



GREENE  
CONSULTING

ONLINE LEARNING CENTER

# COURSE CATALOG





Educating Financial Services Professionals



# Introduction

With over 20 years in eLearning, Greene Consulting has developed a comprehensive catalog of financial services courses and programs. Unique in the industry, our course catalog is structured around specific competencies financial professionals require to engage and deliver advice to specifically targeted client segments.

On the pages that follow, you will find information regarding:

-  **Core Programs** - Rather than building a library of course topics in a “one size fits all” manner, our Core Programs are built to address the specific financial services knowledge required to provide guidance to clients in the Commercial Client Experience segment, Retail/Consumer Banking segment, Mass Affluent segment, High Net Worth (HNW) segment, and the Ultra High Net Worth (Ultra HNW) segment. Each program consists of both Knowledge and Client Engagement Skills Courses (see below), specifically designed to address the needs of each market segment.
-  **Certificate & Specialized Programs** - These programs are designed for advisors who need to go beyond the Core Programs to become specialists or achieve industry certifications.
-  **Client Engagement Skills Courses** - These courses leverage over 30 years of sales and relationship management training to translate the technical knowledge found in our Knowledge Courses into specific direction on how to engage clients and prospects on critical wealth planning topics in each market segment.
-  **Knowledge Courses** - Our extensive catalog of technical Knowledge Courses are designed to to accomplish three goals: 1) to meet the Core needs of each market segment, with content that is written specifically for that segment; 2) to provide flexibility to organizations that wish to tailor Core Programs by adding additional subjects; and 3) to provide a rich library with a wide array of topics for organizations that wish to offer the library within their own organization.

The result is a comprehensive library of courses and programs, all of which can be used to build customized curriculums to meet your firm’s unique needs.

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# CORE PROGRAMS



## Core Programs – Introduction

Financial services professionals in today's competitive marketplace require a depth of knowledge to deliver actionable advice and guidance to clients. In equipping them with this knowledge, industry training has almost universally been built using a "one size fits all" focus on financial planning topics. The reality, however, is that planning is different based on the level of wealth or market segment that a professional is targeting. This is why Greene Consulting has taken a different approach.

Drawing upon over 35 years of experience in providing consulting and training services to the financial services industry, Greene Consulting has developed market-specific Core Programs that are tailored to the needs and solutions offered to clients in each of the following markets:

- Commercial Client Experience
- Retail/Consumer
- Mass Affluent
- High Net Worth (HNW)
- Ultra High Net Worth (Ultra HNW)

Each of these Core Programs addresses the full range of wealth disciplines at a level consistent with the needs of its market segment and consists of two types of coursework:



**Knowledge Courses** - Selected for each program with an understanding of the client needs specific to that market and taking into account the level of technical knowledge required for professionals to address the needs of that market, these courses equip professionals to be effective in their roles.



**Client Engagement Skills Courses** - These courses bridge the gap between "technical knowledge" and the ability to directly apply that knowledge with prospects and clients in conversations. These online modules are more than simply "training," as they provide instruction and resources that support professionals in developing skill and proficiency in applying their knowledge with clients and prospects. Through individual exercises and a series of specialized resources, these courses provide a platform for learners to develop and hone the key skills necessary to develop true engagement with clients and prospects on the most significant areas of financial planning.

These Core Programs, tailored to provide professionals with the technical knowledge and conversational competence specific to the markets they serve, are foundational for enhanced client relations and increased production.

The course content for each Core Program may be found on the following pages.

Core Programs

ADVISING THE

COMMERCIAL CLIENT EXPERIENCE PROGRAM

	WEALTH PLANNING KNOWLEDGE	CLIENT ENGAGEMENT SKILLS
BANKING	<ul style="list-style-type: none"><li></li></ul>	<ul style="list-style-type: none"><li>• The Client Promise</li><li>• The Treasury Conversation</li><li>• The Client Discovery Conversation</li><li>• The Role of the Commercial Banker Conversation</li><li>• The Commercial Employee Benefits Conversation</li><li>• The Lending Experience Conversation</li></ul>
PRACTICE MANAGEMENT		



