



Checklist to Ensure a Fully Compliant, Successful Training Period

The probationary period is an important stage in the future certified representative's education; its purpose is to ensure that the trainee develops his¹ professional skills, knowledge and conduct. Supervising the training period involves a series of obligations, which are found in the [Regulation respecting the issuance and renewal of representatives' certificates \(Regulation no. 1\)](#). These obligations ensure that the emerging professional enjoys a truly educational experience, and learns to conduct himself professionally and in full compliance with all statutory requirements. Here are the main obligations and best practices related to supervising a training period.

Before the Training Period: Planning the Trainee's Arrival

- Meet with the trainee to discuss your respective expectations.
- Identify a replacement supervisor, if necessary.
- Validate the eligibility requirements of the supervisor and the replacement supervisor.
- Fill out the [required documents](#) and forward them to the Autorité des marchés financiers.
- Prepare the workplace by reorganizing the supervisor's tasks and responsibilities.

During the Training Period: Guide the Trainee through the Learning Process

Week one

- Explain the objectives the trainee must meet during the probationary period.
- Explain the tasks of the trainee, the supervisor and the replacement supervisor.
- Introduce the trainee to the team and the replacement supervisor, if applicable.

Following Weeks

- Create a file on the trainee that includes a list of the tasks and files he has worked on, a summary of meetings with the trainee, as well as notes on the trainee's progress (file must be kept for five years).
- Supervise the trainee's daily tasks, based on his sector class.
- Evaluate and review the trainee's work at least once a week.
- Answer the trainee's questions to maximize learning.
- Ensure that the trainee complies with the legislation in force and possesses the skills and knowledge required to perform the acts expected of a professional.
- Help the trainee gradually learn to independently carry out all the activities reserved for representatives.

La période probatoire doit être interrompue immédiatement :

- if the supervisor no longer fulfills the conditions required to act in this capacity;
- if the trainee is unable to work a minimum of 28 hours per week;
- if the trainee does not respect the regulations in force;
- if the probationary certificate has expired.

At the End of the Training Period

- Send in the recommendation within ten days following the end of the probationary period.
- Give the trainee feedback on his strengths and weaknesses to help him continue his professional development.

For more information

- > [Regulation respecting the issuance and renewal of representatives' certificates \(D-9.2, r. 7\)](#)
- > The [Probationary Period Guide](#) as well as the section on the probationary period on the [website](#) of the Autorité des marchés financiers
- > The "[Succession Planning and Recruiting](#)" section at chad.ca

¹ All words supporting masculine gender shall include *the* feminine one.