

# FINANCIAL PLANNING

PROGRAM AND COURSE GUIDE



A man and a woman in business attire are looking at a document together. The man is on the left, wearing a dark suit jacket and a light blue shirt. The woman is on the right, wearing a blue suit jacket and a white shirt. They are both looking down at a document on a table. The document has some text and a yellow arrow pointing down. The background is blurred, showing a white wall and a desk.

## FINANCIAL PLANNING EDUCATION CENTER

DePaul University's Financial Planning Education Center is a leader in continuing education and training for financial service professionals. One of the longest-running classroom providers of financial planning education in the Midwest, the Financial Planning Education Center offers programs for both experienced professionals and career changers. The Financial Planning Education Center has helped more than 3,000 professionals further their financial education and has provided several corporations with customized, on-site training for their staff.

***Educating Chicagoland financial planners since 1999.***

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# FINANCIAL PLANNING CERTIFICATE PROGRAM

At DePaul, you'll gain the knowledge you need—as well as the certification that's respected in the marketplace—to succeed in the growing field of financial planning. Certification gives you the credentials you need, whether you want to break into the profession or advance in your current career. DePaul's Financial Planning Certificate program is the longest-running, board-certified financial planning program in the Chicago area. Since 1999, DePaul's program has been widely recognized as an assurance of skills in financial planning—skills that clients and companies seek. A rigorous curriculum—taught by expert practitioners and instructors—covers the many different facets of financial planning, including insurance, investments, income tax, retirement and employee benefits, and estate planning.

## WHO SHOULD ATTEND

This program is right for anyone pursuing the CERTIFIED FINANCIAL PLANNER™ certification, including professionals who are in the fields of investment brokerage, insurance, banking, accounting and law. Through a rigorous course of study, you'll be prepared to take the CFP® Certification Examination. The Certified Financial Planner Board of Standards, Inc. (CFP Board) requires individuals to have an undergraduate degree before claiming CFP® certification. Therefore, we strongly recommend that students have a four-year degree before enrolling in the program.

## HOW YOU WILL BENEFIT

**Exceptional instructors.** Our faculty members have extensive professional experience; each instructor has either CFP® certification or another appropriate professional designation. The program follows the topics recommended by CFP Board as a framework for all courses, with instructors providing additional exercises, case studies and handouts. The result is a series of courses combining sound financial planning theory and practical skill development.

**Convenient Loop campus location and scheduling.** The six required modules are offered on weeknights at DePaul's Loop campus as well as in an online format on a quarterly schedule. Each module runs 11 weeks. Average completion time for the program is 18 months.

**Flexible payment options.** Pay as you go. You are not required to financially commit to the entire program. Also, a company deferral payment option is available to those participants with a tuition reimbursement plan through their employers.

**Proven success.** Graduates of this program consistently outperform the national average for first-time test takers of the CFP® Certification Examination. The real-world experience of our faculty ensures that participants are not only ready for the exam, but also are prepared to succeed in today's competitive, growing profession of financial planning.

*Certified Financial Planner Board of Standards Inc. owns the marks CFP®, CERTIFIED FINANCIAL PLANNER™, and CFP (with flame logo)® in the U.S., which it awards to individuals who successfully complete initial and ongoing certification requirements.*

*DePaul University does not certify individuals to use the CFP®, CERTIFIED FINANCIAL PLANNER™ and CFP (with flame logo)® certification marks. CFP® certification is granted only by Certified Financial Planner Board of Standards Inc., to those persons who, in addition to completing an educational requirement such as this CFP Board-Registered Program, have met its ethics, experience and examination requirements.*



## PROGRAM LOGISTICS

**Transfer Policy.** Course work from another CFP Board-registered program may be eligible for transfer. Requests (including the course description from the other school's catalog and an official transcript) must be made in writing. To earn certification from DePaul, students must complete more than 50 percent of their course work in DePaul's program.

