



Chambre de la  
Sécurité  
Financière

# **PROCEDURE FOR RECOGNITION OF A TRAINING ACTIVITY**

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# INFORMATION ON THE *CHAMBRE DE LA SÉCURITÉ FINANCIÈRE*

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## MISSION

*The mission of the Chambre de la sécurité financière is to protect consumers by maintaining discipline and overseeing the training and ethics its members*

More specifically, the Chambre ensures that the professionals of the financial sector it oversees conduct business in the interests of consumers by offering products and services aimed at protecting their wealth. Its mission is accomplished by providing a stringent framework for the practices of these professionals and continuously enhancing their knowledge.

The Chambre oversees nearly 32,000 members who practise in the following five sectors and registration categories:

- group savings plan brokerage;
- financial planning (with the exception of any matter involving the professional development of financial planners);
- insurance of persons (including the category of accident and sickness insurance);
- group insurance of persons (including the categories of group insurance plans and group annuity plans);
- scholarship plan brokerage.

## VALUES

**Leadership, integrity, professionalism and transparency:** these are the fundamental values upon which the Chambre relies in promoting the profession.

Furthermore, in order to realize its mission, the Chambre undertakes towards consumers and towards the professionals it governs to do the following:

- establish the rules governing compulsory professional development for its members, except for those in financial planning;
- establish a code of ethics, other than in the field of securities;
- authorize a member in insurance of persons or a member in group insurance to use the title of chartered life underwriter (C.L.U.) or registered life underwriter (R.L.U.);
- authorize a member to designate himself as Conseiller agréé en avantages sociaux (C.A.A.S.).

**This document is also available on our website at:**

*[www.chambresf.com/memberscontinuingeducation/continuingeducationprovider](http://www.chambresf.com/memberscontinuingeducation/continuingeducationprovider)*.

**This document is also available by e-mail. Please contact the Chambre. You may reach us at the following:**

**300, Léo-Pariseau Street, 26<sup>th</sup> Floor  
Montreal, Quebec, H2X 4B8  
Phone: 514-380-3011 or 1-800-380-3011  
Fax: 514-282-3418  
[ufc@chambresf.com](mailto:ufc@chambresf.com)**

## GENERAL INFORMATION (PDP)

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### **DEFINITIONS**

#### **PROFESSIONAL DEVELOPMENT**

Professional development is a structured upgrading or learning process that allows representatives to keep their knowledge current, and develop their professional skills in the interest of consumer protection.

Activities are usually offered in the form of in-class or distance courses, symposiums or seminars entirely dedicated to training and upgrading.

#### **CONTINUING EDUCATION UNIT (PDU)**

A continuing education unit, or PDU, is the quantitative value attributed to a training activity recognized by the Chambre, one PDU representing one hour of a recognized training activity. However, no half hour is recognized.

**ONE HOUR RECOGNIZED = 1 PDU**

#### **PROVIDER**

Any individual, organization or educational institution that offers training activities.

#### **RECOGNITION**

A provider or a representative receives an attestation from the Chambre for a recognized training activity to which a predetermined number of PDUs is allocated in one or more recognized topics.


## RECOGNITION PROCEDURE

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An application for recognition of a training activity must preferably be submitted to the Chambre before the training activity is held, either by the representative him/herself or by the organization or educational institution that offers the training activity. However, a delay of six months after the training activity has been held is given to you, in order for you to submit an application for recognition.

Pursuant to regulation, the Chambre will recognize or decline to recognize a training activity within 45 days of receipt of the application for recognition. The Chambre undertakes to process all applications for recognition of a regular and complete training activity within a maximum of ten (10) business days. This 10-day time limit applies from the moment the application reaches our offices. The 10-day time limit does not apply to: conventions, university courses, recognition of PDUs for the course writers, professors and designers and training activities worth more than 10 PDUs.

Having a training activity recognized **before** it is held has several advantages:

- You are sure that the contents of the training activity comply with the PDP;
- If they do not, you can make the necessary changes;
- You can invite the participants and indicate the amount of PDUs that your training activity gives and the subject where it applies (ex.: 6 PDUs in the subject of group savings plan brokerage).
- When promoting this training activity, you can use the logo  as proof that it has been recognized.

## PROCEDURE

In order to submit an application for recognition you must complete **APPENDIX 1** and attach all the required documents.

