



A Broadridge® Company

3 Penn Center West Suite 400
Pittsburgh, PA 15276

Phone: 866.394.9960
Fax: 412.774.2009

www.fi360.com

For internal use only:

Date application submitted: _____

Date application approved: _____

Approved Provider number: _____

Continuing Education Provider Application

Section I: Organization Information

Organization Name: _____

Mailing Address: _____

Website: _____

Primary Contact Name: _____

Primary Contact Phone Number: _____

Primary Contact Email Address: _____

*All future communication with the CE Provider will be done through the primary contact.

Section II: Terms and Conditions

Continuing Education (CE) Providers agree to adhere to all criteria, policies and procedures required by Fi360's CE standards. The Provider agrees that all CE programs submitted for acceptance by Fi360 ("programs") are and will remain correct and current in content and format, and contribute to increasing the professional competency of Fi360 designees. Any change in content and/or format of a program will be reported to Fi360. Acceptance of Provider or programs does not constitute endorsement of programs, certificates or designations conferred as a result thereof.

Fi360 reserves the right to conduct program audits of CE Provider programs at any time. CE Provider status or acceptance of specific programs can be revoked as determined by Fi360 based on results of an audit.

1. **No Endorsement or Sponsorship.** CE Provider acknowledges that Fi360 and its affiliates are not making any endorsement or sponsorship of the CE Provider or its CE Programs or any speaker or content associated with those Programs, whether approved for Fi360's designations' CE credits, or not, and CE Provider and its employees, affiliates, agents and representatives shall not infer, imply or state, in any method of transmission, that Fi360 has or will endorse or sponsor CE Provider, CE Provider's Programs, related materials or instructors.



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2. **Intellectual Property.** Neither CE Provider nor its employees, agents, representatives or affiliates may use the logos, trademarks, service marks, certification marks, materials, or other intellectual property or proprietary materials of Fi360 or its affiliates, whether registered or copyrighted or not, in the CE Provider's Programs, marketing, business or any other use. Further, CE Provider will indemnify and defend Fi360 from any cause of action that may arise as a result of CE Provider or its employees, agents, affiliates or representatives' unauthorized use of any third-party intellectual property, stemming from or in connection with CE Provider's Provider Application or Program Application, or any Program that occurs or content that is delivered hereunder.

3. **Student/Attendee List.** Consistent with Provider's requirement to send Fi360 a list of Students/Attendees who attend Provider's Programs, Provider agrees to notify the Students/Attendees that their names, company names, and e-mail addresses, and other pertinent information will be provided to Fi360 as part of the CE credit approval process, and Provider will indemnify and defend Fi360 from causes of action that may arise as a result of Fi360's authorized contact with Students/Attendees related to the Programs.

4. **Payment Policies.** No refunds will be provided to Provider for the Provider Application and Program Application fees irrespective of whether i) Provider's application is approved or denied, ii) Programs are not authorized by Fi360, or iii) approved Programs are subsequently cancelled by Provider.

5. **Disputes.** The parties agree to work together in good faith to resolve any disputes that may arise under the Provider Application, Program Application, and related matters. Unsettled disputes will be governed by the laws of the Commonwealth of Pennsylvania without reference to its conflict of laws principles.

6. **Marketing.** Provider acknowledges that Fi360 is not responsible for the promotion or marketing of Provider's status as an approved Provider, and not responsible for the promotion or marketing of Provider's approved Programs. Notwithstanding the foregoing, Fi360 may elect to list Provider's name and a link to Provider's website on Fi360's public website where prospective Students/Attendees may obtain information about Provider and/or its approved Programs.



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Section III: Registration Fee

The \$250 annual fee must be paid at the time the application is submitted. Registration for CE Providers is annual and begins on the day the Fi360 Team approves the application. The CE Provider status will expire the end of the anniversary month. The Primary Contact for the CE Provider will be notified via email prior to the expiration date.

Select payment method:

Check

* payable to: Fi360, Inc.

Mail check to:

Fi360, Inc.
Attn: Professional Development Team
3 Penn Center West
Suite 400
Pittsburgh, PA 15276

Credit Card:

- VISA
- Discover
- MasterCard
- American Express

Credit Card Number: _____

Exp(mm/yy): _____

Name on Card: _____

Signature: _____

**Fees are subject to change and are non-refundable.*

The registration fee does not include individual program fees.

Send application via mail or fax at (412) 774.2009. You may email your application provided no credit card information is included to ceproviders@fi360.com. If you email your application with no credit card information, please specify a person for the Fi360 Professional Development Team to contact for payment.