## Core Programs

ADVISING THE

## RETAIL/CONSUMER CLIENT PROGRAM

	WEALTH PLANNING KNOWLEDGE	CLIENT ENGAGEMENT SKILLS
BANKING	<ul style="list-style-type: none"><li>• Advising the Affluent Client: Banking Strategies</li></ul>	<ul style="list-style-type: none"><li>• The Borrowing Conversation</li><li>• Foundational Banking/Deposits Conversation</li><li>• Small Business Banking Conversation</li></ul>
PRACTICE MANAGEMENT		<ul style="list-style-type: none"><li>• The Engagement Conversation</li></ul>

## Core Programs

ADVISING THE

## MASS AFFLUENT CLIENT PROGRAM

	WEALTH PLANNING KNOWLEDGE	CLIENT ENGAGEMENT SKILLS
BANKING	<ul style="list-style-type: none"> <li>• Advising the Affluent Client: Banking Strategies</li> </ul>	<ul style="list-style-type: none"> <li>• The Banking Conversation</li> </ul>
EDUCATION PLANNING	<ul style="list-style-type: none"> <li>• Advising the Affluent Client: Education Planning</li> </ul>	<ul style="list-style-type: none"> <li>• The Education Planning Conversation</li> </ul>
ESTATE PLANNING	<ul style="list-style-type: none"> <li>• Advising the Affluent Client: Estate Planning</li> </ul>	<ul style="list-style-type: none"> <li>• The Wealth Transfer Planning Conversation</li> </ul>
INSURANCE PLANNING	<ul style="list-style-type: none"> <li>• Advising the Affluent Client: Insurance Planning</li> </ul>	<ul style="list-style-type: none"> <li>• The Protection Planning Conversation</li> </ul>
INVESTMENT PLANNING	<ul style="list-style-type: none"> <li>• Advising the Affluent Client: Investment Planning</li> </ul>	<ul style="list-style-type: none"> <li>• The Investment Planning Conversation</li> </ul>
RETIREMENT PLANNING	<ul style="list-style-type: none"> <li>• Advising the Affluent Client: Retirement Accumulation Planning</li> <li>• Advising the Affluent Client: Retirement Distribution Planning</li> </ul>	<ul style="list-style-type: none"> <li>• The Retirement Planning Conversation</li> </ul>
PRACTICE MANAGEMENT		<ul style="list-style-type: none"> <li>• The Client Discovery Conversation</li> <li>• Leading Differentiated Relationship Reviews</li> </ul>



## Core Programs

ADVISING THE

## HIGH NET WORTH CLIENT PROGRAM

	WEALTH PLANNING KNOWLEDGE	CLIENT ENGAGEMENT SKILLS
BUSINESS OWNERS & CORPORATE EXECUTIVES	<ul style="list-style-type: none"> <li>Strategies for Executive Stock Options</li> </ul>	
EDUCATION PLANNING	<ul style="list-style-type: none"> <li>Principles of Financial Planning: Education Planning</li> </ul>	<ul style="list-style-type: none"> <li>The Education Planning Conversation</li> </ul>
ESTATE PLANNING	<ul style="list-style-type: none"> <li>Asset Protection Planning</li> <li>Charitable Gifting Techniques</li> <li>Irrevocable Life Insurance Trusts</li> <li>Principles of Financial Planning: Estate Planning</li> <li>Understanding Personal Financial Statements</li> </ul>	<ul style="list-style-type: none"> <li>The Wealth Transfer Planning Conversation</li> </ul>
INSURANCE PLANNING	<ul style="list-style-type: none"> <li>Fundamentals of Disability Income Insurance</li> <li>Long-Term Care Insurance</li> <li>Principles of Financial Planning: Insurance Planning</li> </ul>	<ul style="list-style-type: none"> <li>The Protection Planning Conversation</li> </ul>
INVESTMENT PLANNING	<ul style="list-style-type: none"> <li>Hedge Funds</li> <li>Manager Selection, Monitoring and Due Diligence</li> <li>Principles of Financial Planning: Asset Allocation</li> <li>Strategies for Managing Concentrated Wealth</li> </ul>	<ul style="list-style-type: none"> <li>The Investment Planning Conversation</li> </ul>
RETIREMENT PLANNING	<ul style="list-style-type: none"> <li>Planning for After-Death IRA Distributions</li> <li>Planning for IRA Required Minimum Distributions</li> <li>Principles of Financial Planning: Retirement Accumulation Planning</li> <li>Principles of Financial Planning: Retirement Distribution Planning</li> </ul>	<ul style="list-style-type: none"> <li>The Retirement Accumulation Planning Conversation</li> <li>The Retirement Distribution Planning Conversation</li> </ul>
TAX PLANNING	<ul style="list-style-type: none"> <li>Fundamentals of Federal Income Taxation</li> <li>Identifying Planning Opportunities in a Client's 1040</li> <li>Principles of Financial Planning: Transfer Taxation</li> </ul>	
PRACTICE MANAGEMENT		<ul style="list-style-type: none"> <li>The Client Discovery Conversation</li> <li>Leading Differentiated Relationship Reviews</li> </ul>