Once an activity has been recognized, a recognition number is assigned. Recognition is granted for a specific number of PDUs and is not divisible. Recognition is valid for a period of two years, except for a one-time training activity (e.g.: convention, forum, etc.), in which case it is only valid for that event. If the application is rejected or the number of PDUs granted is less than requested, the Chambre will provide an explanation to the applicant

The person responsible for a training activity must submit any change to its contents, duration or method of control to the Chambre, which may or may not continue to recognize the training activity, or increase or decrease the number of PDUs allocated to it. Extra fees may be charged depending on the nature of the changes (see **appendix 2**).

An application for recognition may be **withdrawn** if a provider does not respect the recognition procedures, the participation rules or the monitoring of attendance.

## **FEES PAYABLE**

Fees are due for an application for recognition (see **appendix 6**). The methods of payment are cheque or credit card (see **appendix 7**).

The fees are waived for any CEGEP or university that offers approved courses recognized by the Ministère de l'Éducation du Québec, for which they seek recognition from the Chambre in accordance with the regulations of the Chambre governing compulsory professional development (must absolutely provide college or university credits).

### **HOW TO COMPLETE APPENDIX 1**

- **Identification of provider**

The person, firm or company who organizes the training activity.

- **Identification of the resource person**

The resource person must be the same as the one that the Chambre will contact where additional information and/or follow-up is required.

- **Starting date**

You must indicate the starting date for your training activity. This date is very important to calculate the 2-years period for your training activity.

Recognition of a one-time training activity (for example, convention, symposium, etc.) is only valid for that event.

- **Method of delivery**

You must indicate the frequency of the training activity. This determines the fees payable.

- **Choice of type of training you are organizing**

It is important to choose the type of training activity you will be organizing, since it will help you determine which documents and information you will have to supply in order to have it recognized.

- **Information about the training activity:**

*Training content (paper version required):* In order to accelerate processing, provide as much information as possible (schedule, agenda, syllabus or detailed document).

*Duration:* The training activity must last at least 60 minutes. Also specify the number of PDUs requested. No half hour is recognized.

*Connection to the "Recognized Subjects":* You must indicate on the form the subject or subjects corresponding to the content covered by the training activity as well as the number of PDUs that you wish to have allocated to the subject or subjects.

## **RECOGNIZED SUBJECTS**

<b>The Regulation stipulates that PDUs must be accumulated in the following subjects :</b>	
<b>IN GENERAL SUBJECTS:</b>	
<ul style="list-style-type: none"> <li>• Management of a financial services firm</li> <li>• Civil Code</li> <li>• Accounting</li> <li>• Economics</li> <li>• Finance</li> <li>• Business planning for clients</li> </ul>	<ul style="list-style-type: none"> <li>• Business planning for representatives</li> <li>• Financial planning</li> <li>• Tax planning</li> <li>• Actuarial sciences</li> <li>• Legislative environment</li> <li>• Intestate and testamentary successions</li> </ul>
<b>IN TOPICS SPECIFIC TO EACH SECTOR OR REGISTRATION CATEGORY:</b>	
<p>✓ <b>In insurance of persons:</b></p> <ul style="list-style-type: none"> <li>• Client counselling</li> <li>• Underwriting or risk management</li> <li>• Disability insurance</li> <li>• Life insurance</li> <li>• Trusts</li> <li>• Risk management in insurance of persons</li> <li>• Underwriting in insurance of persons</li> </ul> <p>✓ <b>In group insurance of persons:</b></p> <ul style="list-style-type: none"> <li>• Client counselling</li> <li>• Underwriting or risk management</li> <li>• Disability insurance</li> <li>• Life insurance</li> <li>• Group insurance and group pension plans</li> <li>• Benefits and underwriting in group insurance and group annuity plans</li> </ul> <p>✓ <b>In group savings plan brokerage:</b></p> <ul style="list-style-type: none"> <li>• Client counselling</li> <li>• Underwriting or risk management</li> <li>• Retirement and estate planning</li> <li>• Trusts</li> <li>• Strategy of wealth accumulation and use</li> </ul> <p>✓ <b>In scholarship plan brokerage:</b></p> <ul style="list-style-type: none"> <li>• Client counselling</li> <li>• Underwriting or risk management</li> <li>• Investor profile</li> </ul>	
<ul style="list-style-type: none"> <li>• Accident or health insurance plans</li> <li>• Segregated funds</li> <li>• Strategy of wealth accumulation and use</li> <li>• Financial needs analysis</li> <li>• Deferred income plans</li> <li>• Investor profile and asset allocation</li> <li>• Investment strategy</li> <li>• Retirement and estate planning</li> </ul>	<ul style="list-style-type: none"> <li>• Setting up a group insurance and group annuity program</li> <li>• Preparing a rate schedule and analyzing group insurance and group annuity quotes</li> <li>• Preparing a group insurance and group annuity recommendation</li> <li>• Public and private plans</li> <li>• Processing group insurance claims</li> </ul>
<ul style="list-style-type: none"> <li>• Deferred income plans</li> <li>• Mutual funds</li> <li>• Investor profile and asset allocation</li> <li>• Investment strategy</li> <li>• Knowing the client</li> <li>• Registered plans</li> </ul>	<ul style="list-style-type: none"> <li>• Knowing the client</li> <li>• Strategy of wealth accumulation and use</li> <li>• Scholarship plans</li> </ul>

