsibility. This requirement links directly to the professional obligations that you have agreed to as a condition of certification, as embodied in the Standards of Professional Responsibility.

For more information about CE requirements, please visit the Continuing Education page at fpcanada.ca/planners/continuing-education.

Mandatory Continuing Education Requirements

	Yes	No
Have you completed your mandatory CE requirements for each calendar year that your certification was lapsed?	☐	☐

If you answered "No", you are required to complete and submit to FP Canada a Continuing Education (CE) Exemption Request Form along with the required supporting documentation with this application. Failure to submit this completed request form may result in a delay in the processing of your QAFP Certification Reinstatement Application.

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PART D | Marketing Your Designation

As a QAFP professional, your name, year certified, certification status, disciplinary history, scheduled proceedings (if applicable) and whether or not you are practicing will automatically appear on FP Canada's Find a Planner search tool. This tool is frequently referenced in the media and other marketing as a key resource for Canadians seeking competent and ethical individuals in their area. We encourage you to take advantage of this marketing opportunity by enhancing your profile using the fields below.

Do you currently practice financial planning and work directly with clients? ☐ **Yes** ☐ **No**

I would like to show the information indicated below in my public profile on the Find a Planner tool and provide my consent therein. In addition to the information provided below, my business information will also be shown.	INITIAL

Please note: The Find a Financial Planner tool is available on FP Canada's public website and as such is subject to unrestricted public access. FP Canada does not monitor or control the use of information obtained through this publicly accessible tool.

Website: ____________________

Voluntary Public Profile

To maximize your marketing opportunity to those utilizing the Find a Planner or Certificant search tool, we recommend that you provide as much information as possible by answering the questions below.

1. What is the range of investible assets of the clients you generally work with?

☐ 0 - $99,999 ☐ $100,000 - $499,999 ☐ $500,000 - $999,999 ☐ $1,000,000 +

2. Please indicate the types of clients that you service. (select all that apply)

☐ Caregivers
☐ Medical practitioners
☐ Pre-retired
☐ Professionals
☐ Professional athletes
☐ Retired
☐ Self-employed

3. Please indicate your financial planning areas of specialty. (select all that apply)

☐ Agriculture / farm business planning
☐ Credit counselling and bankruptcy
☐ Cross-border and international planning
☐ Divorce and separation planning
☐ Education planning
☐ Employee / Group benefit plans
☐ Estate planning
☐ Executive compensation and benefits
☐ Insurance planning
☐ Investment planning
☐ Mortgages and debt planning
☐ Planning for those with disabilities
☐ Private banking
☐ Responsible investing
☐ Retirement planning
☐ Small business planning
☐ Succession planning
☐ Tax planning

4. Please indicate the languages you are able to use to service your financial planning clients. (select all that apply)

☐ English
☐ French
☐ Arabic
☐ Cantonese
☐ Farsi
☐ German
☐ Hindi
☐ Italian
☐ Korean
☐ Mandarin
☐ Polish
☐ Portuguese
☐ Punjabi
☐ Russian
☐ Spanish
☐ Tagalog (Filipino)
☐ Tamil
☐ Ukrainian
☐ Urdu
☐ Vietnamese

PART E | Profile of the Profession Information

The information you provide below is aggregated with information provided by other Certificants and is used to profile the financial planning profession when FP Canada is working with media, members of the public, potential candidates and other stakeholders who have an interest in the general trends related to the profession. This information is used in an aggregated and anonymous form. Please refer to our Privacy Policy at fpcanada.ca/privacy-legal.

If you have any questions regarding the completion of this section, contact FP Canada's Stakeholder Support Team at 416.593.8587 or 1.800.305.9886 or email info@fpcanada.ca.

1. Do you hold any of the following designations?

- ☐ Accounting Designation (CPA)
- ☐ Certified Health Insurance Specialist (CHS)
- ☐ CERTIFIED FINANCIAL PLANNER® (Other Country)
- ☐ Chartered Financial Analyst (CFA)
- ☐ Chartered Investment Manager (CIM)
- ☐ Chartered Life Underwriter (CLU)
- ☐ Elder Planning Counselor (EPC)
- ☐ Personal Financial Planner (PFP®) – post June 2011
- ☐ Planificateur financier (Pl.Fin.)
- ☐ Registered Financial Planner (R.F.P.)
- ☐ Registered Retirement Consultant (RRC)
- ☐ Trust and Estate Practitioner (TEP)
- ☐ None of the above