## Core Programs

ADVISING THE

## ULTRA HIGH NET WORTH CLIENT PROGRAM

	WEALTH PLANNING KNOWLEDGE	CLIENT ENGAGEMENT SKILLS
BUSINESS OWNERS & CORPORATE EXECUTIVES	<ul style="list-style-type: none"> <li>Strategies for Executive Stock Options</li> </ul>	
ESTATE PLANNING	<ul style="list-style-type: none"> <li>Asset Protection Planning</li> <li>Application of Estate Planning Concepts</li> <li>Charitable Gifting Techniques</li> <li>Dynasty Trusts</li> <li>Irrevocable Life Insurance Trusts</li> <li>Joint Property</li> <li>Private Foundations</li> <li>Understanding Trusts and Trust Documents</li> <li>Wills, Estates and the Probate Process</li> </ul>	<ul style="list-style-type: none"> <li>The Wealth Transfer Planning Conversation</li> </ul>
INSURANCE PLANNING		<ul style="list-style-type: none"> <li>The Protection Planning Conversation</li> </ul>
INVESTMENT PLANNING	<ul style="list-style-type: none"> <li>Demystifying Rule 144: The Sale of Restricted Securities and Control Stock</li> <li>Hedge Funds</li> <li>Investment Policy Statements</li> <li>Manager Selection, Monitoring and Due Diligence</li> <li>Rule 10b5-1 Plans and Insider Trading</li> <li>Strategies for Managing Concentrated Wealth</li> </ul>	<ul style="list-style-type: none"> <li>The Investment Planning Conversation</li> </ul>
RETIREMENT PLANNING	<ul style="list-style-type: none"> <li>Nonqualified Executive Retirement Benefits</li> </ul>	<ul style="list-style-type: none"> <li>The Retirement Accumulation Planning Conversation</li> <li>The Retirement Distribution Planning Conversation</li> </ul>
TAX PLANNING	<ul style="list-style-type: none"> <li>Fundamentals of Federal Income Taxation</li> <li>Transfer Taxation Part I: Common Elements of Estate &amp; Gift Taxation</li> <li>Transfer Taxation Part II: Unique Elements of Estate &amp; Gift Taxation</li> <li>Transfer Taxation Part III: GST and Income Taxes</li> </ul>	
PRACTICE MANAGEMENT		<ul style="list-style-type: none"> <li>The Client Discovery Conversation</li> <li>Leading Differentiated Relationship Reviews</li> </ul>

# **CERTIFICATE/SPECIALIZED PROGRAMS**

## Certificate & Specialized Programs – Introduction

Greene Consulting provides a number of Certificate and Specialized Programs for those financial professionals who need certification credentials or specialized expertise. The Certificate Programs are offered in partnership with major Universities, such as the University of Georgia, North Carolina State University, the University of Texas at San Antonio, and James Madison University. Specialized programs are offered through partnership with industry-leading experts.

The following grid lists these programs in alphabetical order, indicating the markets/roles for which they are appropriate and where continuing education (CE) credit is offered.

## Certificate/Specialized Programs

COURSE TITLE	MARKET / ROLE				CE
	RETAIL BANKERS	MASS AFFLUENT ADVISORS	HNW ADVISORS	UHNW ADVISORS	
ALTERNATIVE INVESTMENTS PROGRAM			◆	◆	◆
BUSINESS OWNER PROGRAM			◆	◆	◆
CFP® CERTIFICATION EDUCATION PROGRAM		◆	◆	◆	
CORPORATE EXECUTIVE PROGRAM		◆	◆	◆	◆
CPRS™ CERTIFICATION PROGRAM		◆	◆	◆	
THE CERTIFICATE IN APPLIED BEHAVIORAL FINANCE		◆	◆	◆	◆

## Certificate/Specialized Programs

### ALTERNATIVE INVESTMENTS PROGRAM

The program is focused on developing four specific proficiencies that are required for any investment professional to be effective in the distribution and use of alternative investments - specifically, hedge funds and their liquid '40 Act counterparts:

