



## Program Review Application for CE Credit

Each 2-year renewal period, CIMA®, CPWA®, and RMA® designees are required to complete and report 40 continuing education (CE) hours, which includes 2 hours of ethics and 1 hour of taxes and regulations credit, as proof of their continued competence in the profession. To incentivize participation, you may advertise your program, in the form and manner directed by the Investments & Wealth Institute (Institute), as accepted for CE credit for CIMA®, CPWA®, RMA® and CIMC certifications.

### Process

1. Before submitting a program, please read the CE Credit Qualification Criteria and Accepted Continuing Education Topics set forth below to ensure that the program submitted will align with the Institute's standards.
2. Submit this application with the review fee. Fees are subject to change without notice and are non-refundable.
3. A separate application is required for each education program submitted for CE credit acceptance. Applications should be emailed to CEProviders@i-w.org.

Section 1: Organization Information	
Institute CE Sponsor ID#	
Organization Name:	
Organization Mailing Address:	
Organization City, State, Zip Code:	
Contact Name:	
Contact Telephone:	
Contact Email:	

Section 2: Program Information and Documentation			
Submission Specifications:			
<ul style="list-style-type: none"> <li>• Educational content meet the Institute's CE Credit Qualification Criteria and cover one of the Accepted Continuing Education Topics set forth below</li> <li>• Educational content of a program must be a minimum of 50 minutes</li> <li>• 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</li> </ul>			
Program Title:			
Program Start Date (mm/dd/yy):		Program End Date (mm/dd/yy):	
Number of CE Hours Requested:			
Total number of CE Hours Requested (select one):	<input type="checkbox"/> CE Quiz	<input type="checkbox"/> Course- in person	<input type="checkbox"/> Online education
	<input type="checkbox"/> Conference	<input type="checkbox"/> Course-online	<input type="checkbox"/> Webinar
	<input type="checkbox"/> Ethics	<input type="checkbox"/> Tax Regulation	
Frequency:	<input type="checkbox"/> One time only <input type="checkbox"/> More than once		
Program Presenter(s):			
Program Length:			
*Program Description: (attach a Word file, if additional space is needed)			
Learning Objectives: (attach a Word file, if additional space is needed)			
Detailed Content Outline: (attach a Word file, if additional space is needed)			
*Conferences or multi-day programs must attach an agenda with time blocks and session descriptions clearly stated.			

**Section 3: Fee Calculation**

Total number of CE hours requested:

US\$20 × \_\_\_\_\_ (# of CE hours requested) = total amount to be remitted

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

Total amount remitted: US\$ \_\_\_\_\_

**Section 4: Submit Payment**

Please select payment method:

 Check (make check payable in USD)

Amount Enclosed: \_\_\_\_\_ Check Number: \_\_\_\_\_

Make checks payable and mail to:

Investments &amp; Wealth Institute

Attn: CE Provider Specialist

5619 DTC Parkway, Suite 500

Greenwood Village, CO 80111

 Credit Card (check only one) VISA MasterCard AmericanExpress Discover

Credit Card Number: \_\_\_\_\_

Exp(mm/yy): \_\_\_\_\_

\*Name on Card: \_\_\_\_\_

\*By submitting this form your credit card will be charged the annual fee. Fees are subject to change without notice and are non-refundable.

**Section 5: Terms and Conditions**

The education provider agrees to submit education programs for CE credit acceptance that comply with all the Institute's 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.

The Institute reserves the right to conduct a program audit of the education provider at any time. Acceptance of specific education programs for CE credit can be revoked as determined by the Institute based on the audit.

Institute Trademark Rights – the Institute is the owner of rights in the Investments & Wealth Institute trademark and the CIMA®/CPWA®/RMA®/CIMC® designations (collectively "Marks") in certain jurisdictions. The education provider 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: \_\_\_\_\_

\*By submitting this form you agree to the terms and conditions of the Institute .

**Next Steps:**

1. Applicants will receive an emailed confirmation of receipt within 2 business days.
2. Institute staff will review and accept/deny CE credit requests within 10 business days of receipt.

# 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](http://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