## IN COMPLIANCE WITH STANDARDS, ETHICS OR PROFESSIONAL PRACTICES:

Here is a non-exhaustive list, for informational purposes only, of subjects that can be placed in this category:

- Norms of ethics, norms and code of conduct
- Code of ethics of the Chambre de la sécurité financière / Regulation respecting the rules of ethics in the securities sector
- Disciplinary committee's jurisprudence
- Role of the syndic and investigation process
- Role of the disciplinary committee and disciplinary process
- Role of the disciplinary committee and disciplinary process
- Notions and programs of conformity
- Legal and regulatory obligations of members
- Legal and regulatory obligations of representatives
- Laws and regulations concerning the practice of members and representatives


Any structured training activity aiming to improve the expertise in matters related to the laws and regulations and to the code of ethics in matters of insurance of persons, group insurance of persons, group savings plan brokerage or scholarship plan brokerage may be recognized in this category.


## REQUEST FOR USE OF PDU LOGO

Once your training activity has been recognized, you may request the right to use the PDU logo.

The Chambre has a symbol derived from its official logo: 

After obtaining the Chambre **authorization** for each training activity, you can use this

symbol  which will show the number of PDUs corresponding to the recognized training activity.

For example, an 8 PDUs training activity would be shown as follows: 

The provider authorized by the Chambre may use this symbol on its proofs of attendance, advertising or when promoting a recognized training activity. Please submit your request to the Chambre (see **appendix 3**). This authorization is valid only for the duration of the recognized training activity.

# **PARTICIPATION RULES, MONITORING OF ATTENDANCE AND PROOF OF ATTENDANCE**

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## **PARTICIPATION RULES**

### **ATTENDANCE AND LATENESS**

- For a training activity of 1 PDU, participants must be in attendance for the entire duration of the activity. However, an absence of up to 5 minutes will be tolerated.
- For a training activity of more than 1 PDU, participants must also be in attendance for the entire duration of the activity. However, an absence of up to 15 minutes will be tolerated.

### **ABSENCE FROM THE ROOM DURING A TRAINING ACTIVITY**

- Each time a participant leaves the room during a training activity, he must hand over his proof of attendance to the person in charge of attendance. The person in charge of attendance will note the time the participant left the room on the proof of attendance and hold on to this document until the participant's return. Upon the participant's return, the person in charge of attendance will note the time the participant returned to the room and hand back the proof of attendance to the participant. If the period of 5 or 15 minutes has been exceeded, the person in charge of attendance will inform the participant that he may return to the room, but the PDUs will not be granted to him, because he will not have been in attendance the time required for the duration of the training activity. The Chambre de la sécurité financière will be informed of the situation.

### **PARTICIPATION IN A TRAINING ACTIVITY**

- Cellular phones must be turned off for the entire duration of the training activity.
- Any conduct that suggests that a representative is not participating in the training activity in progress (e.g.: working on his files, reading the newspaper, using a cellular phone) could prevent him from obtaining his PDUs. If the situation arises, the person in charge of attendance will inform the participant that he must immediately stop what he is doing, failing which he risks not obtaining his PDUs. If the participant continues what he is doing despite the warning, the person in charge of attendance will ask him for his proof of attendance and note thereon the fact that the participant is not paying attention to the training activity. The Chambre will be informed of the situation.
- Participants must use the breaks provided to attend to their personal business.

