

# Membership Application

## Identifying Information

Mr.  Ms.  Miss  Mrs. Advocis ID

First Name \_\_\_\_\_ Initial \_\_\_\_\_ Last Name \_\_\_\_\_

Professional Title \_\_\_\_\_

## Approved Designations

CLU®  CHS  CH.F.C.®  PFA™  CFP®  CFA®  CIM®  FEA  PFP®  TEP  Pl.fin

I am a member in good-standing

I received my designation(s) on: \_\_\_\_\_

Referred by: Full Name / Chapter: \_\_\_\_\_

## Business Address

Company Name \_\_\_\_\_

Street Address \_\_\_\_\_

City \_\_\_\_\_ Province \_\_\_\_\_ Postal Code \_\_\_\_\_

Telephone \_\_\_\_\_ Fax \_\_\_\_\_ Cell \_\_\_\_\_

Email Address \_\_\_\_\_

## Home Address

Street Address \_\_\_\_\_

City \_\_\_\_\_ Province \_\_\_\_\_ Postal Code \_\_\_\_\_

Telephone \_\_\_\_\_ Fax \_\_\_\_\_ Cell \_\_\_\_\_

Email Address \_\_\_\_\_

Please select preferred address for correspondence purposes:  Business  Home

## Profile

Birth Date MM/DD/YYYY

Please indicate the provinces or territories in which you hold licences or registrations for the following:

	Earliest Licence Date MM/DD/YYYY	AB	BC	MB	NB	NL	NS	NT	NU	ON	PE	PQ	SK	YT
Life Insurance														
Accident and Sickness														
Mutual Funds														
Securities														

## Membership Category Requirements

Please select one of the three membership categories below and sign the section. All applicants must adhere to the membership conditions applicable to their category.

For a complete list of membership requirements and conditions for all categories, please visit the [membership section](#) of our website at [www.advocis.ca](http://www.advocis.ca).

### MEMBER

**Practicing Advisor** members are those that are licensed, and are already holding onto one (or several) of the approved designation(s) for at least two years *and*, who are actively providing financial advice to consumers.

- I have at least one Advocis approved designation and have maintained my designation with the conferring body.
- I agree to adhere to the Advocis [Code of Professional Conduct & Disciplinary Procedures](#).
- I agree to carry sufficient E&O coverage in accordance with the nature and extent of my practice.
- I agree to meet the Advocis annual professional development CE requirement.

My start date of actively providing financial advice is \_\_\_\_\_ MM/DD/YYYY

Signature \_\_\_\_\_  Date \_\_\_\_\_

**Managers** ([www.gamacanada.com](http://www.gamacanada.com)) are leaders in the financial services industry in Canada and who are directly or indirectly responsible for recruiting/retaining, coaching, training, education, business development, or managing financial advisors and/or planners. Manager members may be directly servicing clients or may be providing financial advice as permitted by their license(s) (client-facing).



- I understand that Manager members have membership with GAMA International Canada and affiliate membership with GAMA International US.
- I agree to adhere to the Advocis [Code of Professional Conduct & Disciplinary Procedures](#).
- I agree to carry sufficient E&O coverage in accordance with the nature and extent of my practice.
- I agree to meet the Advocis annual professional development CE requirement.

My start date of actively providing financial advice is \_\_\_\_\_ MM/DD/YYYY

Signature \_\_\_\_\_  Date \_\_\_\_\_

**Newly-Designated** members are those that are licensed and have recently (in the past two years) earned an approved designation.

Please indicate the designation that was recently earned (*other than* Advocis designations):

CFP®  CFA®  CIM®  FEA  PFP®  TEP  PI.fin

I received this designation(s) on: \_\_\_\_\_ (YYYY)

- I agree to provide proof of my designation (as indicated above) **within 30 days of receiving Advocis Membership**. I will email the document to [info@advocis.ca](mailto:info@advocis.ca), Subject Line: Proof of recently earned designation.
- I agree to adhere to the Advocis [Code of Professional Conduct & Disciplinary Procedures](#).
- I agree to carry sufficient E&O coverage in accordance with the nature and extent of my practice.
- I agree to meet the Advocis annual professional development CE requirement.
- I understand that I can only stay in this category only for a maximum of two years after which time Advocis will change my membership into PRACTICING ADVISOR category.

My start date of actively providing financial advice is \_\_\_\_\_ MM/DD/YYYY

Signature \_\_\_\_\_  Date \_\_\_\_\_

**Designation Candidate** are those who are licensed and are currently, or, is in the process of starting an approved designation program.

