

Applying for Transcript Review

TO APPLY FOR A TRANSCRIPT REVIEW WITH CFP BOARD:

1. Complete the application for transcript review found on the following page. List your courses on the first page of the form. Then, using the course number, indicate courses on the checklist that correspond to a specific content area. One course may cover several content areas. **If you have already completed the educational coursework requirement, you do not need to fill out this form to apply for the exam.**
2. Attach course descriptions from the catalog or the course syllabus if the title does not clearly identify course content.
3. Attach your transcript to the application form (photocopies are acceptable). **The transcript must accompany the application, or the application will be deemed incomplete and will not be reviewed.** Incomplete applications will be returned.
4. Mail the application and completed checklist, transcript and other supporting documentation, and a \$100 non-refundable transcript review fee (MasterCard, American Express or Visa payments accepted) to the following address:

Transcript Review
CFP Board
1425 K Street, NW, Suite 500
Washington, DC 20005

APPLICATION REVIEW

Your transcript review application will be processed within 30 working days of its receipt by CFP Board. If CFP Board determines that you have fulfilled the educational requirement, you will be sent written notification. You will also be sent instructions for applying to take the CFP® Certification Examination. **If your application is received fewer than 30 working days before an exam application deadline, you will have to sit for a later exam.**

ADDRESSING TOPIC DEFICIENCIES

If CFP Board determines that your coursework has not met the educational coursework requirement for CFP® certification you will be sent written notice of your areas of deficiency. You may complete deficient topics at a CFP Board-Registered Program. Please be aware that each college or university has the right to impose its own transfer of credit policy.

After you have addressed any topic deficiencies at a CFP Board-Registered Program:

1. Complete the CFP® Certification Examination application.
2. Attach a copy of the letter from CFP Board noting the topics in which you were deficient.
3. Attach a transcript from the CFP Board-Registered Program or a signed note from the Program Director verifying that you have completed the needed topics.
4. Submit the application and documentation to CFP Board.

If you complete the missing topics at a U.S. accredited college or university that does not have a CFP Board-Registered Program, submit a new transcript review application, along with a non-refundable review fee of \$100. Include the letter you received from CFP Board noting the missing topics and the new transcript showing that you have addressed the deficiencies. There is no guarantee that the new courses will meet the topic coverage. CFP Board will not pre-determine the status of any course.

Application for Transcript Review

If you have completed the educational requirement, you do not need to complete this form to apply for the CFP® Certification Examination.

SECTION I: Personal Data

Name: Mr. Mrs. Ms. Miss

_____ *First name* *Middle initial* *Last name* *Suffix*

Business name: _____

Business address: _____

Business telephone: _____

Business fax: _____

E-mail: _____

Home address: _____

Home telephone: _____

Preferred address (*check only one*): Business Home

Social Security #: _____

Birth date: _____
Month Day Year

SECTION II: Transcript Review Qualifications

Have you had your transcript(s) reviewed previously by CFP Board? yes no

Transcripts from the following accredited schools are attached for review:

Name of school attended	Years	Degree awarded and major awarded	Date degree awarded

Financial planning-related courses from the transcripts to be considered. Courses to be considered for transcript review must be at the upper-division college level or higher (typically course numbers 300 or greater):

Course title	Course number	Dates	Credit hours

Credentials* to be considered (*attach copies of credentials*):

ASA CEBS EA FSA *State licenses and continuing education courses are not considered educational courses and do not qualify for credit on this application.

SECTION V: Transcript Review Fee - \$100 (a \$25 service fee will apply to all returned checks)

Check (*make check payable to CFP Board, do not staple check to application*) Amount enclosed: _____ Check number: _____

Credit Card (*check only one*) MasterCard Visa American Express Credit card #: _____

Name (*as it appears on credit card*): _____ Expiration date: _____

I hereby affirm that I am over the age of eighteen and I authorize the investigation of all statements made by me to CFP Board including, but not limited to, those statements contained in this form. I understand that misrepresentation or omission of facts is cause for denial or revocation of the right to use the CFP®, CERTIFIED FINANCIAL PLANNER™ and CFP® certification marks, and that I may not use the marks until I receive official notification of my certification by CFP Board. CFP Board may obtain my educational records in order to verify the truthfulness and accuracy of my educational background and I hereby expressly authorize educational institutions (and authorized agents of such institutions) to release my educational records to CFP Board. I understand that educational records will include, without limitation, any record, file, document or other material which contains information directly related to me, which is maintained by the educational agency or institution or by a person acting for such agency or institution. To the extent any of the following information is not considered to be an educational record I further authorize educational institutions to release: my last name, the last four digits of my Social Security number and the date of my degree completion. In consideration for CFP Board's acceptance of this application I agree that neither CFP Board nor its directors, officers, employees and others acting on its behalf shall be liable to me for any actions taken or omitted to be taken in any official capacity or in the scope of employment, and I hereby release CFP Board and the other persons identified above from any liability for such actions or omissions.

