

FPSC Level 1® Certification in Financial Planning: Reinstatement Form 2017/2018

The following application must be completed in its entirety in order for FPSC to review your request for reinstatement of your FPSC Level 1 Certification in Financial Planning. This application will take approximately 5 – 10 minutes to complete. All documents referenced in this application are available at fpsc.ca.

If you are a former FPSC Level 1 certificant whose certification has lapsed due to non-renewal or suspension, you are permitted to seek reinstatement of your certification within five years of the date your certification expired, subject to the following reinstatement policies. You must:

- Have continued to adhere to the *Standards of Professional Responsibility for CFP® Professionals and FPSC Level 1 Certificants in Financial Planning*.
- Complete a reinstatement application.
- Provide documentation of CE requirements for each year not certified.
- Pay a pro-rated certification fee.
- Pay a separate non-refundable reinstatement fee.

It is important that you complete the entire application and check the information provided for accuracy prior to submission. Unfortunately, FPSC cannot process incomplete applications. For personal assistance in completing the application, please feel free to contact FPSC's Stakeholder Support team at 416.593.8587, 1.800.305.9886 or inform@fpsc.ca. For additional information on maintaining your certification, please refer to the *Policies and Guidelines for Obtaining and Maintaining Certification for CFP Professionals and FPSC Level 1 Certificants in Financial Planning*.

PART A | Personal Information (please print)

Name
FPSC ID Number

Check here if you do not have a business address.

Check here if your business address is unchanged since you were last certified by FPSC.

Business Name			
Job Title			
Suite	Business Address (street number and name)		
City	Province	Postal Code	Country
Phone ()	Ext.	Fax	
Business Email		Toll Free	Ext.

Suite	Residential Address (street number and name)		
City	Province	Postal Code	Country
Phone ()	Fax		
Home/Personal Email			

Preferred contact information: Business Residence

From time to time, FPSC will use your preferred contact information to communicate with you. Please log in to online.fpsc.ca to update your contact details following recertification. You must notify FPSC promptly, in writing, of any changes (including your email address, mailing address, telephone and fax numbers).



PART B | Declarations

1. Definitions

Offence

“Offence” includes but is not limited to an offence under:

1. The Criminal Code (Canada); and/or
2. Any other Act of the Legislature or a province or territory of Canada or an Act of Parliament, which includes allegations relating to:
 - a. Fraud;
 - b. Theft;
 - c. Corruption;
 - d. Breach of Trust;
 - e. Forgery;
 - f. Perjury;
 - g. Other activities involving deceit or dishonesty for personal gain or advantage; and
 - h. The sale or trade of financial products and services.

Bankruptcy

“Bankruptcy” means having declared bankruptcy, or having been petitioned into bankruptcy, made an assignment, proposal or plan (including any Notice of Intention thereof) under any bankruptcy or insolvency legislation, been subject to or instituted any proceedings, arrangements or compromise with creditors (including a consumer proposal) or had a receiver and/or receiver-manager appointed.

Business

“Business” means any business over which the Certificant has (or had at the time of the bankruptcy) a significant influence. Significant influence may include being: a partner, officer, director or shareholder holding at least 10% of the voting shares of the business.

2. Attestations

In accordance with the *Standards of Professional Responsibility for CFP Professionals and FPSC Level 1 Certificants in Financial Planning*, please answer each of the following questions.

	Yes	No
a) Since signing your last application for certification with FPSC, have you or any business with which you are/were involved been charged with, pleaded or been found guilty of an offence?	<input type="checkbox"/>	<input type="checkbox"/>
b) Since signing your last application for certification with FPSC, have you or any business with which you are/were involved been sanctioned, fined, held liable, pleaded or been found guilty by any tribunal, court, professional oversight body, licensing body and/or self-regulatory body for any reason whatsoever?	<input type="checkbox"/>	<input type="checkbox"/>
c) Since signing your last application for certification with FPSC, has any judgment or garnishment been rendered against you or any business with which you are/were involved, or is any judgment or garnishment currently outstanding?	<input type="checkbox"/>	<input type="checkbox"/>
d) Since signing your last application for certification with FPSC, have you received notice of a pending or current complaint, investigation, or proceeding against you or any business with which you are/were involved before any professional oversight body, licensing body and/or self-regulatory body for any reason whatsoever?	<input type="checkbox"/>	<input type="checkbox"/>
e) Since signing your last application for certification with FPSC, have you received notice of a civil proceeding against you before a tribunal or court of a province or territory of Canada and/or have you commenced a civil proceeding before a tribunal or court of a province or territory of Canada?	<input type="checkbox"/>	<input type="checkbox"/>
f) Since signing your last application for certification with FPSC, have you been found in breach of a Court Order?	<input type="checkbox"/>	<input type="checkbox"/>



