



FP Canada Standards Council™

and

Andrew Kazina

STATEMENT OF ALLEGATIONS

1. Andrew Kazina (“Mr. Kazina” or “the Respondent”) was certified by the Financial Planning Standards Council®, now FP Canada™, as a CERTIFIED FINANCIAL PLANNER® professional between October 1996 and March 2018, when Mr. Kazina chose not to renew his certification. Mr. Kazina does not have a discipline history with the FP Canada Standards Council™.
2. Mr. Kazina resides in Manitoba.

HISTORY OF THE PROCEEDINGS

3. In or around August 2020, the Standards Council became aware of disciplinary proceedings by the Mutual Fund Dealers Association of Canada (“MFDA”) involving Mr. Kazina. Mr. Kazina was registered in the securities industry from October 1991 to October 2017.
4. The allegations advanced by the MFDA include allegations of serious misconduct by the Respondent, including soliciting client funds and commingling funds with his personal savings, spanning the period February 2002 to October 2017. The proceedings before the MFDA are ongoing.
5. While the Respondent was not certified by FP Canada when the MFDA issued its Notice of Hearing (June 4, 2020), he was a CFP® certificant during the period of time of the alleged misconduct.
6. On September 3, 2020, the Standards Council wrote to Mr. Kazina and notified him that the Standards Council was conducting a review of his conduct as a CFP certificant. In the same correspondence, the Standards Council requested that Mr. Kazina respond and provide relevant information and documentation by September 25, 2020, to assist the Standards Council in its review.

7. Mr. Kazina 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.
8. The final deadline for response to the Standard Council’s communications expired on January 6, 2021.
9. 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

10. 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 Andrew Kazina*.
11. The Standards Council requests that the hearing in respect of this matter be held in writing.

APPLICABLE STANDARDS

<i>Applicable Rules of Conduct (in relevant part)</i>	
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>

ALLEGATION

The Standards Council makes the following allegation against the Respondent:

1. 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 *Standards of Professional Responsibility*.

Dated the 23rd day of February, 2021.



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