Signature: _____ Date: _____

Using the course number from your transcripts, indicate which topics have been covered by placing the course number next to the corresponding topic you believe was covered in that course. Refer to CFP Board's complete Financial Planning Topic List for more details.

TOPIC	COURSE #	TOPIC	COURSE #
GENERAL PRINCIPLES OF FINANCIAL PLANNING		INCOME TAX PLANNING	
1. Financial planning process		44. Income tax law fundamentals	
2. CFP Board 's <i>Code of Ethics and Professional Responsibility and Disciplinary Rules and Procedures</i>		45. Tax compliance	
3. CFP Board 's <i>Financial Planning Practice Standards</i>		46. Income tax fundamentals and calculations	
4. Financial statements		47. Tax accounting	
5. Cash flow management		48. Characteristics and income taxation of business entities	
6. Financing strategies		49. Income taxation of trusts and estates	
7. Function, purpose and regulation of financial institutions		50. Basis	
8. Education planning		51. Depreciation/cost-recovery concepts	
9. Financial planning for special circumstances		52. Tax consequences of like-kind exchanges	
10. Economic concepts		53. Tax consequences of the disposition of property	
11. Time value of money concepts and calculations		54. Alternative minimum tax (AMT)	
12. Financial services regulations and requirements		55. Tax reduction/management techniques	
13. Business law		56. Passive activity and at-risk rules	
14. Consumer protection laws		57. Income tax law fundamentals	
INSURANCE PLANNING AND RISK MANAGEMENT		58. Charitable contributions and deductions	
15. Principles of risk and insurance		RETIREMENT PLANNING	
16. Analysis and evaluation of risk exposures		59. Retirement needs analysis	
17. Property, casualty and liability insurance		60. Social Security (Old Age, Survivor, and Disability Insurance, OASDI)	
18. Health insurance and health care cost management (individual)		61. Types of retirement plans	
19. Disability income insurance (individual)		62. Qualified plan rules and options	
20. Long-term care insurance (individual)		63. Other tax-advantaged retirement plans	
21. Life insurance (individual)		64. Regulatory considerations	
22. Income taxation of life insurance		65. Key factors affecting plan selection for businesses	
23. Business uses of insurance		66. Investment considerations for retirement plans	
24. Insurance needs analysis		67. Distribution rules, alternatives and taxation	
25. Insurance policy and company selection		ESTATE PLANNING	
26. Annuities		68. Characteristics and consequences of property titling	
EMPLOYEE BENEFITS PLANNING		69. Methods of property transfer at death	
27. Group life insurance		70. Estate planning documents	
28. Group disability insurance		71. Gifting strategies	
29. Group medical insurance		72. Gift tax compliance and tax calculation	
30. Other employee benefits		73. Incapacity planning	
31. Employee stock options		74. Estate tax compliance and tax calculation	
32. Stock plans		75. Sources for estate liquidity	
33. Non-qualified deferred compensation		76. Powers of appointment	
INVESTMENT PLANNING		77. Types, features, and taxation of trusts	
34. Characteristics, uses and taxation of investment vehicles		78. Qualified interest trusts	
35. Types of investment risk		79. Charitable transfers	
36. Quantitative investment concepts		80. Use of life insurance in estate planning	
37. Measures of investment returns		81. Valuation issues	
38. Bond and stock valuation concepts		82. Marital deduction	
39. Investment theory		83. Deferral and minimization of estate taxes	
40. Portfolio development and analysis		84. Intra-family and other business transfer techniques	
41. Investment strategies		85. Generation-skipping transfer tax (GSTT)	
42. Asset allocation and portfolio diversification		86. Fiduciaries	
43. Asset pricing models		87. Income in respect of a decedent (IRD)	
		88. Postmortem estate planning	
		89. Estate planning for non-traditional relationships	