PART B | Declarations Continued

g) Since signing your last application for certification with FPSC, have you declared bankruptcy, been petitioned into bankruptcy, made an assignment, proposal or plan and/or entered into a consumer proposal?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
h) Since signing your last application for certification with FPSC, has any business with which you are/were involved been declared bankrupt, been petitioned into bankruptcy, made an assignment, proposal or plan and/or had a receiver manager appointed?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
i) Since signing your last application for certification with FPSC, have you been found guilty of academic misconduct?	Yes <input type="checkbox"/>	No <input type="checkbox"/>

If you have answered “yes” to one or more of the above, please describe the principle facts, including dates, and the outcome, if any, on a separate attached document and include copies of any relevant documentation with this application. Relevant documentation may include, for example: proposals and/or discharges relating to bankruptcy; pleadings (statements of claim, statements of defence, notices of application, etc.), court orders, endorsements or decisions; and notices, letters, published settlement agreements, orders and decisions from other regulatory bodies such as IROC, MFDA, etc.

3. Professional Obligations

<p>I understand that, as an FPSC Level 1 certificant, I have a professional obligation to provide complete and accurate Declarations to FPSC and to report any changes to the above Declarations in writing to FPSC within 15 days of becoming aware of a change and will send any such reports to FPSC by mail or email. I shall also report, within 15 days of notice, any outcome reached in respect of any matters declared on this or prior renewal forms. I understand that this is an ongoing obligation and that failure to report this information within the required timelines is a breach of the <i>Standards of Professional Responsibility</i>.</p> <p>I understand that my application to become an FPSC Level 1 certificant will be reviewed in light of the <i>FPSC® Fitness Standards</i>, which identify conduct that may be a potential bar to certification by FPSC.</p> <p>I understand that, as an FPSC Level 1 certificant, if I am charged with an <u>offence</u>, I shall immediately notify FPSC, in writing, and provide specifics in respect of the <u>offence</u>, together with all relevant documentation.</p> <p>I understand that, as an FPSC Level 1 certificant, I must fulfill my professional and ethical obligations as outlined in the <i>Standards of Professional Responsibility</i>, <i>FPSC Continuing Education Guidelines</i>, and the <i>Marks Use Guide for FPSC Level 1 Certificants in Financial Planning</i>.</p>	INITIAL
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4. Right to Enforce

<p>I understand that failure to comply with my professional and ethical obligations may result in remedial/disciplinary action by FPSC including, without limitation, revocation, suspension or other restriction on my ability to use the FPSC Level 1 marks. I further understand that any such disciplinary action may impact my ability to obtain or maintain certification by FPSC as a CFP professional in the future. I understand and acknowledge that FPSC is not restricted in its ability to investigate my conduct and take remedial/disciplinary action in response to concerns regarding activities that occurred while I was certified by FPSC or allegations of a breach of the <i>Standards of Professional Responsibility</i>, even if I am no longer certified when a review of my conduct is initiated by FPSC. Findings of professional misconduct by FPSC’s Hearing Panel will be publicized in accordance with FPSC’s Policy on the Publication of Disciplinary Information.</p>	INITIAL
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5. Privacy

<p>I consent to the manner in which FPSC will collect, use, disclose and otherwise maintain my personal information as set out in FPSC’s Privacy Policy (fpsc.ca/privacy-legal).</p>	INITIAL
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PART C | Continuing Education (CE) Requirements for Years Lapsed

In order to maintain the integrity and reputation of FPSC Level 1 certification and to ensure that your knowledge and competence remain current, FPSC Level 1 certificants are responsible for completing 12 qualifying CE credits each year in accordance with the *FPSC Continuing Education Guidelines*. Reinstatement of FPSC Level 1 certification requires that you provide documentation verifying complete of CE requirements for each year not certified. Please include your documentation with this application

For more information about CE requirements, please visit the Continuing Education page at fpsc.ca/continuing-education.

