



Initial Application for Continuing Education (CE) Sponsor Status

Each 2-year renewal period, CIMA®, CPWA®, and RMA® designees are required to complete and report 40 continuing education (CE), which includes 2 hours of ethics and 1 hour of taxes and regulations credit hours, as proof of their continued competence in the profession. A Continuing Education Sponsor (CE Sponsor) is an organization that has formally registered with the Investments & Wealth Institute (Institute), agreed to abide by specific requirements to be recognized as a CE Sponsor, and, subsequently, whose educational offerings may be accepted by the Institute for CE credit towards CIMA®, CPWA®, RMA®, and CIMC® certifications.

By submitting this application, a CE Sponsor commits to requirements as follows:

1. Provide education that meets the content, format, and record-keeping criteria defined by the Institute's Certification Commission in the CE Credit Qualification Criteria set forth below.
2. Maintain the necessary program attendance records to support Institute certificants' completion of coursework for CE credit.
3. Pay an annual fee and complete a renewal application annually to maintain the CE Sponsor status.

Before submitting this application, please read the CE Credit Qualification Criteria and Accepted Continuing Education Topics set forth below to ensure that programs submitted will align with the Institute's standards.

Section 1: Organization Information	
Organization Name:	
Organization Mailing Address:	
City, State, ZIP:	
Organization name & website listed publicly on the Institute's website?	Yes No
Organization Website:	
Organization Contact Name:	
Contact Telephone:	
Contact Email:	

Section 2: CE Sponsor Status Fee							
CE Sponsor status is renewed on a calendar-year schedule with renewal invoices first distributed in October. The CE Sponsor fee is <u>\$250</u> and is valid through December 31st.	Total Amount Due: US\$ _____						
Please select payment method							
<input type="checkbox"/> Check (make check payable in USD to Investments & Wealth Institute) Amount Enclosed: _____ Check Number: _____ Make checks payable and mail to: Investments & Wealth Institute Attn: CE Provider Specialist 5619 DTC Parkway, Suite 500 Greenwood Village, CO 80111	<input type="checkbox"/> Credit Card (check only one) <table border="0" style="width: 100%;"> <tr> <td><input type="checkbox"/> VISA</td> <td><input type="checkbox"/> Diners Club</td> </tr> <tr> <td><input type="checkbox"/> MasterCard</td> <td><input type="checkbox"/> Discover</td> </tr> <tr> <td><input type="checkbox"/> AmericanExpress</td> <td></td> </tr> </table> Credit Card Number: _____ Exp(mm/yy): _____ *Name on Card: _____	<input type="checkbox"/> VISA	<input type="checkbox"/> Diners Club	<input type="checkbox"/> MasterCard	<input type="checkbox"/> Discover	<input type="checkbox"/> AmericanExpress	
<input type="checkbox"/> VISA	<input type="checkbox"/> Diners Club						
<input type="checkbox"/> MasterCard	<input type="checkbox"/> Discover						
<input type="checkbox"/> AmericanExpress							
*By submitting this form you are authorizing your credit card to be charged the join fee. Fees are subject to change without notice and are non-refundable.							

Section 3: Terms and Conditions

The CE Sponsor agrees to submit education programs for CE credit acceptance that comply with all the Institute continuing education criteria as set forth below. The acceptance of such documentation by the Institute does not constitute endorsement of education program(s) or any certificate or designation that is conferred as a result thereof.

Investments & Wealth Institute reserves the right to conduct a program audit of the CE Sponsor at any time. CE Sponsor status or acceptance of specific education programs for CE credit can be revoked as determined by the Institute based on the audit.

Investments & Wealth Institute Trademark Rights – the Institute is the owner of rights in the Institute trademark and the CIMA®, CPWA®, and RMA® designations (collectively “Marks”) in certain jurisdictions. CE Sponsor shall use the Marks only in connection with educational programs accepted by the Institute for CE credit and only in the form and manner directed by the Institute.

Name (please print): _____ Date: _____

Next Steps:

1. Institute staff will email confirmation that your application has been received within two business days.
2. Staff will process the application and email confirmation of acceptance as a CE Sponsor within 3 business days of receipt. At that time, a unique CE Sponsor ID number will be assigned and sent, along with instructions to submit education programs for CE credit acceptance that meet the criteria set forth below.

