

PFP® CE Assessment Tool

How to Use this Document

This tool has been provided to assist holders of the Personal Financial Planner designation (PFP®) in assessing the relevance of continuing education activities, and tracking completion of activities.

Individuals may download a copy of the PFP® Professional Competency Profile and check the areas they feel the CE activity they completed (or intend to complete) has addressed. If the activity does not relate to the PFP® competencies or competency statements, then it is not considered an eligible CE activity for a PFP® holder.

The next page of these guidelines provides a format for the PFP® holder to record their CE activities and match them to the profile.

You are not required to submit this form when you attest to meeting the CE requirements. However, it is highly recommended that individuals retain a copy of this completed form in their personal files for 2 years. If you are chosen in the random audit for continuing education, you may need to refer back to this document.

If an individual is chosen for audit, this assessment tool will be used by CSI assessors to assist them in determining whether or not the activities taken by the individual have met the annual continuing education requirements.

Tool to Assess Activities and Provide Record of Continuing Education Activity

Below is a sample of how the CE assessment and tracking tool can be used.

Use the chart below to keep track of your Continuing Education Activity. File this chart with the documentation you have received to verify your CE activity. When submitting your CE activity chart, please ensure you attach a copy of your confirmation of course completion from the course provider and a description of the course/program and if possible, the course outline.

Date of Activity	Activity	Provider (include documentation of verification)	Competency and Competency Statement	Number of PD or Compliance credits	Number of Credits year to date
April 15, 2018	Derivatives Fundamentals Course	CSI transcript	5. Investment Planning 5.01.05 Determine an appropriate asset allocation based on the client's investment profile 5.01.06 Advise on the features and benefits of investment products 5.01.11 Analyze advantages and disadvantages of investment strategies in relation to the client's goals and objectives	27 PD Credits	15 for 2018 12 carried over for 2019
April 16, 2018	Seminar on changes to the Know your client regulations	IIROC Certificate of attendance	1.01.02 Comply with federal and provincial laws and regulations relevant to the profession of a financial planner 1.01.02 Maintain knowledge of changes in the political, economic, and regulatory environments	3 Compliance Credits	3 for 2018

