

**FP CANADA STANDARDS COUNCIL™**

**AND**

**WAYNE DOUGLAS KAUTZMAN, CFP®**

**STATEMENT OF ALLEGATIONS**

**I. THE CERTIFICANT**

1. Wayne Douglas Kautzman (“Mr. Kautzman or the “Respondent”) was certified by the Financial Planning Standards Council®, now FP Canada™, as a CERTIFIED FINANCIAL PLANNER® professional on August 1, 2005. Mr. Kautzman has consistently renewed his certification and, as of the date of this Statement of Allegations, his certification remains current. Mr. Kautzman does not have a prior disciplinary history with the FP Canada Standards Council™ (the “Standards Council”).
2. Mr. Kautzman has been employed in the financial service industry since 1998 as a financial and insurance advisor, as well as a financial planner. In 2020, he joined Meckelborg Financial Group Ltd (“MFG”), a boutique investment firm.
3. Mr. Kautzman currently works and resides in Saskatoon, Saskatchewan.

**II. BACKGROUND OF THE PROCEEDINGS**

4. On May 9, 2024, Mr. Kautzman reported to FP Canada that he had filed a Consumer Proposal on May 1, 2024. By email dated July 18, 2024, Mr. Kautzman confirmed that the Consumer Proposal was accepted on June 15, 2024, and approved by the Court on June 30, 2024.<sup>1</sup>
5. By letter dated August 20, 2024, Standards Council staff notified Mr. Kautzman that pursuant to the *FP Canada Standards Council Fitness Standards* (the “Fitness Standards”),

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<sup>1</sup> Payments are to be paid over a period of 60 consecutive months (i.e. 5 years), commencing on June 30, 2024.

being subject to a Consumer Proposal is a presumptive bar to an individual remaining certified by FP Canada.

6. Mr. Kautzman was afforded an opportunity to submit a Request for Reconsideration and request that the presumptive bar to continued certification be displaced. Mr. Kautzman took advantage of this opportunity and submitted a Request for Reconsideration on August 30, 2024, and provided further information and representations thereafter.
7. On October 29, 2024, the Conduct Review Panel (“CRP”) convened and referred the allegations set out herein to a Hearing Panel.

### III. NOTICE

8. Further to the direction of the Conduct Review Panel, and in accordance with Article 5.1 of the FP Canada *Standards Council Disciplinary Rules and Procedures* (DRP), I hereby give notice of the Standards Council’s request that a hearing date be set with respect to the matter identified as: *FP Canada Standards Council™ and Mr. Wayne Douglas Kautzman, CFP®*.
9. The Standards Council requests that the hearing be held in writing.

### IV. APPLICABLE STANDARDS

10. As the Consumer Proposal was approved in June 2024 and is continuing as of the date of this Statement of Allegations, the relevant *Standards of Professional Responsibility* are those which came into force in June 2024 and remain currently in force.
11. The applicable Fitness Standard and Rule set out in the *Standards of Professional Responsibility* are as follows:

In relevant part, the *Fitness Standards* provide:

Each of the below is a presumptive bar to new, continued or reinstated certification and may, following review, result in a finding that an individual should be denied new or continued certification by FP Canada:

- Currently in personal Bankruptcy proceedings or subject to a Consumer Proposal; ...

“Consumer Proposal” means an offer made by a debtor under the Bankruptcy and Insolvency Act to modify their payment to a creditor. Such a proposal must be completed within five years.

Rule (2): A Certificant shall not engage in any conduct, including conduct outside of their practice, that reflects adversely on their integrity or fitness as a Certificant, the FP Canada Certification Marks or the profession.

## V. ALLEGATIONS

The Standards Council makes the following allegations against the Respondent:

1. By being subject to a Consumer Proposal as of the date of this Statement of Allegations, the Respondent is presumptively barred from continued certification with FP Canada; and
2. In addition and/or in the alternative, the Consumer Proposal approved in June 2024 reflects adversely on the Respondent’s fitness as a Certificant, the certification marks or the profession; in breach of Rule 2 of the *Standards of Professional Responsibility commencing* in June 2024 and currently in force.

Dated: December 5, 2024



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Tamara Center

Director, Professional Conduct and  
Enforcement  
Counsel to FP Canada Standards Council™