## **PARTICIPANT'S RESPONSIBILITY – PROOF OF ATTENDANCE**

- After each training activity or each portion of a training activity, the participant will be responsible for presenting the proof of attendance to the person in charge of attendance in order to have it stamped.
- The person in charge of attendance will stamp a proof of attendance that contains annotations (e.g.: for being absent from the room during the training activity or for conduct suggesting that the member did not participate in the training activity). The decision whether or not to grant PDUs to the participant for the training activity will be made by the Chambre.

## **MONITORING OF ATTENDANCE**

As a provider, you are responsible for monitoring attendance. The method used may be checked at any time by the Chambre. You must put someone in charge of monitoring attendance.

## **PROOF OF ATTENDANCE**

There are two types of proofs of attendance: the attendance list and the certificate of attendance. Information that each must include appears below. A sample of each type of proof of attendance can be found in the appendices.

### **CERTIFICATE OF ATTENDANCE**

It is mandatory that all participants receive a certificate of attendance even if you submit an attendance list to the Chambre. The participant must keep the original of this proof in his/her files. This proof of attendance must include:

- The participant's name and certificate number;
- The title of the training activity as described in the confirmation of recognition letter;
- The recognition number;
- The number of PDUs allocated to the training activity;
- The subject to which the PDUs are applicable;
- The recognized provider's name (owner of the training activity);
- The date;
- The speaker's name;
- The name and signature of the person in charge of monitoring attendance.

If you do not send to the Chambre an attendance list, you must inform the participant of his responsibility to send us a copy of this proof. Please note that we do not keep any originals

If the above items are not included, the participant will not have any PDUs credited to his file and the proof of attendance will be returned to him.

## ATTENDANCE LIST

Your choice to provide us with an attendance report assures that all participants' PDUs are registered at the same time and also guards against loss of proof. The list must include:

- The recognized provider's name (owner of the training activity);
- The title of the training activity as described in the confirmation of recognition letter;
- The recognition number;
- The number of PDUs allocated and the subject for which the PDUs apply;
- The date;
- The speaker's name and certificate number if applicable (if there is more than one speaker, please advise as to the proportion of speaking duties for each);
- The participant's name and certificate number;
- The participant's signature; (not mandatory). However, if you require it, participants who have not signed the list will not be able to obtain PDUs.
- The name and signature of the person in charge of monitoring attendance.

This report must include all above-mentioned information as well as the signature of the person in charge of monitoring attendance. (see **appendix 5**)

Failure to comply with these aforementioned requirements will result in PDUs not being credited to participants and the list being returned to you.

## FEES PAYABLE

Providers are required to pay fees for the input of the attendance lists. The following fees are payable for the processing of the proofs of attendance for a training activity:

- (a) no fees if the data is entered by the training provider on the Chambre's website. In order to be able to enter the proofs of attendance yourself, you must submit a request to the Training Management Department at the following e-mail address: [ufc@chambresf.com](mailto:ufc@chambresf.com), and indicate the password you wish to use. The password must contain between 6 and 10 alphanumeric characters. An e-mail will be sent to you confirming that the user code and password have been created.
- (b) \$0.25 per proof of attendance received by the Chambre in electronic format. The information sent in electronic format must be sent to us in a specific format. A sample file has been created for this purpose. To obtain a copy of the file, you must submit a request to the Training Management Department at the following e-mail address: [ufc@chambresf.com](mailto:ufc@chambresf.com).
- (c) \$1 per proof of attendance received by the Chambre on paper.

## POSSIBLE SANCTIONS

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In order to ensure the provider complies with the various obligations set forth herein, the Chambre has established certain sanctions it may apply in the event of a violation.

Following a denunciation by a representative or a control visit, and in order to make sure the different obligations stipulated in the present document are respected by the provider, here is the gradation of the measures that will apply if the provider is caught out :

### 1st contempt

- No PDU will be granted to the participants.
- The provider's training activity will no longer be recognized.
- The provider must submit a new application for recognition of this training activity.

### 2nd contempt

- No PDU will be granted to the participants.
- The provider's training activities will no longer be recognized.
- The provider must submit a new application for recognition of all his training activities.

### 3rd contempt

- No PDU will be granted to the participants.
- The provider's training activities will no longer be recognized.
- The provider is no longer recognized for a period of 3 months.
- The provider must submit a new application for recognition of all his training activities.