**Textbooks.** Textbooks are required for each course and are available for purchase at the Loop Campus bookstore. Textbook fees and the CFP® Certification Examination fee are not included in the tuition.

**Requirements for Certification.** The DePaul program provides only the educational component for CFP® Certification. Visit CFP Board's website at [cfp.net](http://cfp.net) for a complete listing of requirements.

**Information Sessions.** DePaul offers free information sessions about the Financial Planning Certificate Program prior to the start of each new term. Meet with a financial planning instructor who will provide an overview of the program and the Certified Financial Planner™ designation. Visit [cpe.depaul.edu/cfpinfo](http://cpe.depaul.edu/cfpinfo) for the dates and times of upcoming information sessions.

**Online Program Option.** DePaul also offers the Financial Planning Certificate Program in an instructor-led, Internet-delivered version. Enjoy the convenience and flexibility of online courses while learning from exceptional instructors who are only an email or phone call away. All lectures are available "on demand" 24/7 from anywhere in the country. The e-Financial Planning Certificate Program offers you the same rigorous curriculum as our in-class option to prepare you for CFP® certification.



## REQUIRED COURSES

Students receive more than 30 hours of in-depth instruction on each of the six core subjects. For a more detailed description of each, visit [cpe.depaul.edu/fpec](http://cpe.depaul.edu/fpec).

### **Fundamentals of Financial Planning and Insurance Planning**

In this introduction to the basics of the financial planning profession, you'll learn how to evaluate client data, needs and goals, and the concept of the time value of money. Topics covered include the financial planning process, CFP Board's code of ethics and professional responsibility, budgeting, financial institutions, client behavior and financial planning for special circumstances. In addition, you'll gain a thorough understanding of insurance basics, a broad range of insurance types and risk management strategies.

### **Investment Planning**

This course introduces you to basic investment concepts and focuses on client needs and assessments, particularly as they relate to risk tolerance and exposure. Topics include investment vehicles and strategies, measures of investment risks and returns, valuation concepts and methods, portfolio management and diversification, asset allocation, pricing models, hedging and option strategies, tax-efficient investing and others.

### **Income Tax Planning**

Taxes play a big role in financial planning, and in this course you'll gain an overview of the federal tax system, including concepts of personal and business taxation. Topics include tax compliance, income tax fundamentals and calculations, tax accounting methods, charitable contributions and deductions.

### **Retirement Planning and Employee Benefits**

Many clients seek the help of financial planners in preparing for retirement, whether for themselves or their employees. You'll learn about planning alternatives, including qualified and non-qualified retirement plans and social security. Some of the topics covered are retirement needs analysis, Social Security and Medicare, types of retirement plans for individuals and businesses, and distribution rules. The course also addresses non-pension employee benefits.

### **Estate Planning**

The fifth required course is an introduction to estate planning challenges, techniques and taxation. Topics include estate planning documents, gifting strategies and taxation, incapacity planning, estate tax calculation and compliance.

### **Financial Plan Development**

In this course, you'll learn how to integrate and apply your financial planning knowledge and communicate what you've learned in the form of both a written financial plan and an oral presentation.

*Check our website for current course dates.*



**“THE INSTRUCTOR GAVE MANY REAL-LIFE EXAMPLES, AND THIS WAS VERY HELPFUL IN APPLYING WHAT WAS LEARNED.”**

NICOLE H.

**“THANKS FOR THE SUPPORT THROUGHOUT THE DEPAUL PROGRAM. I FOUND THE EXAM TO BE REALLY CHALLENGING AND I DON’T THINK I COULD HAVE BEEN ANY MORE PREPARED THAN I WAS.”**

NANCY F.

**“I AM PLEASED TO REPORT THAT I COMPLETED AND PASSED THE CFP® EXAM. I COULD NOT HAVE DONE THAT WITHOUT ALL THAT I LEARNED AT DEPAUL. I APPRECIATE THE EFFORTS YOU PUT IN TO MAKE THE PROGRAM FIRST RATE.”**

SAMUEL A.