• I understand that I must earn the designation **within three years**

What designation are you working towards (other than Advocis designations)?

CFP®  CFA®  CIM®  FEA  PFP®  TEP  PI.fin

If enrolled in an Advocis designation program please specify:  CLU®  CHS®  PFA™

• I agree to provide proof of registration into an approved designation program, other than through Advocis, (as indicated above) within 30 days of receiving Advocis Membership. I will email document to info@advocis.ca, Subject Line: Proof of Program Registration.

• I agree to adhere to the Advocis **Code of Professional Conduct & Disciplinary Procedures**.

• I agree to carry sufficient E&O coverage in accordance with the nature and extent of my practice.

• I agree to meet the Advocis annual professional development CE requirement.

My start date of actively providing financial advice is \_\_\_\_\_ MM/DD/YYYY

Signature \_\_\_\_\_  Date \_\_\_\_\_

## ASSOCIATE

**Associate Manager** members are **leaders** in the financial services industry in Canada who are directly or indirectly responsible for recruiting/retaining, coaching, training, education, business development, or managing financial advisors and/or planners. Associate Manager members are not licensed **and** are not compensated for serving clients directly (not client-facing).



• I do not provide financial advice nor service clients directly.

• I agree to adhere to the Advocis **Code of Professional Conduct & Disciplinary Procedures**.

• I agree to carry sufficient E&O coverage in accordance with the nature and extent of my practice.

• I agree to meet the Advocis annual professional development CE requirement.

Signature \_\_\_\_\_  Date \_\_\_\_\_

**Associate** members are individuals in the financial service industry in Canada who are not licensed nor designated and are not compensated for serving clients directly.

• I do not provide financial advice nor service clients.

• I agree to carry sufficient E&O coverage in accordance with the nature and extent of my practice.

• I agree to adhere to the Advocis **Code of Professional Conduct & Disciplinary Procedures**.

• I agree to meet the Advocis annual professional development CE requirement.

Signature \_\_\_\_\_  Date \_\_\_\_\_

**Member's Assistants** are individuals who may or may not be licensed but are not designated. They are not compensated for serving clients directly (not client-facing). They work under the direct supervision of an Advocis member(s).

• I am assisting and am under the direct supervision of the following Advocis member(s): \_\_\_\_\_ Name of Member

• I do not provide financial advice nor service clients directly.

• I agree to adhere to the Advocis **Code of Professional Conduct & Disciplinary Procedures**.

• I agree to carry sufficient E&O coverage in accordance with the nature and extent of my practice.

• I agree to meet the Advocis annual professional development CE requirement.

Signature \_\_\_\_\_  Date \_\_\_\_\_

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## STUDENT

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**Student Members** must meet *ALL* criteria below:

**NOTE: APPLICATIONS IN THIS CATEGORY WITH INCOMPLETE DOCUMENTS WILL NOT BE PROCESSED.**

- I am entering the financial services industry for the first time and I am registering in a financial services licensing program. These may be: LLQP (other than Advocis program) MFDA, Securities, IIROC. Proof of program registration is required.
- I have never offered financial advice.
- I am not insurance, nor mutual funds nor securities-licensed.
- I agree to adhere to the Advocis [Code of Professional Conduct & Disciplinary Procedures](#).
- I understand that I can only stay in this category for a maximum of three years and for as long as all the above criteria are still true.

Signature \_\_\_\_\_

Date \_\_\_\_\_

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### Membership Attestation

As a requirement of membership, please select each attestation and sign this section.

I hereby apply for membership in Advocis and have read and understand the following membership conditions:

Advocis members must

- read, understand and agree to abide by Advocis' [Code of Professional Conduct](#) and I understand that by entering into this Agreement for 2020, I am subject to Advocis' investigations and disciplinary procedures should a complaint be filed against me with Advocis. The [Code of Professional Conduct](#) is enforced by The Institute for Advanced Financial Education, a wholly-owned subsidiary and the standards setting and compliance body of Advocis. I understand that The Institute for Advanced Financial Education has the right to enforce the [Code of Professional Conduct](#) on behalf of Advocis;
- maintain an annual minimum of 30 hours of professional development based on a minimum of 15 hours of structured learning and a maximum of 15 hours of unstructured learning; and
- carry professional liability E & O insurance in accordance with regulatory requirements, as applicable to the nature of my practice.

