

Appendix B: List of Professional Designations and Licenses

The following list outlines professional designations and licenses that, upon successfully passing the examination(s), are accepted for continuing education (CE) hours as indicated. CE hours have been determined based on the financial planning education involved which fits with the topic list in Appendix A. Courses taken to prepare an individual for the successful completion of a licensing exam are not accepted for CE credit.

All accepted designations and licenses may be reported online for CE credit by logging in to CFP Board's Web site at www.CFP.net/login and selecting the CE Sponsor name "Designations and Licenses."

PROFESSIONAL DESIGNATIONS

AAMS®: Accredited Asset Management SpecialistSM

College for Financial Planning (Self-Study)45 hours total
Denver, CO • 800-237-9990 • www.cffp.edu

CCIM: Certified Commercial Investment Member

CCIM Institute (Self-Study or Classroom)32 hours each
Chicago, IL • 800-621-7027 • www.ccim.com

CI 101: Financial Analysis for Commercial Investment Real Estate

CI 102: Market Analysis for Commercial Investment Real Estate

CI 103: User Decision Analysis for Commercial Investment Real Estate

CI 104: Investment Analysis for Commercial Investment Real Estate

CEBS®: Certified Employee Benefits Specialist

International Foundation of Employee Benefit Plans (Self-Study or Classroom)36 hours each
Brookfield, WI • 800-449-2327 (option #3) • www.ifebp.org

CEBS Course 1: Employee Benefits: Concepts and Health Care Benefits

CEBS Course 2: Employee Benefits: Design, Administration and Other Welfare Benefits

CEBS Course 3: Retirement Plans: Basic Features and Defined Contribution Approaches

CEBS Course 4: Retirement Plans: Defined Benefit Approaches and Plan Administration

CEBS Course 5: Contemporary Legal Environment of Employee Benefit Plans

CEBS Course 7: Asset Management

CEBS Course 9: Health Economics

CEBS Course 10: Contemporary Benefit Issues and Practices

*CEBS Course 6: Financial Concepts and Practices (no credit)**

*CEBS Course 8: Human Resources and Compensation Management (no credit)**

Personal Financial Planning Course 1: Concepts and Principles

Personal Financial Planning Course 2: Tax and Estate Planning Techniques

CFA®: Chartered Financial Analyst®

CFA Institute (Self-Study)60 hours each level
Charlottesville, VA • 800-247-8132 • www.cfainstitute.org

Level I

Level II

Level III

**This course does not address the financial planning topics in Appendix A, therefore CE credit cannot be given.*

CFS: Certified Fund Specialist

Institute of Business & Finance (Self-Study)23 hours total
 La Jolla, CA • 800-848-2029 • www.icfs.com

ChFC: Chartered Financial Consultant

The American College (Self-Study)45 hours each
 Bryn Mawr, PA • 888-263-7265 • www.theamericancollege.edu

HS 318: Insurance and Financial Planning
 HS 321: Income Taxation
 HS 322: The Financial System in the Economy
 HS 326: Planning for Retirement Needs
 HS 328: Investments
 HS 330: Fundamentals of Estate Planning
 HS 332: Financial Planning Applications
 HS 334: Estate Planning Applications
 HS 336: Financial Decision Making at Retirement

CIC: Certified Insurance Counselor

Society of Certified Insurance Counselors (Classroom)20 hours each
 Austin, TX • 800-633-2165 • www.scic.com

Personal Lines
 Commercial Casualty
 Commercial Property
 Life and Health

*Agency Management (no credit)**

CIMA: Certified Investment Management Analyst

Investment Management Consultants Association30 hours each
 Denver, CO • 303-770-3377 • www.imca.org

Level I
 Level II

CLU: Chartered Life Underwriter

The American College (Self-Study)45 hours each
 Bryn Mawr, PA • 888-263-7265 • www.theamericancollege.edu

HS 313: Individual Health Insurance
 HS 318: Insurance and Financial Planning
 HS 321: Income Taxation
 HS 323: Individual Life Insurance
 HS 324: Life Insurance Law
 HS 325: Group Benefits
 HS 326: Planning for Retirement Needs
 HS 328: Investments
 HS 330: Fundamentals of Estate Planning
 HS 331: Planning for Business Owners and Professionals
 HS 334: Estate Planning Applications