As part of our commitment to the integrity of FPSC Level 1 certification, each year FPSC conducts random audits in which FPSC Level 1 certificants are required to provide evidence of CE credits claimed. Please ensure that you have sufficient documentation to verify all CE credits. Refer to the *FPSC Continuing Education Guidelines* for further details.

Mandatory Continuing Education Requirements

	Yes	No
Have you completed your mandatory CE requirements for each calendar year that your certification was lapsed?	<input type="checkbox"/>	<input type="checkbox"/>

Answered Yes:

If you indicated that you have completed the mandatory credits per calendar year, please proceed to Part D - Marketing Your Designation.

Answered No:

As you stated that you have NOT completed your mandatory CE requirements per calendar year, please indicate the reason:

<input type="checkbox"/> Mandatory/Parental Leave	<input type="checkbox"/> Not Yet Required
<input type="checkbox"/> Medical Disability Leave	<input type="checkbox"/> Other _____

If you have answered "No" to the question above, you are required to complete and submit to FPSC a *Continuing Education (CE) Exemption Request Form* along with the required supporting documentation with this application. Failing to submit this completed request form on time may result in a delay in the processing of your FPSC Level 1 Certification Reinstatement Application. Contact inform@fpsc.ca to request the form.

PART D | Marketing Your Designation

As an FPSC Level 1 certificant, your name, city, province and certification status will automatically appear on FPSC's Find a Planner or Certificant search tool. There are an average of 17,000 monthly page views from individuals seeking competent and ethical individuals in their area. We encourage you to take advantage of this marketing opportunity by enhancing your profile using the fields below.

<input type="checkbox"/> I would like to show the information indicated below in my public profile on the Find a Planner or Certificant search tool and provide my consent therein. In addition to the information provided below, my business address, phone number and email address will also be shown.	INITIAL
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Please note: The Find a Planner or Certificant search tool is available on FPSC's public website and as such is subjected to complete public access. FPSC does not monitor or control the use of information obtained through this publicly accessible tool.

PART D | Marketing Your Designation Continued

Voluntary Public Profile

Do you currently practice financial planning and work directly with clients?

Yes No

To maximize your marketing opportunity to those utilizing the Find a Planner or Certificant search tool, we recommend that you provide as much information as possible by answering the questions below.

Website:

1. What is the range of investible assets of the clients you generally work with?

0 - \$99,999 \$100,000 - \$499,999 \$500,000 - \$999,999 \$1,000,000 +

2. Please indicate the types of clients that you service. (please select all that apply)

Caregivers Professionals Pre-Retired
 Medical Practitioners Professional Athletes Retired
 Self-Employed

3. Please indicate your financial planning areas of specialty. (please select all that apply)

Agriculture/farm business planning Estate planning Post-retirement benefits
 Business planning Executive compensation and benefits Responsible investing
 Credit counselling and bankruptcy Insurance planning Retirement income planning
 Cross-border and international planning Investment planning Severance planning
 Divorce and separation planning Mortgages and debt planning Small business planning
 Education planning Planning for those with disabilities Succession planning
 Employee/Group benefit plans Private banking Tax planning

4. Please indicate the languages in which you service your financial planning clients. (please select all that apply)

English Farsi Korean Punjabi Tamil
 French German Mandarin Russian Ukrainian
 Arabic Hindi Polish Spanish Urdu
 Cantonese Italian Portuguese Tagalog (Filipino) Vietnamese

PART E | Profile of the Profession Information

We ask that you complete the following section. The details you provide below will be combined with information provided by other FPSC Level 1 certificants to assist FPSC in providing a profile of the financial planning profession for media, members of the public, potential candidates and other stakeholders who have an interest in the general trends related to the profession. This information is used in an aggregated and anonymous form. Please refer to our Privacy Policy at fpsc.ca/privacy-legal.

If you have any questions regarding the completion of this section, please contact FPSC's Stakeholder Support Department at 416.593.8587, 1.800.305.9886 or email inform@fpsc.ca.