## MEMO

In order to respect our commitment to recognize a training activity within a maximum of ten business days, the application for recognition of a training activity must be regular and complete and must contain the following information:

- The title
- A description of the training activity in question (schedule, agenda, syllabus or detailed document)
- The number of PDUs and the subject covered by the training activity.
- The resource person to contact for more information.
- The date on which the training activity begins (important for the duration of your training activity).
- A brief description of your training activity, if you want it included in the directory on the Chambre website. The French title and description of the training activity if you are offering it in that language.

All applications for recognition will have to be accompanied by a payment to open the file. However, this amount will be deducted from the fees to study the file if the training activity is recognized. If not, these fees are not refundable.

You have to include the total payment\* :

- For a one-time training activity of 5 PDUs or less:
  - \$ 327.68 taxes included (QST 5%, \$ 14.25 and PST 9,5%, \$ 28.43)
- For a multiple-delivery training activity of 5 PDUs or less:
  - \$ 388.05 taxes included (QST 5%, \$ 16.88 and PST 9,5%, \$ 33.67)

To apply for recognition of a training activity, complete Appendix 1. Please ensure that you are using the most recent version of our procedure

\* For companies that have their head office located in another province of Canada please refer to appendix 7 where you will find the amount of applicable fees.

## APPENDIX 1

### APPLICATION FOR RECOGNITION OF A TRAINING ACTIVITY

#### Identification of provider

Name of course provider: \_\_\_\_\_

Address: \_\_\_\_\_  
 \_\_\_\_\_

Telephone ( ) \_\_\_\_\_

Fax ( ) \_\_\_\_\_

Postal Code \_\_\_\_\_

E-Mail Address: \_\_\_\_\_

#### **Identification of resource person**

(Person to contact for additional information)

Mrs.

Mr.

Name \_\_\_\_\_

Given Name \_\_\_\_\_

Telephone ( ) \_\_\_\_\_

Ext.: \_\_\_\_\_

E-Mail Address \_\_\_\_\_

#### General Information

**Date of training activity** \_\_\_\_\_

**Check the method of delivery**

One-time training activity

Multiple-delivery training activity

**Check the type of training**

In-class training activity

Distance training activity

Complete the section *Information about the Workshop* on the following page and attach the evaluation method that will be used to attest that the workshop has been completed (e.g.: test, questionnaire, examination).

Seminar or a convention

List each activity (workshop) and its duration including a detailed schedule

Complete the section *Information about the Workshop* on the following page for each workshop.

Do you intend to offer this workshop more than once?

Yes

No

Is this training activity open to everyone?

Yes

No

Is there an admission fee? If so, what is it?

Yes

\$ \_\_\_\_\_

No

Is this training activity also offered in French?

Yes

No

(If yes, provide the French title)

Do you want your training activity to appear on our website?

Yes

No

(If yes, you must give a short description of content, see next page and indicate your website :  
 \_\_\_\_\_

## APPENDIX 1 (cont.)

### INFORMATION ABOUT THE WORKSHOP

**Title of training activity:** \_\_\_\_\_

Training content\*:  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

\*Mandatory if you want the training activity to appear on the Chambre website)

You must **mandatorily** include either:

1. **An agenda, providing details of each time slot;**
2. **A syllabus;**
3. **A detailed document.**

**Duration:** (in hour) (1hour minimum) \_\_\_\_\_

Please indicate the type of distance training activity:

distance (paper)       distance (online)       Internet       CD-ROM

others, specify: \_\_\_\_\_

How many PDUs do you request for this training activity? ( no ½ PDU possible) \_\_\_\_\_

#### Link with page 8 (Mandatory information)

*Check the corresponding subject **or subjects**: (if you check more than one subject, indicate the number of hours (hours are not divisible) for each (no ½ PDU possible).*

General subjects <input type="checkbox"/>	Insurance of persons <input type="checkbox"/>	Group insurance of persons <input type="checkbox"/>	Group savings plan brokerage <input type="checkbox"/>	Scholarship plan brokerage <input type="checkbox"/>	Compliance <input type="checkbox"/>
No. of hours: _____	No. of hours: _____	No.of hours: _____	No. of hours: _____	No. of hours: _____	No of hours: _____

#### Statement

**I confirm that the information contained in this formulary is true and I attest that this training activity does not concern specific products.**

\_\_\_\_\_  
**Signature**

\_\_\_\_\_  
**Date**

## APPENDIX 2

### MODIFICATION OF A TRAINING ACTIVITY APPLICATION FOR RECOGNITION

#### Identification of provider

Name of provider \_\_\_\_\_

Address \_\_\_\_\_

\_\_\_\_\_ Telephone ( ) \_\_\_\_\_

\_\_\_\_\_ Fax ( ) \_\_\_\_\_

Postal Code \_\_\_\_\_ E-mail Address \_\_\_\_\_

#### Identification of resource person

(Person to contact for additional information)

Mrs.  Mr.

