

DISCIPLINARY HEARING PANEL ROSTER VOLUNTEER POSITION DESCRIPTION

Are you...

- A current CFP® professional with experience in professional oversight or compliance?
- An expert in the practice of professional financial planning?

If this sounds like you, consider volunteering as a Discipline Hearing Panel Roster member for the FP Canada Standards Council™

What to Expect?

The Discipline Hearing Panel Roster supports the fulfilment of the Standards Council's professional-oversight mandate by adjudicating complaints as a member of a Standards Council Disciplinary Hearing Panel or Appeal Panel. As a member of a Disciplinary Hearing or Appeal Panel you:

- Consider submissions relevant to alleged breaches of the Standards of Professional Responsibility;
- Determine, in accordance with the provisions of the FP Canada Standards Council Disciplinary Rules and Procedures ("DRP") or Disciplinary Rules and Procedures for Examination Misconduct ("DPEM"), whether the allegations have been proven and the Certificant has engaged in misconduct; and
- Prepare written reasons.

Discipline Hearing Panel Roster members are asked to participate on Hearing and Appeal Panels following referral by the Conduct Review Panel. Hearings occur throughout the year

Benefits of Participating

As a member of the Discipline Hearing Panel Roster, you will:

- Be eligible for up to five CE credits annually in the category of giving back, and up to two CE credits in the 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;

- Support the FP Canada Standards Council's mandate by ensuring Certificants abide by the Standards of Professional Responsibility and sanctioning, where appropriate, Certificants who engage in misconduct; 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

The Discipline Hearing Panel Roster is comprised of not less than ten (10) members at any time, including a mix of:

- CFP professionals; and
- Members of the public who hold a J.D. or an LL.B.

No member of the Discipline Hearing Panel Roster 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 Discipline Hearing Panel Roster shall be given to:

- Previous experience on a professional oversight panel or in compliance;
- Previous regulatory experience;
- 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.

Thank you for your interest in this volunteer opportunity. If you have any questions, please email [Jignasa Patel](mailto:jignasa@fpca.org).