- Differentiating Between Strategies
- Explaining Risk Associated with the Various Strategies
- Setting Return Expectations under Different Market Environments
- Portfolio Construction & Impact of Adding Alternative Investments

ALTERNATIVE INVESTMENTS PROGRAM	WEALTH PLANNING KNOWLEDGE	CLIENT ENGAGEMENT SKILLS
	<ul style="list-style-type: none"><li>• Investing in Alternatives</li><li>• Portfolio Considerations and Manager Evaluation</li><li>• Hedge Fund Strategies</li><li>• Liquid Alternative Mutual Funds</li><li>• Applying Alternative Strategies in the Portfolio</li></ul>	

Continuing Education Credits  
CFP 5.5 hours

## Certificate/Specialized Programs

### BUSINESS OWNERS PROGRAM

The Business Owner Program is designed to provide advisors with the in-depth knowledge of the unique planning needs facing the owners of closely-held operating entities. While these clients face the same array of wealth planning needs other wealthy individuals do, much of their wealth in many cases is in the ownership stake they have in their business. Given this fact, they face a unique set of issues that an advisor must understand. This program addresses those unique issues and provides the advisor with the technical knowledge required to provide advice and guidance to these clients on the issues most germane to their situation - ranging from how to plan for the continued operation of their business in times of key employee departures through the ultimate planning for the succession of their business interests either during life or at death. Additionally, the program covers the advanced compensation strategies business owners should consider to maximize the income they can generate through their business. The culmination of the program is a unique module addressing how an advisor can most effectively leverage their technical knowledge into specifically structured conversations designed to engage these clients and identify the planning opportunities that will drive the development of long-term relationships.

#### BUSINESS OWNERS PROGRAM

##### WEALTH PLANNING KNOWLEDGE

- Business Valuation
- Business Continuation Planning
- Business Succession Planning
- Executive Compensation Strategies for Closely Held Business Owners
- Miscellaneous Employee Benefit Plans and Fringe Benefit Plans

##### CLIENT ENGAGEMENT SKILLS

- The Business Owner Conversation

Continuing Education Credits  
CFP 5.0 hours



## Certificate/Specialized Programs

### CFP® CERTIFICATION EDUCATION PROGRAM

Greene Consulting has partnered with a number of national universities to deliver a truly unique financial planning education program for those who are seeking to acquire their CFP® Certification. Our goal in the partnerships is to offer a program that not only satisfies the Certified Financial Planner Board's educational requirements, but also draws upon our years of consulting experience to teach individuals how to leverage this knowledge into better client service and greater sales production. This program is comprised of seven interactive web-based courses, each with between 10 and 20 individual lessons.

#### CFP® CERTIFICATION EDUCATION PROGRAM

##### WEALTH PLANNING KNOWLEDGE

- Fundamentals of Financial Planning
- Insurance Planning
- Investment Planning
- Income Tax Planning
- Retirement Planning
- Estate Planning
- Developing the Financial Plan

##### CLIENT ENGAGEMENT SKILLS

## Certificate/Specialized Programs

### CORPORATE EXECUTIVE PROGRAM

Corporate Executives represent a sophisticated and potentially profitable segment of the marketplace, yet few professionals possess the depth of planning expertise required to address their often-complex financial needs. With complex needs ranging from investment and retirement strategies to dealing with concentrations in restricted stock, Corporate Executives require insightful guidance from professionals well versed in these key planning issues. The Corporate Executive Program addresses the key topics relevant to developing comprehensive relationships with Corporate Executives, including strategies for navigating the complex rules and regulations associated with their ownership of company stock, which, in many cases, represents the largest portion of their overall net worth.

CORPORATE EXECUTIVE PROGRAM	WEALTH PLANNING KNOWLEDGE	CLIENT ENGAGEMENT SKILLS
	<ul style="list-style-type: none"><li>• Nonqualified Executive Retirement Benefits</li><li>• Strategies for Executive Stock Options</li><li>• Demystifying Rule 144: The Sale of Restricted Securities and Control Stock</li><li>• Strategies for Managing Concentrated Wealth</li><li>• Rule 10b5-1 Plans and Insider Trading</li><li>• Executive Compensation Strategies</li></ul>	<ul style="list-style-type: none"><li>• The Corporate Executive Conversation</li></ul>

Continuing Education Credits  
CFP 7.5 hours

## Certificate/Specialized Programs

### CPRS™ CERTIFICATION PROGRAM

Advisors and planners choose the Certified Personal Retirement Specialist™ (CPRS™) designation to gain new clients and retain existing clients. Over 3.5 million people reach retirement age every year and most have no effective retirement plan. The CPRS™ designation marks you as a true professional, allowing you to compete and excel in the expanding retirement planning market.