Name \_\_\_\_\_ Given Name \_\_\_\_\_

Telephone ( ) \_\_\_\_\_ Ext.: \_\_\_\_\_ E-Mail Address \_\_\_\_\_

#### INFORMATION RELATED TO THE MODIFICATION

Title of training activity: \_\_\_\_\_

Please indicate the recognition number: \_\_\_\_\_

Please fill out only those boxes that apply and provide the required documents if needed for your modifications.

**What is the modification requested?**

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Number of PDUs granted : \_\_\_\_\_

<b>General subjects</b> <input type="checkbox"/>	<b>Insurance of persons</b> <input type="checkbox"/>	<b>Group insurance of persons</b> <input type="checkbox"/>	<b>Group savings plan brokerage</b> <input type="checkbox"/>	<b>Scholarship plan brokerage</b> <input type="checkbox"/>	<b>Compliance</b> <input type="checkbox"/>
No. of hours: _____	No. of hours: _____	No. of hours: _____	No. of hours: _____	No. of hours: _____	No. of hours: _____

**NOTICE: FEES ARE APPLICABLE FOR EACH PDU MODIFIED**

- a) \$ 65.54 taxes included (GST of 5%, \$ 2.85, PST of 9.5%, \$ 5.69) for a one-time training:
- b) \$ 77.61 taxes included (GST OF 5%, \$ 3.38, PST of 9.5%, \$ 6.73) for a multiple delivery training

#### Statement

**I confirm that the information contained in this formulary is true and I accept all the conditions for recognition of a training activity.**

\_\_\_\_\_ (Signature) \_\_\_\_\_ (Date)

## APPENDIX 3

### Request for use of logo

In recognition that the Chambre retains exclusive rights to its logo,



the provider, \_\_\_\_\_, hereby requests the right to use the logo  
(name of provider, please print)

indicating the number of PDUs recognized to the training activity entitled:

\_\_\_\_\_  
(name of training activity)

Recognition number (if known): \_\_\_\_\_

**and agrees to respect the following rules of recognition:**

- To maintain recognized material (the same as that submitted upon initial request).
- To use the logo solely for the recognized training activity;
- Not to modify the logo.
- All modifications in content and/or duration of the training activity must first be submitted to the Chambre, which may, if the content no longer respects the applicable rules of the professional development program, cancel recognition, as well as the right to use the logo.
- The present request is subject to the present and future regulations of the Chambre with regards to the compulsory professional development program.

In witness thereof, I \_\_\_\_\_, on behalf of  
(name of person responsible-please print)

\_\_\_\_\_  
(name of company-please print)

signed on this \_\_\_\_\_ day of the month of \_\_\_\_\_ in the year \_\_\_\_\_.

\_\_\_\_\_  
**Signature of person responsible**

## APPENDIX 4

### SAMPLE COMPULSORY ATTENDANCE CERTIFICATE TO BE GIVEN TO ALL PARTICIPANTS

#### ATTENDANCE CERTIFICATE

*We hereby certify that the following person attended the full training activity*

<b>Participant's Name:</b>	<b>Certificate number:</b>
<b>Title of the training activity:</b> (as described in the letter of confirmation of recognition)	<b>Recognition number:</b>
<b># of PDUs:</b>	<b>For subject:</b>
<b>Offered by</b> (recognized provider's name) (owner of the training activity):	
<b>On (date):</b>	
<b>Facilitator:</b>	

Please indicate (if possibility of choice) in which subject this training activity provides PDUs :

- Insurance of persons  Group insurance of persons  
 Group savings plan brokerage, investment contract brokerage and scholarship plan brokerage

	<b>Date:</b> _____
	<b>Name:</b> _____
	<b>Signed by:</b> _____ (Person in charge of attendance)

## APPENDIX 5

### SAMPLE ATTENDANCE LIST

PROVIDER'S NAME

(owner of the training activity)

TRAINING ACTIVITY TITLE:

(as indicated on the attestation  
of recognition letter)

RECOGNITION NUMBER:

NUMBER OF PDUs :

DATE OF TRAINING  
ACTIVITY HELD:

Speaker name and certificate  
number :

If there is more than one speaker, please advise as to the proportion of speaking duties for each.

