



Advocis Corporate Partnership Program

Advocis[®]
The Financial Advisors Association of Canada

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Overview

The Advocis corporate partnership program is available to companies in the financial services sector and to companies that support and supply the financial services sector. Advocis wishes to partner with companies that see a direct benefit in aligning with Advocis and promoting shared values of advisor professionalism, competency-based education and a need to advocate on behalf of financial advisors in the consumer's interest. Advocis aims to pursue companies that would benefit from a relationship with Advocis along these lines. The Corporate Partnership Program (CORPP) provides opportunities to foster a long term relationship with companies, one that will offer greater value to those organizations by packaging existing Advocis programs and services to meet their specific needs.

Tangible benefits to companies include, but are not limited to, increased profile through sponsorship in various events and activities hosted by our 41 chapters across Canada, our four annual national schools and other events such as the annual regulatory symposium. Companies can also take advantage of our various designation programs, licensing, and continuing education programs offered by Advocis and the Institute for Advanced Financial Education to support their advisor field force. The program is flexible and is individually tailored to suit the needs of the company and its priorities.

Corporate Partners have the opportunity of profiling their corporate brand on the Advocis Web site with a link to their own corporate web site – an opportunity that makes these organizations highly visible to advisors, consumers and other visitors to the site. While Advocis recognizes its corporate partners and national sponsors, the program is not intended to endorse any one organization over another.

Target Companies

The Corporate Partnership Program is aimed primarily at financial services companies such as mutual fund and investment companies, insurance companies, banks, credit unions, brokerages and other distributorships. However, Advocis will also consider companies that support the industry such as law firms, accounting firms, IT firms, telecommunications firms, and public relations firms – essentially all companies that have an interest in raising the professional bar for advisors and preserving the advisor distribution network.

Partnering with Advocis allows a company to align itself with a professional organization that sets and maintains a rigorous code of professional conduct for its members, in addition to high continuing education standards. It provides an opportunity for these companies to publicly demonstrate their support for our mutual goals, including increasing industry standards and enhancing the professionalism of their associates by way of furthering their education.

The mutually beneficial Corporate Partnership Program is designed to allow the industry to support the values that Advocis represents – professionalism, education and a commitment to our client's best interests.

Advocis seeks corporate partners that are committed to ensuring that their employees and representatives are aware of the benefits of Advocis and encourage them to join and be affiliated with the Association by participating in its education and standards programs, and volunteering on committees and working groups.

Partnership Levels and Benefits to Corporations

The Corporate Partnership Program has three levels:

Full Corporate Partner

- a. Sponsorship and potential advertising opportunities through various channels, including chapter network, national schools, regulatory symposium, national leaders conference, FORUM Magazine, etc.,
- b. In addition to taking on sponsorship and potential advertising opportunities, a full corporate partner must allocate part of its financial contribution (25% recommended) to at least one additional product or service benefit (as outlined below) that demonstrates a commitment by the company to support Advocis' professional platform (enrolments in licensing, designation and educational programs offered by Advocis and the Institute, Advocis Protective Association, etc.)
- c. Membership Development Program – Advocis will work with the company to develop a specific membership development program that can include promoting membership at Advocis, GAMA International Canada membership (direct full or partial subsidization of membership fees)
- d. Agreement is renewable annually
- e. Benefits include:
 - i. Recognized by Advocis as a National Corporate Partner
 - ii. Annual Report recognition
 - iii. Web site recognition
 - iv. Rotating web banner on Advocis website
 - v. Link from Advocis website to corporate website
 - vi. Announcement to Advocis members of corporate relationship
 - vii. Priority on opportunities to provide a speaker at major Advocis events
 - viii. Priority on new products or services
 - ix. Volume discounts and preferred rates on Advocis programs and services
 - x. Three annual executive regulatory and government relations briefings
 - xi. Coordination and allocation services for sponsorship program and other programs and services through Corporate Relations staff at Advocis

On June 4, 1906, the members of the Life Underwriters Associations of Montreal, Quebec City, Prince Edward Island and Toronto met and founded the Life Underwriters Association of Canada (LUAC) to act in the interest of life insurance agents and represent their views to government and the public.

Then as now, professionalism and advocacy drive the Association's mandate.

Today, Advocis, The Financial Advisors Association of Canada, is the oldest and largest voluntary professional membership association of financial advisors and planners in Canada. We are the home and the voice of Canada's financial advisors. Through its predecessor associations Advocis proudly continues a century of uninterrupted history of serving Canadian financial advisors, their clients, and the nation.

With more than 11,000 members organized in 41 Chapters across Canada, Advocis members serve the financial interests of millions of Canadians.