Designations

1. For the purposes of our records, FPSC is interested in knowing if you have completed any of the following: (please select all that apply)

- | | |
|---|---|
| <input type="checkbox"/> Accredited Investment Fiduciary (AIF) | <input type="checkbox"/> Elder Planning Counselor (EPC) |
| <input type="checkbox"/> Accounting Designation (CPA) | <input type="checkbox"/> Fellow of the Canadian Institute of Actuaries (FCIA) |
| <input type="checkbox"/> Bachelor of Laws (LL.B.) | <input type="checkbox"/> Personal Financial Planner (PFP) – post June 2011 |
| <input type="checkbox"/> Certified Divorce Financial Analyst (CDFA) | <input type="checkbox"/> Planificateur financière (Pl.Fin.) |
| <input type="checkbox"/> Certified Health Insurance Specialist (CHS) | <input type="checkbox"/> Registered Financial Planner (R.F.P.) |
| <input type="checkbox"/> CERTIFIED FINANCIAL PLANNER® – Other Country | <input type="checkbox"/> Registered Retirement Consultant (RRC) |
| <input type="checkbox"/> Chartered Financial Analyst (CFA) | <input type="checkbox"/> Trust and Estate Practitioner (TEP) |
| <input type="checkbox"/> Chartered Investment Manager (CIM) | <input type="checkbox"/> None of the above |
| <input type="checkbox"/> Chartered Life Underwriter (CLU) | |

2. Please check any of the following associations you are a member of:

- Advocis CIFPs IAFP IFB None of the above

Employment and Industry Experiences

3. What is the status of your employment?

- | | | |
|---|---|--|
| <input type="checkbox"/> Full-time Employed | <input type="checkbox"/> Part-time Employed | <input type="checkbox"/> Full-time Self-Employed |
| <input type="checkbox"/> Not Working/On Leave | <input type="checkbox"/> Retired | <input type="checkbox"/> Part-time Self-Employed |

4. Are you currently practicing financial planning services?

- Yes No

5. Are you licensed with any regulatory bodies: (please select all that apply)

- I am not licensed to sell mutual funds, securities or insurance
- I am licensed to sell mutual funds
- I am licensed to sell securities
- I am licensed to sell insurance

PART E | Profile of the Profession Information Continued

6. Which of the following best describes the business sector in which you generally work: (please select only one)

- Accounting Education Investment Other: _____
 Banking/Credit Union Financial Planning Insurance

7. What is your primary job function? (please select only one)

- Actuary Estate Planner IA/Broker Mortgage Broker
 Compliance Officer Executive Management Insurance Advisor Mutual Funds Advisor
 Educator/Trainer Financial Planning Services Legal Advisor Tax Advisor
 Other: _____

8. What were your total gross earnings from your primary job function this past year?

- 0 – \$49,999 \$50,000 – \$99,999 \$100,000 – \$149,999 \$150,000 – \$199,999 \$200,000+ Prefer not to answer

9. How many years of work experience do you have offering financial planning services?

Years: _____ Months: _____

10. Is FPSC Level 1 certification required by your employer?

- Yes No

11. Is FPSC Level 1 certification encouraged by your employer in either of the following ways? (please select all that apply)

- FPSC certification fees paid in whole or in part by employer
 CE activities paid in whole or in part by employer

PART F | Confirmation

I confirm that all information, facts, and statements contained in this FPSC Level 1 Certification application are accurate, true and complete.

Signature

Date

PART G | Payment

2017/2018 Reinstatement Fee	AB, BC, MB, NT, NU, QC, SK, YT	ON	NB, NL, NS, PE
	\$250.95 (\$239 + 5% GST)	\$270.07 (\$239 + 13% HST)	\$274.85 (\$239 + 15% HST)

2017/2018 Certification Fee (Prorated to July 31, 2018)	AB, BC, MB, NT, NU, QC, SK, YT	ON	NB, NL, NS, PE
	\$198.45 (\$189 + 5% GST)	\$213.57 (\$189 + 13% HST)	\$217.35 (\$189 + 15% HST)

An email confirming receipt of your payment will be sent as soon as your application is approved.

Method of Payment (select one)

- Money Order
 Visa
 Cheque (payable to Financial Planning Standards Council or FPSC)
 MasterCard

Credit Card information (Please print card number clearly)

Card Number

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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Expiry Date

<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>
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Name on Credit Card (Please print clearly)

Signature

Date