



FINANCIAL PLANNERS STANDARDS COUNCIL

Application for CFP Licence Renewal 2006/2007

Please complete the enclosed 2006-2007 Application for CFP Licence Renewal and Professional Profile and return with payment to FPSC by March 31, 2006.

For your convenience, you can renew and pay online at www.cfp-ca.org in the “CFP Professionals” hub. You will need your user ID number (CFP licence or registrant ID number) and password (date of birth for first time online users) to access the online Application for CFP Licence Renewal. Then follow the step-by-step instructions.

All questions on the Application for CFP Licence Renewal must be answered for your licence to be approved. Failure to submit payment, supply required supporting documentation, initial, sign or answer questions where required will result in a delay in processing your application and may result in late fees.

If your employer is paying for your annual CFP licence with a cheque, you may apply online and select payment as “cheque” and have your employer submit the cheque remittance form along with payment.

The completed application should be returned with the appropriate fee, payable by cheque, money order (payable to FPSC), Visa or MasterCard by March 31, 2006.

Provided that all sections have been answered, a new licence covering the twelve-month period from April 1, 2006 to March 31, 2007, will be mailed six to eight weeks after receipt of your completed application and payment.

Continuing Education (CE) Credits

The obligation to obtain the requisite 30 hours of Continuing Education (CE) credits per calendar year is acknowledged in Part C, question “2” in the Professional Obligations section of the Application for CFP Licence Renewal.

CFP professionals are required to complete 30 hours of CE credits on an annual basis. CFP professionals **must** attest to whether or not they have completed their CE requirements by answering Part C, question “7” on the Application for CFP Licence Renewal.

CFP professionals who have earned technical credits in excess of their CE requirements for the 2005 calendar year will be able to carry-over these technical CE credits and utilize them towards their CE requirements in the 2006 calendar year by answering Part C, question “8” on the Application for CFP Licence Renewal. A **maximum of 20** excess technical credits can be claimed for carry-over and must be used in the 2006 calendar year. This policy applies only to technical credits. For additional information, refer to the instructions on Part C, question “8.”

CFP professionals requesting CE exemptions must complete a CE Exemption Request Form and supply relevant documentation for their request. All forms should be addressed to the Professional Affairs Department for further review.

Additional information regarding your CE requirements is located on our website at www.cfp-ca.org under CE Requirements. Please forward your enquires to ceconnection@cfp-ca.org or contact Sheila Catahan, Professional Practice Analyst, at extension 227.

Licensing Policies

FPSC Licensing Policies are located on our website at www.cfp-ca.org in the “CFP Professionals” hub.

Professional Profile

The confidential information that you provide in this survey assists FPSC with its communication efforts. Please take a few moments to complete it.

If you wish to be contacted by members of the public or the media, please post your practice profile on our website in the “CFP Professionals” hub under Resources/Marketing Support.

Profile information gathered on this renewal application will not be posted to the website.



FINANCIAL PLANNERS STANDARDS COUNCIL

1600-505 University Avenue Toronto ON M5G 1X3

Tel: 416.593.8587 Toll-Free: 1.800.305.9886 Fax: 416.593.6903

E-Mail: inform@cfp-ca.org Website: www.cfp-ca.org

Application for CFP Licence Renewal – 2006/2007

Incomplete applications WILL NOT be processed. Please return this completed application with any required supporting documentation and payment by March 31, 2006.

PART A – Personal Information (Please print)

Name
Registrant Number (Licence No.)
Business Name
Job Title

If your business address has not changed, please check

Business Address (street number and name)			Suite
City	Province	Postal Code	Country
Phone ()	Ext.	Toll-Free No. ()	Ext.
Fax ()	Business E-Mail		

Does your business use ICS (Insurance Courier Service)? Yes No

If your residential address has not changed, please check

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

Preferred mailing address: Business Residence

Fee and Credit Card information on page 5 of Renewal.



Application for CFP Licence Renewal – 2006/2007 – Page 2 of 5

PART B – Other Information (Please use checkmarks where appropriate)

- 1 ► Are you a practising Financial Planner? Yes No
- 2 ► If yes, what is your compensation source?
 Bonus Fee+Commission Fee Based Mostly Commission Mostly Fee
 Salary Salary+Bonus Salary+Commission Other _____
- 3 ► What is your highest level of education?
 College Diploma/Certificate Bachelors Masters Doctorate
 Other _____
- 4 ► What products are you currently licensed to sell?
 None Insurance Securities Mutual Funds
- 5 ► What other degrees or certificates do you hold?