**This course does not address the financial planning topics in Appendix A, therefore CE credit cannot be given.*

CMFC®: Chartered Mutual Fund CounselorSM

College for Financial Planning (Self-Study)45 hours total
 Denver, CO • 800-237-9990 • www.cffp.edu

CPC: Certified Pension Consultant

American Society of Pension Professionals & Actuaries
 Arlington, VA • 703-516-9300 • www.asppa.org

Pension Administrators Course (Parts 1, 2 and 3)20 hours
 Defined Contribution Administrative Issues - Basic Concepts (DC-1)20 hours
 Defined Contribution Administrative Issues - Compliance Issues (DC-2)20 hours
 Defined Contribution Administrative Issues - Advanced Topics (DC-3)20 hours
 Administrative Issues of Defined Benefit Plans (DB)20 hours
 Financial and Fiduciary Aspects of Qualified Plans (C-3)15 hours
 Advanced Retirement Plan Consulting (C-4)15 hours

CPCU®: Chartered Property Casualty Underwriter

American Institute for Chartered Property Casualty Underwriters (Self-Study)45 hours each
 Malvern, PA • 800-644-2101 • www.aicpcu.org

CPCU 510: Foundations of Risk Management, Insurance and Professionalism
 CPCU 520: Insurance Operations, Regulation and Statutory Accounting
 CPCU 530: The Legal Environment of Risk Management and Insurance
 CPCU 540: Business and Financial Analysis for Risk Management and Insurance Professionals
 CPCU 551: Commercial Property Risk Management and Insurance
 CPCU 552: Commercial Liability Risk Management and Insurance
 CPCU 553: Survey of Personal Risk Management, Insurance and Financial Planning
 CPCU 555: Personal Risk Management and Property-Liability Insurance
 CPCU 556: Personal Financial Planning
 CPCU 557: Survey of Commercial Risk Management and Insurance
 CPCU 560: Financial Services Institutions

CRPC®: Chartered Retirement Planning CounselorSM

College for Financial Planning (Self-Study)45 hours total
 Denver, CO • 800-237-9990 • www.cffp.edu

CRPS®: Chartered Retirement Plans SpecialistSM

College for Financial Planning (Self-Study)45 hours total
 Denver, CO • 800-237-9990 • www.cffp.edu

CTFA: Certified Trust and Financial Advisor

Institute of Certified Bankers30 hours total
 Washington, DC • 202-663-5092 • www.aba.com

EA: Enrolled Agent

Internal Revenue Service16 hours each part
 Washington, DC • 800-829-3676 • www.irs.gov

Exam Only

Part 1: Individual Income Taxes
 Part 2: Sole Proprietorships and Partnerships
 Part 3: Corporations (including S-Corporations), Fiduciaries, Estate & Gift Tax, and Trusts
 Part 4: Ethics, Recordkeeping Procedures, Appeal Procedures, Exempt Organizations,
 Retirement Plans, Practitioner Penalty, Research Materials and
 Collection Procedures

FLMI: Fellow, Life Management Institute

Life Office Management Association (LOMA) (Self-Study)45 hours each

Atlanta, GA • 770-951-1770 or 800-275-5662 • www.loma.org

LOMA 280: Principles of Insurance: Life, Health, and Annuities

LOMA 311: Business Law for Financial Services Professionals

LOMA 351: Financial Services Environment

LOMA 356: Investments and Investment Principles

*LOMA 290: Insurance Company Operations (no credit)**

*LOMA 301: Insurance Administration (no credit)**

*LOMA 320: Life and Health Insurance Marketing (no credit)**

*LOMA 330: Management Principles and Practices (no credit)**

*LOMA 361: Accounting and Financial Reporting in Life Insurance Companies (no credit)**

*LOMA 371: Managing for Solvency and Profitability in Life Insurance Companies
(no credit)**