As a voluntary organization, Advocis is committed to professionalism among financial advisors. Our members are professional financial advisors who adhere to an established professional Code of Conduct, uphold standards of best practice, participate in ongoing continuing education programs, and maintain appropriate levels of professional liability insurance and are committed to putting their client interests first.

Our members are experts who can provide a full range of financial advice and services including estate and retirement planning, wealth management, risk management and tax planning.

National Corporate Sponsor

- a. Sponsorship and potential advertising opportunities through various channels, including chapter network, national schools, regulatory symposium, national leaders conference, FORUM Magazine, etc.,
- b. Renewable annually
- c. Benefits include:
 - i. Recognized by Advocis as a *National Corporate Sponsor*
 - ii. Annual Report recognition
 - iii. Web site recognition
 - iv. Link from Advocis website to corporate web site
 - v. Secondary priority on opportunity to provide a speaker at major Advocis events
 - vi. Coordination and allocation services for sponsorship program through Corporate Relations staff at Advocis

Corporate Affiliate

- a. Company takes at least one product or service other than sponsorship and advertising opportunities (as outlined below) e.g., enrolments in licensing programs, designation and educational programs offered by Advocis and the Institute, GAMA International Canada membership, continuing education courses, etc.
- b. No formal recognition by Advocis as a National Corporate Partner or National Corporate Sponsor
- c. Benefits include:
 - i. Volume discounts and preferred rates on Advocis programs and services



ELEVENTH ANNUAL CONVENTION, LIFE
WINNIPEG, AUGUST 2

Benefits and Program & Service Offerings

Each company will have a different product and service listing, which is individually tailored to suit the needs of that company. Some companies may only wish to promote their company at various events and activities, which would place them in the National Corporate Sponsor category. Formal agreements will outline the benefits such as Advocis membership recruitment and enrollments in the educational programs offered by Advocis and the Institute for Advanced Financial Education. Partnership agreements can include a number of one-year Advocis memberships as well as volume based discounts for educational and licensing programs such as the CFP, CLU, CHS and LLQP. In addition, partners receive discounts on other products and services offered by Advocis, including CE accreditation assessments and professional liability insurance offered through the Advocis Protective Association (APA). Corporate partners will be consulted on various new Advocis initiatives and products, for example, new education programs for financial advisors, and will be given first priority to take advantage of these products and initiatives.

Event Sponsorship Promotion and Advertising

A wide array of promotion and advertising opportunities are available, such as sponsorship at our Advocis Chapter National Leadership Conference, and sponsorship and advertising opportunities at events at our 41 chapters across Canada and our four national schools.

Corporate partners can allocate sponsorship dollars under the program to any event they wish. Companies will be recognized as a Platinum, Gold, Silver or Bronze sponsor at specific events depending on their commitment and specified contribution amount for each level. Advocis will ensure that the money is transferred directly to those events. Unallocated dollars will be distributed to appropriate events in consultation with the corporate sponsor and based on the recommendation by Advocis staff.

Regulatory Affairs and Government Relations Executive Briefings

One of the unique benefits to a full National Corporate Partner is access to Advocis' regulatory affairs and government relations professionals to hear about and discuss the most pressing regulatory and legislative issues impacting financial advisors. As part of the corporate partner benefit, companies will be provided a maximum of three briefings per year with their senior executives. The purpose of the briefings will be to highlight Advocis' key advocacy priorities, and to provide a forum to exchange views and ideas about the key challenges and opportunities facing the financial advice industry in Canada.



UNDERWRITERS' ASSOCIATION OF CANADA
1st, 22nd, 25th, 24th, 25th, 1917



Membership Development Program

Advocis will work with a Corporate Partner to develop a specific membership development program that can include promoting membership at Advocis and GAMA International Canada membership. This could include:

- Communicating the benefits of membership to advisors and sending out Advocis and GAMA International Canada membership promotional materials and applications to advisors directly from the company
- New advisor program – First year advisors entering the business for the first time that have just completed the Advocis LLQP and Mutual Funds Course are provided complementary membership in Advocis – we will work with the company to convert these advisors into paying members in year two
- Promoting Advocis membership in various company events such as sales congresses and regional meetings through trade show opportunities or formal agenda presentations.

Research Studies

Advocis periodically conducts valuable research studies on a wide range of issues in order to promote the value of financial advice and the importance of the financial advisor profession in Canada or on specific policy issues. Companies can contribute to the development of such studies typically conducted through third-party consultants. Corporate contributors will be involved in helping to define the scope of the research study and will have access to research and data that may not be released publicly.

The Financial Advisors Association of Canada provides a platform of knowledge, advocacy, community and protection enhancing the professionalism of financial advisors and planners in the best interest of the consumer.