The CPRS™ program includes the following benefits:

- Thorough training in our highly-regarded Retirement Planning lessons used by CFP® Certification programs across the nation
- Advanced strategies for retirement accumulation and distribution that go well beyond CFP Board requirements
- Asset protection insights to shelter retirement assets from judgment creditors in the world's most litigious country (the U.S.A.)
- Understanding the serious threat to a retirement lifestyle posed by unmanaged health care, disability, and long-term care costs

#### CPRS™ CERTIFICATION PROGRAM

##### WEALTH PLANNING KNOWLEDGE

- Using IRAs to Build and Distribute More Retirement Income
- Qualified Plan Advantages and Disadvantages for Employees and Business Owners
- Employee Protections and Employer Responsibilities in Qualified Plans
- Understanding Types of Qualified Plans
- Leveraging Nonqualified Plans for Small Business and Not-For-Profit Employees and Owners
- Matching Business Owner Needs to the Right Qualified Plan
- Income Distribution Planning for Qualified Plans
- Fitting Deferred Compensation into the Retirement Plan
- Building Retirement Wealth by Maximizing Fringe Benefits
- Fundamentals of Social Security and Medicare
- Maximizing Retirement Wealth During the Accumulation Phase
- *Practice Management Video Series - The Retirement Accumulation Conversation*
- Maximizing Income in Retirement
- *Practice Management Video Series - The Retirement Distribution Conversation*
- Strengthening the Retirement Plan with Insurance
- Asset Protection Planning

##### CLIENT ENGAGEMENT SKILLS

## Certificate/Specialized Programs

### THE CERTIFICATE IN APPLIED BEHAVIORAL FINANCE

Our brain wasn't designed to be good at investing. In fact, quite the opposite. It was actually designed to lead us astray in many situations. That's the conclusion from an increasing body of research from both the scientific and academic communities.

While the field of Behavioral Finance has been around for decades, its direct application to wealth management is still more theory than reality. But that's beginning to change. In fact, recent industry studies point to Behavioral Coaching as the largest potential source of "alpha" for advisors across the entire spectrum of advice and services they deliver. For advisors seeking to deepen relationships and grow their practice, adding to their skill set in this area can be a game-changer.

The Certificate in Applied Behavioral Finance was built for this specific purpose. Experts in the fields of investing, psychology and wealth management collaborated to develop this unique program with the singular purpose of helping advisors become superior behavioral coaches for their clients. While addressing the fundamental elements of Behavioral Finance, the program extends into specific points of tactical application for advisors. Here, the program identifies 10 of the most common investment decision errors that cost investors billions in lost wealth every year and introduces an easy-to-use coaching framework called PAUSE to help advisors control client emotions and make better-informed, more rational decisions. Additionally, the program covers 10 enduring Investment Principles that can be used to educate clients on the tenets of successful investing. The result for any advisor is an enhanced ability to help clients avoid decision errors that undermine results and educate them on principles of sound investing that differentiate their approach.

In a world of increasingly commoditized advice, an advisor's ability to be an effective behavioral coach will be essential to success. And, this skill is sustainable, differentiated, and can add quantifiable value to the client relationship, which is best referred to as "Behavioral Alpha".

#### THE CERTIFICATE IN APPLIED BEHAVIORAL FINANCE

##### WEALTH PLANNING KNOWLEDGE

- Applied Behavioral Finance: Better Results through Better Decisions
- Hard Wiring of the Brain: Two Functions, Two Systems
- "Behavioral Coaching" and "Behavioral Alpha"
- Attention Risk
- Ego Risk
- Conservation Risk
- Emotion Risk

##### CLIENT ENGAGEMENT SKILLS

Continuing Education Credits  
CFP 15.5 hours

# **CLIENT ENGAGEMENT SKILLS**

## Client Engagement Skills Courses – Introduction

While our Knowledge Courses address *technical competence*, it is also important to address *conversational competence*. This is why we have also developed a series of Client Engagement Skills Courses that work in parallel with the Knowledge Courses, providing learners with the conversational competence to identify and address client needs, thereby enhancing client relationships and increasing production.

