

CONDUCT REVIEW PANEL

VOLUNTEER POSITION DESCRIPTION

Are you...

- A current QAFP™ professional or CFP® professional with experience in professional oversight or compliance? OR
- A member of the public with experience with standard setting, professional oversight or compliance and an understanding of the financial services sector? OR
- An expert in the practice of professional financial planning?

If this sounds like you, consider volunteering as a Conduct Review Panel member for the FP Canada Standards Council™ (the “Standards Council”).

What to expect?

The Conduct Review Panel (the “CRP”) supports the fulfilment of the Standards Council’s professional-oversight mandate by reviewing staff reports and determining the appropriate dispositions of complaints against FP Canada™ certificants, in the public interest.

In accordance with the provisions of the [*FP Canada Standards Council Disciplinary Rules and Procedures*](#), the CRP addresses and determines if complaints against FP Canada certificants should be: dismissed; dismissed with guidance and advice; or referred to a Hearing Panel.

The CRP meets approximately four or five times per year, either in-person in Toronto, and/or by video-conference.

Eligibility requirements

The CRP is made up of up to nine (9) voting members, including certificants and a public member. No member of the CRP shall have a substantiated complaint or disciplinary history with FP Canada, or a disciplinary history with another regulator, professional body or self-regulatory organization.

Preference for composition of the CRP shall be given to:

- Previous experience on a professional oversight panel or in compliance, where you would be expected to interpret and apply standards or rules;
- Previous regulatory experience and/or experience with tribunals or litigation;
- Individuals with extensive financial planning experience, represented across multiple financial planning areas;
- Representation from multiple sectors of the financial services industry; and
- Geographic, gender and cultural diversity.

Benefits of participating

As a member of the CRP, you will:

- Be eligible for up to five CE credits annually in the category of giving back, and up to two CE credits in category of professional responsibility;
- Promote the oversight of professional financial planning in the public interest;
- Build your résumé with activities that contribute to advancing the profession
- Network and collaborate with other certificants; and
- Enhance your understanding of the [*Standards of Professional Responsibility*](#) and the expectations of FP Canada certificants in providing financial planning to Canadians.

Application process

Appointments will be effective June 2023 and run for a three-year term. If you are interested in any of these opportunities, apply by **September 28, 2022**. Please include a covering letter and current resume or CV that includes the following information:

- Why you want to serve as a member of the CRP;
- The skills, abilities and experience you would bring to the CRP if appointed;
- Accomplishments in the field of financial planning and specialist expertise;
- Your intentions (over the next three years) around maintaining QAFP certification and/or intentions to transition to CFP certification;
- Current or previous volunteer committee work; and
- Any potential conflicts of interest you foresee

New appointments shall be recommended by the President & CEO, vetted by the Board Development Committee, and approved by FP Canada's Board of Directors. Thank you for your interest in this volunteer opportunity. If you have any questions, please email [Saloni Gulati](#).