2. What is the highest level of education that you have completed?

- ☐ I have completed no post-secondary degree or diploma
- ☐ Baccalaureate Degree (B.Comm, BBA, BSc, BA, etc.)
- ☐ Masters Degree (MBA, MEd, etc.)
- ☐ 2-year College Diploma
- ☐ 3-year College Diploma
- ☐ Doctorate (PhD)

3. Please check any of the following associations you are a member of:

- ☐ Advocis
- ☐ CIFPs
- ☐ IAFP
- ☐ IFB
- ☐ None of the above
- ☐ Other ____________________

4. What is the status of your employment?

- ☐ Employed Full-time
- ☐ Employed Part-time
- ☐ Self Employed Full-time
- ☐ Self Employed Part-time
- ☐ Not working / On leave
- ☐ Retired
- ☐ Student Part-Time

5. Are you currently providing financial planning services?

- ☐ Yes
- ☐ No

6. Are you licensed with any regulatory bodies: (select all that apply)

- ☐ I am licensed to sell mutual funds.
- ☐ I am licensed to sell securities.
- ☐ I am licensed to sell insurance.
- ☐ I am not licensed to sell mutual funds, securities or insurance

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7. Please indicate which one of the following best describes your place of employment: (select only one)

- [ ] Accounting Firm
- [ ] Credit Union
- [ ] Financial Planning Firm
- [ ] Insurance Company
- [ ] Bank
- [ ] Educational Institution
- [ ] Investment/Mutual Fund Company
- [ ] Managing General Agency (MGA)
- [ ] Other: ______________________

8. Which of the following best describes the business area in which you work? (select only one)

- [ ] Retail
- [ ] Wealth Management/Brokerage
- [ ] Insurance
- [ ] Other: ______________________

9. What is your primary job function? (select only one)

- [ ] Accounting
- [ ] Education/Training
- [ ] Insurance Advice
- [ ] Lending/Credit Advice
- [ ] Actuarial Services
- [ ] Executive Management
- [ ] Investment Advice
- [ ] Tax Advisor
- [ ] Compliance
- [ ] Full Service Financial Planning
- [ ] Legal Advice
- [ ] Will/Estate Planning
- [ ] Other: ______________________

10. How many years of experience do you have as a financial planner? Years: ______________________

11. What were your total gross earnings from your primary job function this past year?

- [ ] 0 – $49,999
- [ ] $50,000 – $99,999
- [ ] $100,000 – $149,999
- [ ] $150,000 – $199,999
- [ ] $200,000+
- [ ] Prefer not to answer

12. What is your intention with respect to your certification?

- [ ] I intend to remain at QAFP certification
- [ ] I intend to pursue CFP certification

If you indicated that you intend to pursue CFP certification, when do you intend to pursue it?

- [ ] I Intend to pursue CFP certification in less than one year
- [ ] I Intend to pursue CFP certification in 1-2 years
- [ ] I intend to pursue CFP certification in 3-4 years
- [ ] I intend to pursue CFP certification in 5+ years

PART F | Attestations

Please confirm that you have read and agree to the following attestations. If you are unable to agree to any of the attestations below, contact FP Canada's Stakeholder Support team at info@fpcanada.ca, 416-593-8587 or 1-800-305-9886.

☐ I consent to the manner in which FP Canada will collect, use, disclose and otherwise maintain my personal information as set out in the FP Canada Privacy Policy (fpcanada.ca/privacy-legal).

☐ I confirm that all information, facts and statements contained in this reinstatement application are accurate, true and complete.

☐ I authorize the Standards Council to investigate the statements contained in this application.

Signature

Date

PART G | Payment

2019/2020 Reinstatement Fee	**AB, BC, MB, NT, NU, QC, SK, YT** $250.95 ($239 + 5% GST)	**ON** $270.07 ($239 + 13% HST)	**NB, NL, NS, PE** $274.85 ($239 + 15% HST)
2019/2020 QAFP Certification Fee	**AB, BC, MB, NT, NU, QC, SK, YT** $250.95 ($239 + 5% GST)	**ON** $270.07 ($239 + 13% HST)	**NB, NL, NS, PE** $274.85 ($239 + 15% HST)

*This will be prorated to July 31, 2020 at time of payment. The certification fee for reinstatement is equivalent to the renewal fee for QAFP professionals renewing after August 1 of the current certification year.

Method of Payment (select one)

FP Canada currently does not accept American Express.

☐ Visa
☐ Money order
☐ Mastercard
☐ Cheque (payable to FP Canada)

Credit Card Information (please print card number clearly)

Card Number

Expiry Date

Name on Credit Card (Please print clearly)

Signature

Date

Business# 894829878RT