What unites our members is the common activity of helping Canadians to realize their financial goals and protect what is at stake – the savings of Canadians and the financial security of their families and themselves

Advocis Products and Services

The following is a summary of potential offerings to corporate partners (not an exhaustive list):

Promotional Sponsorship of Advocis Events

Advocis Chapters

Advocis is an association of members for members. As a single organization, Advocis represents thousands of professional advisors in 41 chapters from coast to coast.

Events

The sponsor will be invited to sponsor Chapter events for those programs seeking sponsorship. The Chapter Events Calendar will be provided to assist in the determination of events of interest along with sponsorship details as provided by the local chapters. Once confirmed, Advocis will provide the local chapter with a direct transfer of funds from the agreement.

Chapter Leadership Conference

Advocis' annual Leadership Conference brings together the leaders of all Advocis chapters to share their successes and develop new ideas for member engagement. Invitees include all Chapter Presidents, Membership Chairs, and Program Chairs, as well as selected guests from the TFAAC Board, APA Board, Chapter Leadership Council, Trustees of the Institute for Advanced Financial Education, GAMA International Canada Board, and the Provincial Advocacy Committees.

National Schools

For over 50 years, Advocis National Schools have provided advisor education that is current, relevant and practical. Located in resort-style settings, each is truly a school for advisors that's run by advisors.

- **field-tested:** our well-respected, successful seminar speakers are drawn from the best of the advisor community, so advisors can keep their practice edge
- **focused:** as a not-for-profit association, our emphasis is strictly on education, so there's no selling from the podium or other diversions
- **fun:** an exceptional opportunity for networking – and relaxing – with fellow professionals in an environment which is fraternal and fun.

Advocis Regulatory Affairs Symposium



The annual Advocis Regulatory Affairs (ARA) Symposium premiered in 2009 and is now in its third year. Sponsoring the Symposium raises your profile where it matters most – with key decision-makers and industry leaders. Each Symposium brings 200 to 300 attendees into direct contact with federal and provincial regulators, senior executives from Canada's biggest financial institutions, well-known industry thought leaders, high profile advisors and major intermediaries. The ARA Symposium reviews in depth the cutting-edge issues of concern to financial advisors, dealers, distributors and other major stakeholders; features speakers of the highest quality, including CEOs and other senior executives from some of Canada's most prominent corporations, senior legal



counsel from provincial and regulatory authorities, and politicians whose portfolios directly affect the financial industry; and attracts attendees from all facets of the financial services industry – insurance companies, banks, law firms, accountancy firms, mutual fund managers, professional associations, and insurance and securities regulators (including IIROC, MFDA, CSA, and CCIR).

FORUM Magazine – Advertising Opportunities



FORUM, with a circulation of over 35,000, is the magazine of influence for financial advisors across the country. First published in 1914 as *Office and Field*, *FORUM* has evolved over the years into an award-winning magazine designed to help financial advisors and planners serve their clients more effectively. Industry experts and seasoned journalists provide valuable insights into the issues and trends that matter most to Canada's financial professionals.

Published eight times a year, our regular columns and features on practice management, investing, insurance, financial planning, succession planning, and estate and tax planning keep Advocis members informed and up-to-date on the information that matters most to them.

Advocis Membership

Advocis membership is open to anyone engaged in providing financial advice to Canadian consumers or managing/supporting those who do. Consumers want to know that they can trust their advisor, and our members can proudly state that membership means they adhere to a Code of Professional Conduct and meet an annual professional development requirement.

Three key benefits of membership:

1. Confidence in belonging to an association that has a proven track-record of protecting financial advisors' right to practice in a level market place
2. Access to industry recognized education programs
3. Opportunities to network and learn with like-minded professionals .

The organization can elect to directly subsidize or pay full membership for its practicing advisors, managers or head office staff as follows:

- Practicing Advisor (Yr. 2-4): \$250.00
- Practicing Advisor Yr 5+: \$796.00
- Manager (includes GAMA International Canada and GAMA affiliate membership): \$796.00
- Associate: \$637.00

GAMA International Canada



GAMA International Canada is the only Canadian Association focusing on professional development and networking opportunities for leaders involved in the distribution of financial services. Membership entitlements include, but not limited to:

- Membership development opportunities
- Reduced rates on educational conference in Canada and US, for example the LAMP conference
- Discounts on material available for sale
- Access to expert knowledge on leadership through regularly scheduled teleconferences
 - Topics include: recruitment, retention, training and supervision, transitioning to new leadership, compliance, marketing, multiline and leadership/development
- Exclusive access to GAMA Canada's prestigious Awards Program.

