

Sub-Agreement for CE Programs on CFP Board's Ethical Standards

SECTION I: Contact Information

CE Sponsor ID#: _____

Full Name of Sponsoring Organization: _____

Address: _____

Name of Contact for CE Programs on CFP Board's Ethical Standards: _____

Telephone: _____ Fax: _____

E-mail: _____ Web site: _____

SECTION II: Instructions

Use this form to request approval from Certified Financial Planner Board of Standards, Inc. (CFP Board) to present continuing education (CE) programs suitable for CFP Board's requirement that CFP® certificants complete courses that cover CFP Board's *Code of Ethics and Professional Responsibility* and/or *Financial Planning Practice Standards* (collectively referred to as CFP Board's Ethical Standards) as a condition of certification renewal. To submit a request for approval, complete the following steps:

- 1) Complete a CFP Board Continuing Education Sponsor Agreement (if your organization is not currently registered with CFP Board).
- 2) Complete this Sub-Agreement, including agreement with the terms and conditions outline below.
- 3) Submit one copy of the Program(s) in its entirety, including handouts, workbooks and advertising material. Programs that will be presented in a live format will include a description of how attendance will be monitored. Self-study Programs will include an examination (at least 40 questions) and a keyed answer sheet. CFP Board may request changes to Program materials before granting approval. After initial approval, CFP Board must be notified of any changes to the Program and/or Program material. CFP Board must always have a correct and current copy of approved CE Programs on CFP Board's Ethical Standards.
- 4) Submit a registration review fee of \$50 per Program. Include a check with this form and the Program materials, or provide credit card payment information below:

Check Amount: _____ Check Number: _____

VISA MasterCard American Express Cardholder Signature: _____

Card #: _____ Expiration Date: _____

SECTION III: Requirements for CE Programs on CFP Board's Ethical Standards

- 1) Programs must consist of a detailed review of some aspect of CFP Board's Ethical Standards.
- 2) Programs must be one or two class hours in length (a minimum of 50 minutes shall constitute one class hour).
- 3) Programs must meet the Program Standards outlined in the Terms and Conditions of Continuing Education Sponsor Registration.
- 4) Programs may make use of case studies taken from CFP Board's Anonymous Case History and may also make use of fictitious scenarios that illustrate issues related to CFP Board's Ethical Standards. However, fictitious scenarios may not be accompanied with predictions of actions CFP Board might take when presented with any fictitious scenario.
- 5) Programs, including all related materials, must use the most updated version of CFP Board's Ethical Standards, with updates to be made no later than six weeks after notification of changes to CFP Board's Ethical Standards.
- 6) Program advertisements and any communications promoting the Programs will include the following disclaimer: "While the materials for the course(s) (Code of Ethics and/or Practice Standards) have been approved by the CFP Board as meeting the established standards for continuing education, the CFP Board does not review the method or means of presentation and, therefore, makes no representation concerning the delivery of this information to the CFP® certificant."
- 7) Program materials that quote any part of CFP Board's copyrighted materials include the following disclaimer and copyright notice:
Disclaimer: "CFP Board's *Code of Ethics and Professional Responsibility*, *Financial Planning Practice Standards*, Anonymous Case History and Advisory Opinions are the property of CFP Board and may not be resold, republished or copied without the prior consent of CFP Board."
Copyright Notice: "Copyright © (current year) Certified Financial Planner Board of Standards, Inc. All rights reserved. Reproduced with permission."
- 8) If changes are made to the content of Programs after CFP Board provides approval, the Programs must be re-registered. Such Programs are considered new Programs, and a registration review fee of \$50 will be required. Program changes must be submitted to CFP Board for approval prior to distribution or presentation to CFP® certificants.



- 9) For live presentations: Sponsor agrees to electronically report attendee lists to CFP Board within four weeks of a Program's completion.
 10) For self-study programs: Sponsor agrees to electronically report lists of attendees who achieve exam scores of 80% or higher within four weeks of a Program's completion.

SECTION IV: Program Description

Exact Program Title: _____

Number of Hours Requested: One Hour Two Hours Date(s) of Programs: _____

Locations of Programs (City & State): _____

Program Format: Live Presentation Self-Study Frequency: One time only More than once

Was Program previously-approved under a different sponsor? No Yes (If yes, provide name of previously-approved sponsor below)

SECTION V: Use of CFP Board Content and Terms and Conditions of Copyright Permission

CFP Board's review of the Program materials will include a review of its use of CFP Board's copyrighted material. All references within a Program's materials to CFP Board's Ethical Standards, Anonymous Case History, Advisory Opinions or other copyrighted content must be identified as the property of CFP Board and accompanied by the copyright notice listed above in Section III of this Sub-Agreement. CFP Board's approval of a CE Program on CFP Board's Ethical Standards includes copyright usage permission to use the materials included in the Program materials, subject to the following terms and conditions:

- 1) Permission granted shall extend only to the reprinting/reproducing of the material indicated in the Program materials reviewed by CFP Board, in the specific edition of the Program materials submitted to CFP Board, and permission shall not extend to use in any special, abridged, reprinted or revised edition of the Program materials.
- 2) Permission extends to the distribution of the Program materials in the United States only.
- 3) No changes, additions or deletions shall be made to the reprinted/reproduced material.
- 4) The most current edition of the Program materials shall be maintained by Sponsor with the appropriate effective dates listed.
- 5) Permission shall terminate two (2) years after this Copyright Permission is granted.
- 6) Sponsor agrees to indemnify and hold harmless CFP Board for any loss or damage, including reasonable attorney fees, CFP Board may incur, directly or indirectly, by reason of Sponsor's use of the reprinted/reproduced material.

SECTION VI: Advertising of CE Programs on CFP Board's Ethical Standards

Program advertisements and any communications promoting the Programs will include the following disclaimer: "While the materials for the course(s) (Code of Ethics and/or Practice Standards) have been approved by the CFP Board as meeting the established standards for continuing education, the CFP Board does not review the method or means of presentation and, therefore, makes no representation concerning the delivery of this information to the CFP® certificant." Once a CE Program on CFP Board's Ethical Standards has been approved by CFP Board, the Sponsor may use the following phrase in advertisements and/or promotional materials: "approved by the Certified Financial Planner Board of Standards, Inc." **A Program may not be advertised as being approved by the CFP Board unless it has in fact been approved.**

SECTION VII: Acknowledgement

I agree to comply with the Terms and Conditions of Continuing Education Sponsor Registration and the terms of this Sub-Agreement as stated above, and I understand that I may not use published materials owned by CFP Board other than those included in the Program materials submitted with this form without separate written confirmation from CFP Board that Copyright Permission has been granted.

Name (*please print*): _____ Title: _____

Signature: _____ Date: _____

CFP Board may also use the contact information collected through this form to send updates regarding CFP Board's policies or for other purposes, including communications to third parties. To opt out of communications not directly related to your request, check the "Opt-out" box to the right or notify CFP Board of your request by e-mail to mail@CFPBoard.org or fax to 202-379-2299. Opt-out

SECTION VIII: Submission Instructions

Once you have completed the form and assembled the other required materials, please fax or mail them to CFP Board at:

CFP Board, Attn: CE Sponsor Relations
 1425 K Street, NW, Suite 500
 Washington, DC 20005

Fax: 202-379-2299
 E-mail: cesponsor@CFPBoard.org
 Phone: 800-487-1497

PLEASE ALLOW 4 WEEKS FOR CFP BOARD TO PROCESS YOUR REQUEST