Next Steps:

The Fi360 Professional Development Team will review your application and send email confirmation once received and processed. Processing typically takes 30 calendar days.

Upon acceptance, new CE Providers will be given a Provider ID # with instructions for submitting programs for CE eligibility review subject to meeting Fi360's criteria.



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Continuing Education (CE) Credit Criteria:

CE Credit Calculation:

CE Providers are responsible for assigning CE hours to programs submitted. Live programs are eligible for one CE credit hour for each 50 minutes of instruction. Classes must meet a minimum requirement of 50 minutes (excluding quiz/exam time) of instruction time to be credited (no less than one hour of CE credit may be awarded for a given program). After one hour of CE credit is achieved, CE credit hours are rounded down to the nearest half credit hour (ex: 75 minutes = 1.5 CE credit hours).

The amount of CE credit for self-study activities is determined by the activity provider. The following methods are acceptable for sponsor use in determining self-study credit: average completion time, pilot study, and number of assessment questions (e.g., 10 questions = 1 CE hour). Time spent taking an assessment, such as an exam, may not be included when calculating program CE credit hours.

Activity Requirements

It is the responsibility of the CE Provider to offer CE programs that:

- address one or more acceptable topics;
- contribute to increasing the professional competency of participants;
- are developed and conducted by persons qualified in the subject matter and in instructional design;
- are current and correct in content;
- provide documentation to the attendee/participant by the activity provider;
- are at least 50 minutes in length (50 minutes of content = 1.0 CE hour); and
- meet one of the acceptable format types (see below).

Format Types

Live Activity

Live activities are those in which the instructor or presenter is engaged in conducting the activity in the presence – physical or virtual – of the learners. Examples include courses, workshops, seminars, live webinars or teleconferences, and conferences. For activities with multiple “break-out” sessions, each individual session, rather than the activity as a whole, should be reported. Time spent taking an assessment, such as an examination, may not be included when reporting credit.



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Self-Study Activity

Self-study activities are those in which the learner is consuming content that was previously presented, recorded, or otherwise delivered, or those for which the learner is engaged without the aid of an instructor. Examples include pre-recorded audio and/or video and self-paced online courses.

Recordkeeping and Audit

Documentation of programs must be maintained for a minimum of one year following the reporting of the program attendance by the Provider. Fi360 reserves the right to audit CE reported for accepted programs. In such cases, Providers will have thirty (30) calendar days to respond with the requested documentation. Documentation may include a grade report, transcript, or certificate of attendance or completion from the Provider, and at a minimum, should include: the participant's name, activity name, activity provider, date of attendance or completion, number of CE credits, and a signature from a representative of the Provider.

Unsupported or fraudulent reporting of program attendance may result in revocation or suspension of Provider status, or other sanctions.

Activity Topics:

CE activities should fall under one or more topics related to the Training curriculum. For activities with multiple topics, the portion pertaining to an acceptable topic(s) may be reported (e.g., three hours of CE may be derived from a six-hour, multitopic activity).

The following activities are generally not accepted: self-published works, team building, motivational, activities without proof of attendance/completion, self-study programs without a successful exam/quiz score, day-to-day business activities, sales or specific company or product presentations and reading a book or article.

Acceptable topics

1. Organizing the client portfolio

- 1.1 Understanding fiduciary duties and responsibilities
- 1.2 Governing documents
- 1.3 Defining and documenting fiduciary and non-fiduciary roles
- 1.4 Identifying and addressing conflicts of interest
- 1.5 Disclosures and service agreements
- 1.6 Protecting client assets from theft and embezzlement



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2. Formalizing the investment strategy

- 2.1 Investment time horizon
- 2.2 Necessary risk
- 2.3 Expected return
- 2.4 Asset allocation
- 2.5 Implementation and monitoring constraints
- 2.6 The investment policy statement
- 2.7 Socially responsible investment strategies

3. Implementing the investment strategy

- 3.1 Service provider due diligence
- 3.2 Safe harbors
- 3.3 Investment product due diligence

4. Monitoring the client portfolio

- 4.1 Performance monitoring and reporting
- 4.2 Qualitative monitoring and reporting
- 4.3 Trading practices and proxy voting
- 4.4 Fee and expense monitoring
- 4.5 Fiduciary monitoring

5. Practice Management for fiduciary assets (i.e.-- Defined Contribution, Defined Benefit, Non-Qualified, IRA, Foundation/Endowment, Public Funds, HSA, etc.) *

- 5.1 Sales and marketing
- 5.2 Client relationship management
- 5.3 Practice operations/financial management

*Only 2 Practice Management hours may be reported per reporting cycle.