<u>Institution</u>	<u>Graduation Year</u>	<u>Degree/Certificate</u>
_____	_____	_____
_____	_____	_____
- 6 ► Of which of the following associations are you a member?
 None Advocis CIFPs IFB FPA (Financial Planners Association - U.S.)
- 7 ► Please check all other financial designations that you hold:
 I do not hold any other designations CA CGA CMA CFA
 CLU R.F.P. CH.F.C PFP (ICB) FMA CIM
 F.Pl (Quebec) TEP Member of Provincial Law Society Other _____
- 8 ► What is the business sector of your employer? (You may select more than one)
 Bank/Trust Accounting Mutual Funds Credit Union
 Financial Planning Insurance Securities Other _____
- 9 ► What is your primary job function? (select one only)
 Accountant Estate Planner Financial Planner IA/Broker Insurance Advisor
 Lawyer Mutual Fund Advisor Sales Tax Advisor Other _____
- 10 ► What is your secondary job function? (select one only)
 Accountant Estate Planner Financial Planner IA/Broker Insurance Advisor
 Lawyer Mutual Fund Advisor Sales Tax Advisor Other _____

PART C – Declaration - Must answer each question

Excerpt from the CFP Code of Ethics.

Rule 601

A CFP professional shall not engage in any conduct that reflects adversely on his or her integrity or fitness as a CFP professional, upon the Marks, or upon the profession.

Rule 607

A CFP professional shall perform financial planning in accordance with applicable laws, rules, regulations and established policies of governmental agencies or other applicable authorities including FPSC.



Application for CFP Licence Renewal – 2006/2007 – Page 3 of 5

- 1 ► In accordance with the provisions of Rules 601 and 607 of the CFP Code of Ethics, your responses to the following questions are required:
- a) *Since signing the last statement*, have you been charged or indicted under the laws of any province, territory, state or country (“Laws”) for a criminal offence?..... Yes No
 - b) *Since signing the last statement*, has any business of which you are or were a partner, officer, director or shareholder (holding at least 10% of the voting shares) (“Business”) been charged or indicted under any Laws?..... Yes No
 - c) *Since signing the last statement*, has there been any claim, investigation or inquiry involving you or any Business by or before any court, tribunal or self-regulatory body which is based in part on fraud, theft, deceit, misrepresentation or similar conduct?..... Yes No
 - d) *Since signing the last statement*, have you or any Business declared or been petitioned into bankruptcy, made a proposal under any bankruptcy or insolvency legislation, been subject to or instituted any proceedings, arrangement or compromise with creditors or, in the case of a Business, had a receiver and/or receiver-manager appointed?..... Yes No
 - e) *Since signing the last statement*, have you pleaded guilty or been found guilty or has any judgment or garnishment been rendered against you (or is any judgment or garnishment outstanding against you) by any court, tribunal or self-regulatory body for damages or other relief for any reason whatsoever?..... Yes No

- If you have checked “yes” to one or more of the above, please describe the principal facts and the outcome, if any, on a separate attached sheet and include copies of any appropriate documentation with this application. Please note that your Application for CFP Licence Renewal will not be processed until FPSC has reviewed your file.
- If during the course of the coming year, circumstances change such that your answer to any of the above questions would be “yes,” or if an outcome has been reached, you must advise FPSC of this change immediately.

2 ► Professional Obligations

I understand that, as a CFP professional, I have certain professional obligations. These include fulfilling my ethical obligations as defined by the **CFP Code of Ethics**, my obligations to practice in accordance with generally accepted standards of practice for financial planning as set out in the **CFP Practice Standards** and my obligation to remain proficient in my professional practice through a commitment to continuous professional development, as set out in the FPSC **Continuing Education (CE) Requirements**. I hereby confirm that I have read and understand 1) the CFP Code of Ethics, 2) the CFP Practice Standards and 3) the FPSC Continuing Education (CE) Requirements, and understand and agree that my license to use the Mark is subject to my ongoing fulfilment of each of these professional obligations.....

3 ► Trademark

I acknowledge that the CFP Certification marks/logo and the marks “CFP” and “Certified Financial Planner” (the “Marks”) are registered trademarks of Financial Planning Standards Board Ltd., that FPSC has the sole authority to sub-license the use of the Marks to individuals who meet FPSC’s licensing requirements in Canada and that I have read and agree to abide by the Trademark Use Guide.....

4 ► FPSC Right to Enforce

I have read and understand, and agree to fully comply with FPSC’s professional obligations and FPSC’s Licensing Policies. I understand that if I fail to comply, FPSC shall have the full discretion to terminate, suspend or otherwise restrict my licence to use the Marks and to impose other disciplinary measures in accordance with the Disciplinary Rules and Procedures.....

5 ► I authorize FPSC to post on its website and otherwise publish details of any disciplinary action taken against me as a result of my failure to comply with any of the above obligations.....

6 ► Privacy

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 available at FPSC’s website at www.cfp-ca.org.....



Application for CFP Licence Renewal – 2006/2007 – Page 4 of 5

7 ► Continuing Education (CE) Requirements for the 2005 calendar year

Have you completed your mandatory 2005 Continuing Education (CE) Requirements of 30 CE credits? (minimum of 20 technical credits and up to 10 general credits)..... Yes No

Answered Yes:

If you are using the excess technical credits earned in the 2004 calendar year towards your 2005 CE requirements, please ensure that you have sufficient documentation for both your 2004 and 2005 CE activities accessible, as it will be required in the event of an audit.

Proceed to Question “8”

Answered No:

- If you did not complete your CE requirements for the 2005 calendar year, you are required to provide a written explanation as to why you failed to comply with your 2005 CE requirements. Please note that we cannot review and/or complete your renewal process without this information.