<b>PARTICIPANT'S NAME (Please print)</b>	<b>CERTIFICATE NUMBER (MANDATORY)</b>	<b>SIGNATURE OF PARTICIPANT</b>

I \_\_\_\_\_, responsible for monitoring attendance at this training  
(please print)

activity, declare that the participants listed above were present for the entire duration of the training activity.

And I signed on \_\_\_\_\_ at \_\_\_\_\_.  
(day/month/year) (place)

\_\_\_\_\_  
Signature of person in charge of monitoring attendance

## APPENDIX 6

### FEES PAYABLE

*Please note: this document is not translated in English.*

#### SECTION IV

##### RECONNAISSANCE DES ACTIVITES DE FORMATION

**13.** Les frais d'ouverture du dossier de reconnaissance d'une activité de formation continue obligatoire sont de 327,68 \$ taxes incluses (TPS de 5% soit 14,25 \$, TVQ de 9,5% soit 28,43\$) si l'activité est pour une diffusion unique à une date donnée et de 388,05 \$ (TPS de 5% soit 16,88 \$, TVQ de 9,5% soit 33,67 \$) si l'activité est destinée à être diffusée plus d'une fois.

**14.** Si après l'étude du dossier l'activité est reconnue, les frais suivants sont exigibles pour chaque heure de formation reconnue pour cette activité qui excède cinq (5) heures :

a) 65,54 \$ taxes incluses (TPS de 5% soit 2,85 \$, TVQ de 9,5% soit 5,69 \$) si l'activité est pour diffusion unique;

b) 77,61 \$ taxes incluses (TPS de 5% soit 3,38 \$, TVQ de 9,5% soit 6,73 \$) si l'activité est destinée à être diffusée plus d'une fois.

**14.1** Si des circonstances exceptionnelles le justifient, l'étude en vue de la reconnaissance d'une activité de formation continue obligatoire pourra, sur demande écrite faisant état de motifs justificatifs, être traitée en trois (3) jours ouvrables. Les frais exigibles pour ce type de traitement sont de 1149,75 \$ taxes incluses (TPS de 5% soit 50,00\$, TVQ de 9,5% soit 99,75\$) et s'ajoutent à ceux par ailleurs exigibles en vertu de l'article 14.

Cette option n'est toutefois pas offerte pour les demandes de reconnaissance relatives à un congrès, un cours universitaire ou à l'attribution d'unités de formation continue pour rédacteurs, professeurs et concepteurs.

**15.** Toute maison d'enseignement de niveau collégial et universitaire, reconnue à ce titre par le ministère de l'Éducation du Québec, qui offre des cours et/ou un programme régulier pour lesquels elle demande une reconnaissance à la Chambre, conformément au règlement sur la formation continue obligatoire de la Chambre de la sécurité financière, est dispensée des coûts prévus à l'article 14 du présent règlement.

#### SECTION IV

##### AUTRES FRAIS

**25.1.** Les coûts pour le traitement des preuves de présence à une formation exigibles des fournisseurs de formation sont les suivants :

- a) Aucun frais si les entrées sont effectuées par le fournisseur de formation sur le site internet de la Chambre;
- b) 0.25\$ par preuve de présence reçue par la Chambre en format électronique;
- c) 1\$ par preuve de présence reçue par la Chambre sur support papier

## APPENDIX 6 (CONT.)

### FEES PAYABLE

#### EXAMPLES OF CALCULATION (QUEBEC ONLY)

- For a **one-time training activity**, for instance an annual event:

	Total
If the activity provides 3 PDUs (that is, 5 PDUs or less):	\$ 327.68
If the activity provides 5 PDUs (that is, 5 PDUs or less):	\$ 327.68
If the activity provides 6 PDUs (that is, more than 5 PDUs: \$ 327.68 + (1 PDU X \$ 65.54)	\$ 393.22
If the activity provides 9 PDUs (that is, more than 5 PDUs: \$ 327.68 + (4 PDU X \$ 65.54)	\$ 589.84

- For a **multiple-delivery training activity**, for instance an in class training activity offered on several possible dates:

	Total
If the activity provides 3 PDUs (that is, 5 PDUs or less):	\$ 388.05
If the activity provides 5 PDUs (that is, 5 PDUs or less):	\$ 388.05
If the activity provides 6 PDUs (that is, more than 5 PDUs: \$ 388.05 + (1 PDU X \$ 77.61)	\$ 465.66
If the activity provides 9 PDUs (that is, more than 5 PDUs: \$ 388.05 + (4 PDUs X \$ 77.61)	\$ 698.49

\* For companies that have their head office located in another province of Canada please refer to appendix 7 where you will find the amount of applicable fees.

