



## **Chapter Guide**

### Ethics and Professional Standards

**Advocis** 

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## Pricing (Members and Non-members)

1. Members: \$25 minimum (\$25 to be remitted back to National)
2. Non-Members: \$40 minimum (\$40 to be remitted back to National)

## Promoting the Program

The main vehicles for chapters to promote this program will be email, “word-of-mouth” marketing, and the display and distribution of collateral materials.

The target audiences for this course are:

- CLU® designated advisors that obtained their CLU before December 31, 2021

## Learning Objectives

The learning objectives for Ethics and Professional Standards include:

- Appreciate the reasons for abiding by a Code of Professional Conduct
  - Understand the value of a Code of Professional Conduct for the Financial Planner/Advisor and the Consumer
  - Explain how the Institute for Advanced Financial Education enforces the Code of Professional Conduct
  - Possess knowledge of the rules and procedures for enforcement of the Code of Professional Conduct
  - Follow the best practices for abiding by the eight principles within the Code of Professional Conduct
  - Incorporate the principles of the Code of Professional Conduct into your financial planning / advisory practice
  - Understand how Code of Professional Conduct can assist financial planners and advisors in conflict of interest situations with their clients by working through real-life case studies
- Participant Eligibility

Ethics and Professional Standards is mandatory for all CLU® Credential Holders who earned their CLU designation prior to December 31, 2021.

## What Participants Need

Participants will need:

- Blank paper or notepad
- The Institute Code of Professional Conduct
- The Institute Code of Professional Conduct Explanatory Notes

## Facilitator Resources

Upon submission of the online **Ethics and Professional Standards Registration Form** available on Chapter Central, facilitator will receive access to the following resources:

Resource	Details	Format
Chapter Guide	The Chapter Guide outlines available facilitator resources and recommendations on how to run your event.	PDF
Video	The video to play in the event.	MP4
Reference Documents	The Institute Code of Professional Conduct	PDF
	The Institute Code of Professional Conduct Explanatory Notes	PDF

## Event Format

The following is how to run the event.

### Suggestion on How to Run your Event

1. **For in-person events**, provide each participant with blank paper and a printed copy of The Institute Code of Professional Conduct and Explanatory Notes.  
**For virtual events**, send the pdf copies of The Institute Code of Professional Conduct and Explanatory Notes by email to participants.
2. The video will explain The Institute Code of Professional Conduct and then participants will go through the case studies together with other participants in breakout rooms or at their table.

## CE Accreditation

The Ethics and Professional Standards program has been approved for 3 CE (including 3 Ethics).

## Questions

If you have questions, concerns, or comments regarding the facilitator resources, please contact Maja Golich, Education Coordinator via email at [mgolich@advocis.ca](mailto:mgolich@advocis.ca).