SUBMIT

CE Credit Qualification Criteria

Education programs must meet the below criteria for CE credit qualification:

1. Program Development/Content

- a. Programs are developed and facilitated by persons qualified in the subject matter.
- b. Content is current, correct and related to CIMA®/CPWA®/RMA®/ CIMC® certifications. A list of accepted topics is on pg. 5.
- c. Unacceptable content includes, but is not limited to: prep classes specific to a license or certification, such as FINRA or NASAA licensing exams; proprietary information; product presentations; normal business procedures (including due diligence meetings); client/public presentations or seminars.

2. Program Format

- a. Real-Time Delivery
 - i. May include, but is not limited to, live classroom environment, in-person seminars, teleconference calls, or live webinar formats.
- b. Online Self-Study Programs or Publications
 - i. May include, but is not limited to, online self-paced modules, recorded webinars, or publications.

3. Program Criteria

- a. Real-time delivery and self-study programs must feature 50 minutes of educational programming for CE credit qualification (Time for questions/answers or exam time is not included in the 50-minute minimum).
- b. 50 minutes of education constitutes 1 credit hour; after the first credit hour, CE credit can be calculated in half-hour increments, rounded down to the nearest half hour.
 - i. If providing evidence of session time is not possible (i.e. in some online self-study programs or in publications), a scored quiz can be used as proof of completion.
 - ii. The quiz must consist of a minimum of 10 questions per hour of education and must be scored by the education provider. Evidence of satisfactory completion (70% or higher) is required for acceptance.

4. Program Records

- a. CE Providers must maintain record of the educational program and attendees for 4 years following the date of delivery.
- b. Records must include the following:
 - i. Date, location, and format of the program delivery
 - ii. Name(s) of presenter(s) or discussion leader(s)
 - iii. Outline of the program presentation(s) and/or materials
 - iv. List of Institute certificants in attendance
 - v. Proof of successful completion of examination (if applicable)-e.g. reports

Continuing Education Topics

CIMA®, CPWA®, RMA®, CIMC® Certificants

Continuing education is a form of recertification and should be related directly to the knowledge, skills and abilities that are covered in the education and examination process. A summary of accepted CE topics for CIMA, CPWA, and RMA® certifications are listed below. Note this is not an exhaustive list. For more details, see the certification topics in the Candidate Handbooks for CIMA Certification, CPWA Certification and RMA Core Topics at www.investmentsandwealth.org.

Accepted Education Topics

(please note this is not an exhaustive list)

TECHNICAL INVESTMENT MANAGEMENT

- Global Capital Market History and Valuation
- Applied Finance and Economics
- Applied Statistics and Data Interpretation
- Traditional and Alternative Investments
- Portfolio Performance and Risk Measurements
- Portfolio Theory
- Individual and Institutional Investment Policies
- Manager Selection
- Investment Analysis and Recommendations
- Investment Consulting Process (including client discovery, monitoring and portfolio review)

WEALTH MANAGEMENT

- Applied Behavioral Finance
- Family Dynamics
- Tax Strategies and Planning
- Portfolio Management
- Risk Management and Asset Protection
- Business Entities and Closely Held Business
- Executive Compensation Plans
- Retirement Planning
- Charitable Giving
- Estate Planning and Wealth Transfer

GOVERNANCE AND REGULATIONS

- Investments & Wealth Institute *Code of Professional Responsibility*
- Ethics
- Applicable Regulations; Compliance and Legal Implications

SUPPLEMENTAL

- Building Your Business (if related to investment or wealth management)
- Leadership Programs (if related to investment or wealth management)

Topics and Submissions **Not** Accepted

(please note this is not an exhaustive list)

- Marketing skills and techniques
- Motivation programs
- Team building
- All FINRA, NASAA, insurance or other regulatory and licensing exams
- Proprietary information, products or services
- Normal business procedures
- Due diligence presentations/sessions
- Online courses without exams and passing grade
- Webcasts without proof of attendance/exams
- Client/public presentations or seminars
- Programs/sessions less than 50 minutes
- Tapes/CDs/DVDs
- Prep classes for licenses/certifications
- Self-published books
- Authorship of newspaper articles
- Non-peer reviewed journals
- Grading exams for other designations/certifications