

CONDUCT REVIEW PANEL

VOLUNTEER POSITION DESCRIPTION

Are you...

- A current CFP® professional with experience in professional oversight or compliance?
- A member of the public with experience with standard setting, professional oversight or compliance and an understanding of the financial services sector?
- 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.

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 every two (2) months, both in-person in Toronto, and by video-conference.

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 CFP professionals; and

- Enhance your understanding of the Standards of Professional Responsibility and the expectations of FP Canada certificants in providing financial planning to Canadians.

Eligibility Requirements

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.

Application Process

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](mailto:Saloni.Gulati@fpca.org).