SMU Certificate Program in Financial Planning

APPLICATION & INSTRUCTIONS FOR COURSE TRANSFER and PROFESSIONAL CREDENTIAL EXEMPTION

TO APPLY FOR A COURSE TRANSFER FROM ANOTHER CFP BOARD-REGISTERED PROGRAM

1. Complete the Application for Course Transfer & Professional Credential Exemption found on the following page. List the courses you are applying to transfer 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.

2. Attach a detailed course description from the program or the course syllabus if the description does not clearly identify course content.

3. Attach your transcript with an equivalent grade of “B”, 80%, 3.0, or better to the application form (photocopies are acceptable). If the course only provides Pass or Fail, it must be noted on the transcript. ***PLEASE NOTE both the transcript and course description or syllabus must accompany the application or the application will be deemed incomplete and will not be reviewed.***

4. Mail the signed application and completed checklist, transcript and other supporting documentation:
   SMU School of Education and Human Development
   ATTN: CPFP Course Transfer Request
   P.O. Box 750275
   Dallas, TX 75275-0275

   You may also fax your request to:
   (214) 768-1071
   ATTN: CPFP Course Transfer Request

TO APPLY FOR A COURSE EXEMPTION BY PROFESSIONAL CREDENTIALS

1. Complete the Application for Course Transfer & Professional Credential Exemption found on the following page.
2. List the following credentials for which you are applying for exemption on the first page of the form.
   FP102 – Insurance and Risk Management - CLU or ChFC AND CPCU
   FP103 – Investments - CFA®
   FP104 – Retirement Planning and Employee Benefits - CEBS
   FP105 – Tax Planning - CPA
   FP106 – Estate Planning - JD (Specializing in Estate Planning)
3. Attach proof of the Professional Credential from the credentialing agency (photocopies are acceptable).
4. Mail the signed application and supporting documentation
   SMU School of Education and Human Development
   ATTN: CPFP Professional Exemption Request
   P.O. Box 750275
   Dallas, TX 75275-0275

   You may also fax your request to:
   (214) 768-1071
   ATTN: CPFP Professional Exemption Request
5. Upon adequate certification of your professional credential(s), schedule the course exemption exam. You must receive a passing grade (70%) to obtain credit for the exemption.

SMU Certificate Program in Financial Planning
Application for Course Transfer & Professional Credential Exemption

SECTION I: Personal Information

Name: ______________________________

Company: ______________________________

Address: ______________________________

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Phone: ______________________________

Fax: ______________________________

Email: ______________________________

SECTION II: Course Transfer from a CFP Board-Registered Program

CFP Board-Registered Program	Date Completed	Course Title	Course Number

If you are not applying for a course transfer, please skip Section II and move directly to Section III.

SECTION III: Professional Credential Exemption

Credential (CLU or ChFC & CPCU, CPA, CEBS, CFA®, JD)	Date Completed	Current Profession (e.g. Insurance Agent, Stock Broker, Accountant)	How Long?

If you are not applying for Professional Credential Exemption, please complete Section II and skip Section III.

I certify that the above information is correct and accurate and that the accompanying documents are authentic.

Signature ______________________________ Date ___________

Transcript Transfer Request

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 #
GENERAL PRINCIPLES OF FINANCIAL PLANNING	
1 Financial Planning Process	
2 CFP Board's *Code of Ethics, Professional Responsibility, Disciplinary Rules & Procedures*	
3 CFP Board's *Financial Planning Practice Standards*	
4 Financial statements	
5 Cash flow management (was Budgeting)	
6 Financing strategies	
7 Function, purpose, and regulation of financial institutions	
8 Education planning	
9 Financial planning for special circumstances	
10 Economic concepts	
11 Time value of money concepts and calculations	
12 Financial services regulations and requirements	
13 Business law	
14 Consumer protection laws	
INSURANCE PLANNING AND RISK MANAGEMENT	
15 Principles of risk and insurance	
16 Analysis and evaluation of risk exposures	
17 Property, casualty and liability insurance	
18 Health insurance and health care cost management (individual)	
19 Disability income insurance (individual)	
20 Long-term care insurance (individual)	
21 Life insurance (individual)	
22 Income taxation of life insurance	
23 Business uses of insurance	
24 Insurance needs analysis	
25 Insurance policy and company selection	
26 Annuities	
EMPLOYEE BENEFITS PLANNING	
27 Group life insurance	
28 Group disability insurance	
29 Group medical insurance	
30 Other employee benefits	
31 Employee stock options	
32 Stock plans	
33 Non-qualified deferred compensation	
INVESTMENT PLANNING	
34 Characteristics, uses and taxation of investment vehicles	
35 Types of investment risk	
36 Quantitative investment concepts (replaces 42)	
37 Measures of investment returns	
38 Bond and stock valuation concepts	
39 Investment theory	
40 Portfolio development and analysis	
41 Investment strategies	
42 Asset allocation and portfolio diversification	
43 Asset pricing models	

Topic	Course #
INCOME TAX PLANNING	
44 Income tax law fundamentals	
45 Tax compliance	
46 Income tax fundamentals and calculations	
47 Tax accounting	
48 Characteristics and income taxation of business entities	
49 Income taxation of trusts and estates	
50 Basis	
51 Depreciation/cost-recovery concepts	
52 Tax consequences of like-kind exchanges	
53 Tax consequences of the disposition of property	
54 Alternative minimum tax (AMT)	
55 Tax reduction/management techniques	
56 Passive activity and at-risk rules	
57 Tax implications of special circumstances	
58 Charitable contributions and deductions	
RETIREMENT PLANNING	
59 Retirement needs analysis	
60 Social Security (Old Age, Survivor, and Disability Insurance, (OASDI)	
61 Types of retirement plans	
62 Qualified plans rules and options	
63 Other tax-advantaged requirement plans	
64 Regulatory considerations	
65 Key factors affecting plan selection for businesses	
66 Investment considerations for retirement plans	
67 Distributions rules, alternatives, and taxation	
ESTATE PLANNING	
68 Characteristics and consequences of property titling	
69 Methods of property transfer at death	
70 Estate planning documents	
71 Gifting strategies	
72 Gift tax compliance and tax calculation	
73 Incapacity planning	
74 Estate tax compliance and tax calculation	
75 Sources for estate liquidity	
76 Powers of appointment	
77 Types, features, and taxation of trusts	
78 Qualified interest trusts	
79 Charitable transfers	
80 Use of life insurance in estate planning	
81 Valuation issues	
82 Marital deduction	
83 Deferral and minimization of estate taxes	
84 Intra-family and other business transfer techniques	
85 Generation-skipping transfer fax (GSTT)	
86 Fiduciaries	
87 Income in respect of a decedent (IRD)	
88 Postmortem estate planning techniques	
89 Estate planning for non-traditional relationships	