# CONTINUING AND PROFESSIONAL EDUCATION REGISTRATION FORM

DePaul University

## FINANCIAL PLANNING EDUCATION CENTER PROGRAM AND COURSES

Name		Date of Birth	
Home Address	City	State	Zip
Home Phone	Home Email		
Employer	Title		
Business Address	City	State	Zip
Business Phone	Business Email	Fax	
Preferred mailing address:	<input type="checkbox"/> Home	<input type="checkbox"/> Business	
Preferred email address:	<input type="checkbox"/> Home	<input type="checkbox"/> Business	
How did you hear about us:	<input type="checkbox"/> Email	<input type="checkbox"/> Print Ad	<input type="checkbox"/> Direct Mail
	<input type="checkbox"/> Internet Search	<input type="checkbox"/> Word of Mouth	<input type="checkbox"/> Employer
	<input type="checkbox"/> CPE Event	<input type="checkbox"/> Professional Organization/Association	
	<input type="checkbox"/> Other _____		
Highest level of education:	<input type="checkbox"/> High School/GED	<input type="checkbox"/> Bachelor's Degree	<input type="checkbox"/> Professional Degree
	<input type="checkbox"/> Associate Degree	<input type="checkbox"/> Master's Degree	<input type="checkbox"/> Doctoral Degree
	<input type="checkbox"/> Other _____		
School previously attended:	_____		
Continuing Education Credit:	<input type="checkbox"/> Insurance	<input type="checkbox"/> Accounting	

### WAYS TO REGISTER

**Online:**

cpe.depaul.edu/fpec

**Mail in:**

DePaul University, CPE  
1 East Jackson Boulevard  
Chicago, Illinois 60604-2201

**Walk in:**

14 East Jackson Blvd., Suite 1010

**Fax registration form to:**

(312) 362-8764

**Call:**

(312) 362-6300

Applicant — Detach here.

Program Title	Dates	Days	Campus	Cost
<b>TOTAL:</b>				

**PAYMENT OPTIONS** (Payment must be received at the time of registration.)

Check (payable to DePaul University CPE)       Visa       MasterCard       Discover       American Express

Account Number \_\_\_\_\_ Expiration Date \_\_\_\_\_

Name as it appears on the card \_\_\_\_\_

Signature \_\_\_\_\_

Payment may be made by check, VISA, Master Card, Discover, American Express or money order. Cash will not be accepted. Payment must be received at the time of registration. Checks should be made payable to DePaul University CPE and reference the student's name. University policy requires a \$25.00 Non-Sufficient Funds (NSF) fee to be charged for all returned checks.

All registrations are due seven calendar days before the course start date. Any registration submitted after that deadline will be charged a mandatory \$75.00 late registration fee. You will receive confirmation of your registration by email. If you need confirmation or a receipt mailed to you, contact our office at (312) 362-6300 or cperegistration@depaul.edu. Written notification of cancellation is required seven calendar days before the course start date to receive a full refund (minus a \$75.00 cancellation fee).

DePaul's complete registration and student policies can be found on our website at cpe.depaul.edu. We reserve the right to substitute instructors, change the day and location that programs meet, and cancel programs due to insufficient enrollment or unforeseen events.

**DePaul University Continuing and Professional Education (CPE)** is a leading provider of professional development and learning for working adults seeking to enhance their skills, advance in their careers and enrich their understanding of a rapidly changing world. CPE also offers education solutions customized to meet the needs of business, government and nonprofit organizations.

**Corporate Training**

For organizations wishing to increase the knowledge and skills of their employees, DePaul's Continuing and Professional Education offers customized learning solutions.

**Visit Our Website**

For online registration, course information and current dates, visit our website at [cpe.depaul.edu/fpec](http://cpe.depaul.edu/fpec).

**Program Contact**

CPE Registration  
(312) 362-6300  
[cperegistration@depaul.edu](mailto:cperegistration@depaul.edu)