LUTCF: Life Underwriter Training Council Fellow

The American College

Bryn Mawr, PA • 888-263-7265 • www.theamericancollege.edu

LUTC 201: Exploring Personal Markets10 hours

LUTC 202: Techniques for Meeting Client Needs20 hours

LUTC 211: Disability Income20 hours

LUTC 251: Essentials of Business Insurance20 hours

LUTC 252: Employee Benefits20 hours

LUTC 255: Essentials of Long-Term Care Insurance20 hours

LUTC 256: Essentials of Annuities20 hours

LUTC 261: Retirement Planning20 hours

LUTC 271: Foundations of Estate Planning20 hours

LUTC 281: Foundations of Senior Planning20 hours

LUTC 290: Ethics for Financial Services Professionals10 hours

LUTC 601: Piecing Together the Ethical Puzzle10 hours

LUTC 611: Charting an Ethical Course10 hours

QKA: Qualified 401(k) Administrator

American Society of Pension Professionals & Actuaries20 hours each

Arlington, VA • 703-516-9300 • www.asppa.org

Pension Administrator's Course (Parts 1, 2 and 3)

Defined Contribution Administrative Issues - Basic Concepts (DC-1)

Defined Contribution Administrative Issues - Compliance Issues (DC-2)

QPA: Qualified Pension Administrator

American Society of Pension Professionals & Actuaries20 hours each

Arlington, VA • 703-516-9300 • www.asppa.org

Pension Administrators Course (Parts 1, 2 and 3)

Defined Contribution Administrative Issues - Basic Concepts (DC-1)

Defined Contribution Administrative Issues - Compliance Issues (DC-2)

Defined Contribution Administrative Issues - Advanced Topics (DC-3)

Administrative Issues of Defined Benefit Plans (DB)

**This course does not address the financial planning topics in Appendix A, therefore CE credit cannot be given.*

RHU: Registered Health Underwriter

The American College (Self-Study)

Bryn Mawr, PA • 888-263-7265 • www.theamericancollege.edu

HS 313: Individual Health Insurance45 hours
HS 325: Group Benefits45 hours
HS 340: Introduction to Managed Health & Other Health Insurance Topics24 hours
HS 344: Advanced Topics in Managed Care24 hours

STATE LICENSE EXAMS

1. Attorney License (State Bar)

<u>Exam Only</u>30 hours each
Multi-State	
State	

2. CPA: Certified Public Accountant

<u>Exam Only</u>15 hours each part
Financial Accounting and Reporting	
Regulation	
Business Environment and Concepts	
<i>Auditing (no credit)*</i>	

3. Insurance License

<u>Exam Only</u>5 hours
<i>(Not all insurance certification exams are accepted for CE credit. Only those which meet the subject topic requirements in Appendix A of this booklet are accepted.)</i>	

4. Real Estate License

<u>Exam Only</u>10 hours each
Salesperson's License	
Broker's License	

5. NASD Securities Licenses and Registrations

www.nasd.com

<u>Exam Only</u>	
Series 3: Natural Commodity Futures15 hours
Series 4: Registered Options Principal15 hours
Series 5: Interest Rate Options6 hours
Series 6: Investment Company Products/Variable Contracts Representative18 hours
Series 7: General Securities Representative60 hours
Series 9: General Securities Sales - Options7 hours
Series 10: General Securities Sales20 hours
Series 15: Foreign Currency Options Qualification6 hours
Series 22: Direct Participation Programs Representative20 hours
Series 23: General Securities Sales Supervision16 hours
Series 24: General Securities Principal20 hours
Series 26: Investment Company Products/Variable Contracts Principal16 hours
Series 27: Financial and Operations Principal20 hours
Series 28: Introducing Broker/Dealer Financial Operations Principal20 hours

*This course does not address the financial planning topics in Appendix A, therefore CE credit cannot be given.

Series 30: Branch Manager - Futures	10 hours
Series 31: Futures Managed Funds	5 hours
Series 32: Limited Futures Regulation	5 hours
Series 33: Financial Instruments Examination	8 hours
Series 39: Direct Participation Programs Principal	16 hours
Series 51: Municipal Fund Securities Limited Principal	6 hours
Series 52: Municipal Securities Representative	6 hours
Series 53: Municipal Securities Principal	13 hours
Series 55: Limited Representative - Equity Trader	6 hours
Series 62: Corporate Securities Limited Representative	20 hours
Series 63: Uniform Securities Agent State Law	4 hours
Series 65: Investment Advisors Law	10 hours
Series 66: Uniform Combined State Law	12 hours