Please be advised that under certain circumstances you may be eligible to apply for a CE Exemption. Please refer to our CE Requirements located on our website (www.cfp-ca.org) to determine if you qualify for a CE Exemption and complete the CE Exemption Request Form. CE Exemption Request Forms must be accompanied with sufficient supporting documentation.

8 ► You stated that you completed the mandatory Continuing Education (CE) Requirements of 30 CE credits.

Have you completed any technical Continuing Education (CE) activities IN EXCESS of your technical requirements for the 2005 calendar year that you wish to carry-over towards your 2006 CE requirements?..... Yes No

Answered Yes:

You indicated that you completed excess technical CE credits for the 2005 calendar year that you wish to carry over as credit towards your CE Requirements for the 2006 calendar year.

Although you are not required to submit any supporting documentation for your technical CE credits earned in the 2005 calendar year at this time, please remember that you may be subject to audit, at which time you will be required to submit all supporting documentation for your technical CE activities.

Please be advised that the technical credits carried over from the previous year may also be subject to audit. To ensure that you are prepared in the event of an audit, we recommend that you keep all CE supporting documentation for at least three years.

We rely on the accuracy of the CFP professional's self-assessment of his or her CE activities. Therefore, any supporting documentation received in our office will not be reviewed and/or approved unless selected for audit.

Answered No:

You indicated that you have not completed any excess technical CE credits that you wish to carry-over as credit towards your CE Requirements for the 2006 calendar year. Please ensure that you have sufficient supporting documentation for your 2005 CE activities, as they will be required in the event of an audit.

9 Confirmation of Information contained in Application for CFP Licence Renewal

► I confirm that all information contained in this Application for CFP Licence Renewal is accurate, true and complete and acknowledge that all provisions of the foregoing licensing statements shall continue in full force and effect until such time as my CFP licence is renewed or revoked.

Signature	Date
-----------	------

Fee and Credit Card information on page 5 of Renewal.



Application for CFP Licence Renewal – 2006/2007 – Page 5 of 5

Name	Registrant Number (Licence No.)
------	---------------------------------

If you are not applying for a fee reduction please proceed to Part E of the Payment Information.

PART D – Request for Fee Reduction

CFP Professionals who are applying for a fee reduction are not automatically granted a Continuing Education (CE) exemption. To apply for a CE exemption please download the CE Exemption Request Form from our website at www.cfp-ca.org.

A fee reduction request must be applied for annually. A CFP professional may only request a fee reduction of up to one half the applicable renewal fee, for one of the following reasons:

I wish to apply for a fee reduction for (leave must be more than 6 consecutive months): (please check one)

<input type="checkbox"/> Parental Leave	Start Date (mm/dd/yy) / /	End Date (mm/dd/yy) / /
---	------------------------------	----------------------------

A CFP professional can request a fee reduction for the licensing period in which they are on parental leave. Included with the request must be a copy of their child's birth certificate, adoption papers, or health card.

<input type="checkbox"/> Medical Leave	/ /	/ /
--	-----	-----

FPSC will consider such requests and determine the applicable renewal fee on a case-by-case basis. Supporting documentation, including a medical report or Doctor's note, must be included with the request.

Should my request for a fee reduction be granted, I understand that I am prohibited from using any of the certification marks: CFP[™] CERTIFIED FINANCIAL PLANNER[™] and CFP[™] flame design and its related trademarks between the start and end dates mentioned above. This includes all whole and/or partial use of the trademark on business cards, letterheads, personal stationery items, signage, personal advertisements and publications, promotional literature, or in conjunction with any company logos. I agree to continue to adhere to the CFP Code of Ethics.

I understand that any contravention of the above-noted terms will result in the revocation of any fee reduction granted by FPSC and the outstanding balance will be due immediately, and that failure to comply may result in disciplinary action by FPSC.

Signature	Date
-----------	------

PART E – Payment

Method of Payment ► VISA MasterCard Money Order Cheque: (payable to Financial Planners Standards Council or FPSC) (select one)

Credit Card information (Please print card number clearly)	► Card # 	Expiry Date /
---	--------------	----------------------

Payment before March 31, 2006 ►

All Provinces Except NB, NS, NL \$256.80 (\$240.00 + GST)	NB, NS, NL \$276.00 (\$240.00 + HST)
--	---

Payment after March 31, 2006 ►

All Provinces Except NB, NS, NL \$310.30 (\$290.00 + GST)	NB, NS, NL \$333.50 (\$290.00 + HST)
--	---

Payment after June 30, 2006 ► Includes \$300 Reinstatement Fee

All Provinces Except NB, NS, NL \$631.30 (\$590.00 + GST)	NB, NS, NL \$678.50 (\$590.00 + HST)
--	---

Please Note: Completed Renewal Applications and any required supporting documentation received in our office postmarked after **March 31, 2006**, will be charged the late fee amount (see Payment after March 31, 2006).

Completed Renewal Applications and any required supporting documentation received in our office postmarked after **June 30, 2006**, will be charged the late fee amount plus the reinstatement fee (see Payment after June 30, 2006).

Signature	Date
-----------	------

GST#894829878RT