



FP Canada Standards Council™

and

Helen Harry, CFP®

STATEMENT OF ALLEGATIONS

THE CFP® PROFESSIONAL

1. Helen Harry (“Ms. Harry” or “the Respondent”) was certified by the Financial Planning Standards Council® now FP Canada™, as a CERTIFIED FINANCIAL PLANNER® professional in April 1998. Ms. Harry has consistently renewed her certification with FP Canada and, as of the date of this Statement of Allegations, her CFP® certification is current and in good standing. Ms. Harry does not have a discipline history with the FP Canada Standards Council™.
2. Ms. Harry is a financial planner in Stirling, Ontario.

HISTORY OF THE PROCEEDINGS

3. In August 2020, the Standards Council became aware of disciplinary proceedings by the Mutual Fund Dealers Association of Canada (“MFDA”) involving Ms. Harry. Ms. Harry failed to notify the Standards Council of these disciplinary proceedings. Moreover, she misled the Standards Council when completing her 2020/2021 CFP Certification Renewal Application by falsely attesting that she was not the subject of a complaint, investigation or proceeding before a licensing body and/or self-regulatory body, when in fact her conduct was subject to review by the MFDA.
4. On September 3, 2020, the Standards Council wrote to Ms. Harry and notified her that the Standards Council was conducting a review of her conduct as a CFP® certificant. In the same correspondence, the Standards Council requested that Ms. Harry respond and provide relevant information and documentation by September 25, 2020, to assist the Standards Council in its review.
5. Ms. Harry failed to respond to the Standard Council’s inquiry of September 3, 2020 or to the Standard Council’s subsequent communications and requests for responses of October 5, 2020 and December 21, 2020.

6. The final deadline for response to the Standard Council’s communications expired on January 6, 2021.
7. On January 18, 2021, the Executive Director, Standards & Certification and Head of the FP Canada Standards Council, 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

8. Further to the direction of the Executive Director, Standards & Certification and Head of the FP Canada Standards Council, 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 Helen Harry, CFP®*.
9. The Standards Council requests that the hearing in respect of this matter be held in writing.

APPLICABLE STANDARDS

Applicable Rules of Conduct (in relevant part)	
Rule 31	<p><i>A Certificant shall meet all FP Canada requirements for continued certification, including:</i></p> <p><i>a) Making full and accurate Legal Declarations when completing their Annual Renewal Form. Reportable items are outlined in the “Declarations and Professional Obligations” section of the certification renewal form and include consumer proposals and bankruptcy; involvement in civil proceedings; criminal convictions; court orders; and investigations or decisions by professional bodies and regulatory/licensing bodies;</i></p> <p><i>b) Advising FP Canada, in writing, of any changes to prior Legal Declarations within 15 days of becoming aware of new information;</i></p>
Rule 33	<p><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></p>

ALLEGATIONS

The Standards Council makes the following allegations against the Respondent:

1. The Respondent misled FP Canada when completing her 2020/2021 CFP Certification Renewal Application by falsely attesting that she was not the subject of a complaint, investigation or proceeding before a licensing body and/or self-regulatory body, when in

fact her conduct was subject to review by the Mutual Fund Dealers Association of Canada (“MFDA”), thereby breaching Rule 31 of the *Rules of Conduct*;

2. The Respondent failed to provide FP Canada with written notice of the disciplinary proceedings initiated by the MFDA, in or around July 2020, within 15 days of becoming aware of the proceedings, thereby breaching Rule 31 of the *Rules of Conduct*; and
3. The Respondent failed to respond to correspondence sent by the FP Canada Standards Council dated September 3, 2020; October 5, 2020 and December 21, 2020, each of which included requests for information and deadlines for response, thereby breaching Rule 33 of the *Rules of Conduct*.

Dated the 5th day of February, 2021.



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