Advocis Licensing Programs

Advocis LLQP Full and A&S Program

Since the inception of the LLQP as the education proficiency requirement to become life-insurance licensed (in all provinces except Quebec), candidates from the Advocis/Foran LLQP have consistently demonstrated one of the leading first-time pass rates in the industry. Designed as a 115 hour self-study program, the materials include a comprehensive glossary, sample test questions and case studies. Additional resources include a detailed study schedule, monthly newsletter and access to complimentary Advocis membership.

The A&S version of the LLQP enjoys the same industry-leading pass rate experience. This 34 hour self-study program is focused specifically on the learning areas required for the A&S license.

Designations Offered Through the Institute for Advanced Financial Education

CLU

The Chartered Life Underwriter (CLU®) designation is Canada's premier wealth transfer and estate planning designation. The CLU designation implies competence in the area of estate planning and provides the education needed to differentiate one's practice in complex wealth and estate transfer markets. CLU® designation holders are in the unique position of helping Canadians build and preserve wealth.

CHS

The Certified Health Insurance Specialist (CHS) designation positions Canadian financial advisors to meet the growing market demand for informed living benefits advice, through education and practice expertise in all relevant health insurance areas including disability insurance, critical illness, long-term care insurance, basic and extended health insurance, drug and dental insurance, emergency medical insurance plans for travellers and insurance that provides immediate access to healthcare.

CFP

To Canadians, the Certified Financial Planner (CFP) mark signals competent, ethical, financial planning advice and professionalism. Employers recognize it as quality certification built on the most current knowledge and possessing a reputation as the professional standard for financial planning. CFP certification represents the most rigorous financial planning standards in Canada (outside Quebec).

Continuing Education Programs and Services

CE Accreditation Service

The Institute provides Canada's premier accreditation service for Continuing Education (CE) in the Financial Services industry. At a cost of \$75 per hour of accreditation requested, applications for CE credit are subject to an impartial review against the *Practice Guidelines for Financial Advisors and Planners*. Once issued, The Institute's Decision Reports are valid for a period of two (2) years. Should the company elect to use some of its sponsorship fee for the purpose of obtaining CE Accreditation Services as provided by The Institute, the Administrative fee (\$50 per application) will be waived in recognition of this agreement to which a separate service agreement with The Institute will be appended.

Continuing Education Courses

Advocis offers 20 CE programs representing a total of 80 CE credits as confirmed by The Institute Accreditation service. These programs are recognized by all provincial life insurance regulators and IIROC where applicable. In addition they can also be used to meet other requirements: Advocis, CLU, CHS, CFP etc.

Advocis CE Programs Delivered by Chapters	CE Credits
<i>UPDATE 2011</i>	
Seminar	6.5
Self-study	6
<i>BEST PRACTICES</i>	
Engagement Process - Assessment & Evaluation *	0.5
Engagement Process - The Engagement Letter *	0.5
Engagement Process - Managing Expectations *	0.5
Client Data & Clarifying Current Position *	0.5
Recommendations, Implementation & Plan Review *	0.5
Uses of Technology *	0.5
<i>PROTECT YOUR PRACTICE (available to Corporate Partners)</i>	3
<i>UNCOMPLICATING COMPLIANCE *</i>	
Part I - Seminar	1.5
Part II - Self-Study	1
<i>DO NOT CALL LIST: What You Need to Know</i>	1
ONLINE LEARNING	
Advocis Ethics Online Course *	1
Anti-Money Laundering and Anti-Terrorist Financing *	1
Best Practices CE Session: The National Do Not Call List *	1
SELF-STUDY COURSES	
<i>GROUP BENEFITS PROGRAM</i>	
Group Benefits Module One	10
Group Benefits Module Two	10
Group Benefits Module Three	10
<i>INTRODUCTION TO SEGREGATED FUNDS</i>	10
<i>UNDERSTANDING CRITICAL ILLNESS</i>	5
<i>UNDERSTANDING LONG-TERM CARE</i>	10
Exclusively for Advocis members, with no registration fee. Full details on each program is available in the Advocis course catalogue.	

E&O Insurance through the Advocis Protective Association

The Advocis Protective Association (APA) was launched in 2004. It was established to develop and deliver an industry-leading professional liability insurance plan to financial services professionals.

Especially in times of market contraction, there is a need to ensure stable and sustainable protection for advisors and planners. The APA, a subsidiary of Advocis, The Financial Advisors Association of Canada, is managed by financial advisors, your industry peers.

The APA Sponsored Professional Liability insurance Plan is one of the largest E & O plans available to financial advisors. The APA manages partner relationships between brokers, underwriters and claims managers, to ensure the best possible conditions. The APA plan offers sustainable products, even as insurers withdraw from the E&O market during difficult times. The APA plan offers superior service and professional advice, managed by one of the world's largest global insurance brokers, and is staffed by a dedicated service team.

Questions?

For information related to Partnership,
Sponsorship or Affiliation contact:

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