## ANNEXE 7 A

### CREDIT CARD PAYMENT AUTHORIZATION - QUÉBEC

I, \_\_\_\_\_, authorize the Chambre de la sécurité

(name of provider, please print)

financière to take the amount of \_\_\_\_\_ \$ (taxes included) on the credit card:

Visa

MasterCard

for the training activity entitled:

\_\_\_\_\_  
(name of training activity)

Card number: \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

Expiration date: \_\_\_\_\_ / \_\_\_\_\_  
mm aa

Signature: \_\_\_\_\_

This amount is the payment of:

- For a one-time training activity of 5 PDUs or less:  
\$ 327.68 taxes included (GST of 5%, \$ 14.25, PST of 9.5%, \$ 28.43)
- For a multiple-delivery training activity of 5 PDUs or less:  
\$ 388.05 taxes included (GST of 5%, \$ 16.88, PST of 9.5%, \$ 33.67)

For a training activity of more than 5 PDUs, additional amounts apply:

- For a one-time training: \$ 65.54 taxes included (GST of 5%, \$ 2.85, PST of 9.5%, \$ 5.69)
- For a multiple delivery training: \$ 77.61 taxes included (GST OF 5%, \$ 3.38, PST of 9.5%, \$ 6.73)

Federal tax: 875755423 RT  
Provincial tax: 1022122980

**ANNEXE 7 B**

**CREDIT CARD PAYMENT AUTHORIZATION - ONTARIO**

**Ontario billing address**

I, \_\_\_\_\_, authorize the Chambre de la sécurité  
*(name of provider, please print)*

financière to take the amount of \_\_\_\_\_ \$ (taxes included) on the credit card:

Visa

MasterCard

for the training activity entitled:

\_\_\_\_\_  
*(name of training activity)*

Card number: \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

Expiration date: \_\_\_\_\_ / \_\_\_\_\_  
*mm aa*

Signature: \_\_\_\_\_

This amount is the payment of:

- For a one-time training activity of 5 PDUs or less:  
\$ 322.05 taxes included (TVH 13%, \$ 37.05)
- For a multiple-delivery training activity of 5 PDUs or less:  
\$ 381.38 taxes included (TVH 13%, \$ 43.88)

For a training activity of more than 5 PDUs, additional amounts apply:

- For a one-time training: \$ 64.41 taxes included (TVH 13%, \$ 7.41)
- For a multiple delivery training: \$ 76.28 taxes included (TVH 13%, \$ 8.78)

Federal tax: 875755423 RT

## ANNEXE 7 C

# CREDIT CARD PAYMENT AUTHORIZATION - MANITOBA

### Manitoba billing address

I, \_\_\_\_\_, authorize the Chambre de la sécurité  
*(name of provider, please print)*

financière to take the amount of \_\_\_\_\_ \$ (taxes included) on the credit card:

Visa

MasterCard

for the training activity entitled: \_\_\_\_\_  
*(name of training activity)*

Card number: \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

Expiration date: \_\_\_\_\_ / \_\_\_\_\_

Signature: \_\_\_\_\_

This amount is the payment of:

- For a one-time training activity of 5 PDUs or less:  
\$ 319.20 taxes included (GST of 5%, \$ 14.25 and PST of 7%, \$ 19.95)
- For a multiple-delivery training activity of 5PDUs or less:  
\$ 378.01 taxes included (GST of 5%, \$ 16.88 and PST of 7%, \$ 23.63)

For a training activity of more than 5 PDUs, additional amounts apply:

- For a one-time training: \$ 63.84 taxes included (GST of 5%, \$ 2.85 and PST of 7%, \$ 3.99)
- For a multiple delivery training: \$ 725.61 taxes included (GST of 5%, \$ 3.38 and PST of 7%, \$ 4.73)

Federal tax: 875755423 RT  
Provincial tax: 1022122980