I hereby agree to these conditions of membership and to uphold the bylaws. I understand that Advocis membership is nonrefundable and non-transferable and that my application constitutes a binding contract valid until December 31. I hereby attest that I have not, within the last 12 months, been declared bankrupt, been convicted/found liable in a criminal/civil proceeding involving the misappropriation of funds, fraud or misrepresentation, made an offer to settle or settled in a civil dispute, or been the subject of an investigation or disciplinary hearing conducted by an organization or self-regulatory body. I agree to notify Advocis within 30 days should any of the aforementioned occur.

Signature \_\_\_\_\_

Date \_\_\_\_\_

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**Payment Information** Please note that membership fees are non-refundable.**Monthly Pre-authorized Payment Plan Methods:**See [www.advocis.ca](http://www.advocis.ca) under Membership – Membership Fees for monthly fee options. Please charge my credit card for the monthly amountPayment day options:  1<sup>st</sup> of the month  15<sup>th</sup> of the month  Pay in Full \*Please contact member services

Card No.

Expiry Date

 VISA  MasterCard  AMEX Signature \_\_\_\_\_, hereby authorize Advocis to renew my annual membership using the credit card on file until further notice.

MONTHLY PAYMENT OPTION DISCLAIMER: By signing above, I acknowledge that I have read and agree with the terms of The Financial Advisors Association of Canada's (TFAAC) pre-authorized payment agreement and I authorize TFAAC, on behalf of Advocis and/or The Institute for Advanced Financial Education (The Institute) and/or GAMA International Canada, to debit my bank account or credit card monthly for the amount of 1/12th of the full annual renewal fees plus the monthly administration fee (currently \$3) plus applicable GST/HST. I understand that this amount may change and that TFAAC will attempt to provide reasonable notice, and I waive my right to such notice. All fees are non-refundable. A monthly payment that is returned as NSF will result in a \$25 NSF charge. In the case of joint account holders, I agree that notice to one account holder constitutes notice to the other account holder.

Please visit [www.advocis.ca](http://www.advocis.ca) for further details about Advocis membership, or call 1.877.773.6765.Fees do not include \$3/month PAP fee or applicable taxes. Designation fees for The Institute designations (PFA™, CHS, CLU\* & CH.F.C.\*) have been included in the membership fee except where otherwise noted on the [advocis.ca](http://advocis.ca) website.

Fees qualify under Section 18(1)(a) of the Income Tax Act, as a business expense in the year of payment.

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**Privacy Statement**

Your privacy is important to us. Advocis collects, uses or discloses your personal information for the purposes identified in the Advocis [Privacy Policy](#). Unless you instruct us otherwise, your personal information including email address and your telephone or fax number may be used for marketing, including telemarketing: 1) Advocis and TFAAC entity products and services; and, 2) third-party products and services that may be of interest to you. If you do not wish to receive any communications related to the marketing of Advocis and third-party products and services, please complete the web page in the members' website and indicate your preferences. View our Advocis [Privacy Policy](#).

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**Electronic Communications Consent** I consent to receive commercial electronic messages from Advocis, The Financial Advisors Association of Canada, together with its subsidiaries and affiliates, including but not limited to The Institute for Advanced Financial Education, GAMA International Canada, Advocis Protective Association, and Advocis Broker Services. I understand that I can opt-out or update my email preferences at any time by contacting Advocis at the address or email provided on this form.

View Advocis' administration policies for more information.

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**Send Completed Form To:**

Fax To: 416.444.8031

Scan to: [info@advocis.ca](mailto:info@advocis.ca)

OR

Mail To: Advocis - Member Services

10 Lower Spadina Avenue, Suite 600

Toronto, ON M5V 2Z2

Tel: 416.444.4449 / 1.877.773.6765

## 2020 Advocis Membership Annual Fees (January 1 - December 31)

Categories	Fees
Member Category	
Practicing Advisor	\$941.00 + Applicable Taxes
Manager Member	\$941.00 + Applicable Taxes
Newly Designated (2 year maximum)	\$471.00 + Applicable Taxes
Designation Candidate (3 year maximum)	\$235.00 + Applicable Taxes
Associate Category	
Associate Manager	\$941.00 + Applicable Taxes
Associate	\$740.00 + Applicable Taxes
Member's Assistant	\$190.00 + Applicable Taxes
Student Category	
Student (full-time)	\$50.00 + Applicable Taxes

Monthly PAP Option — add \$36.00 Administration Charge + Applicable Taxes

**Additional Charges for Designation Fees	Fees
CLU Designation	\$378.00
CHS Designation	\$201.00
PFA Designation	\$240.00