In the following grid, you will find a listing of our Client Engagement Skills Courses, as well as the markets/roles for which they are designed.

## Client Engagement Skills

COURSE TITLE	MARKET / ROLE					CE
	COMMERCIAL BANKING	RETAIL BANKERS	MASS AFFLUENT ADVISORS	HNW ADVISORS	UHNW ADVISORS	
Benefits Conversation	◆					
Borrowing Conversation		◆	◆	◆	◆	
Building Effective Banking Center Partnerships			◆	◆		
Business Owner Conversation			◆	◆	◆	
Client Discovery Conversation	◆		◆	◆	◆	
Client Promise Conversation	◆					
Commercial Employee Benefits	◆					
Conducting Effective Outbound Calls			◆	◆	◆	
Corporate Executive Conversation				◆	◆	
Education Planning Conversation			◆	◆	◆	
Engagement Conversation		◆				
Foundational Banking/Deposits Conversation		◆	◆			
Generating Client Referrals			◆	◆	◆	
Investment Planning Conversation			◆	◆	◆	
Leading Differentiated Relationship Reviews			◆	◆	◆	
Lending Conversation			◆	◆	◆	
Lending Experience Conversation	◆					
Protection Planning Conversation			◆	◆	◆	
Rapid Planning Conversation				◆	◆	
Retirement Accumulation Conversation				◆	◆	
Retirement Distribution Conversation				◆	◆	
Retirement Planning Conversation			◆			
Small Business Banking Conversation		◆	◆			
The Role of the Commercial Banker	◆					
Treasury Conversation	◆					
Wealth Transfer Conversation			◆	◆	◆	

HNW - High Net Worth

UHNW - Ultra High Net Worth

CE - Continuing Education Credits Available



# **KNOWLEDGE COURSES**

## Knowledge Courses – Introduction

It is not sufficient to simply cover the facts and applications pertaining to a specific financial subject; to enhance applicability, the subject needs to be addressed in a manner that is appropriate and relevant to the role of the learners and the markets they serve. That is the key to moving a Knowledge Course from one that simply informs learners to one that *empowers them*. This is why we often have multiple versions of a course to address the same subject, with each version addressing the needs of different audiences.

The following grid displays the full array of our Knowledge Courses, grouped by discipline and listed in alphabetical order by course title. For each Knowledge Course, we have identified appropriate markets/roles for which the courses were designed. We have also indicated those courses that offer continuing education (CE) credits.

## Knowledge Courses

COURSE TITLE	MARKET / ROLE				CE
	RETAIL BANKERS	MASS AFFLUENT ADVISORS	HNW ADVISORS	UHNW ADVISORS	
<b>BANKING/RETAIL</b>					
Advising the Affluent Client: Banking Strategies	◆	◆			◆
<b>EDUCATION PLANNING</b>					
Advising the Affluent Client: Education Planning		◆			◆
Principles of Financial Planning: Education Planning			◆		◆
<b>ESTATE PLANNING</b>					
Advising the Affluent Client: Estate Planning		◆			◆
Application of Estate Planning Concepts				◆	◆
Asset Protection Planning		◆	◆	◆	◆
Charitable Gifting Techniques				◆	◆
Dynasty Trusts			◆	◆	◆
Identifying Common Estate Planning Needs (Knowledge for the Real World)		◆	◆	◆	◆
Irrevocable Life Insurance Trusts			◆	◆	◆
Joint Property				◆	◆
Principles of Financial Planning: Estate Planning			◆		◆
Private Foundations				◆	◆
Understanding Personal Financial Statements			◆		◆
Understanding Trusts and Trust Documents				◆	◆
Wills, Estates and the Probate Process				◆	◆
<b>FINANCIAL PLANNING</b>					
The Personal Financial Planner Process		◆	◆		◆

HNW - High Net Worth

UHNW - Ultra High Net Worth

CE - Continuing Education Credits Available

## Knowledge Courses

COURSE TITLE	MARKET / ROLE				CE
	RETAIL BANKERS	MASS AFFLUENT ADVISORS	HNW ADVISORS	UHNW ADVISORS	
<b>INSURANCE PLANNING</b>					
Advising the Affluent Client: Insurance Planning		◆			◆
Business Continuation Planning			◆	◆	◆
Business Succession Planning			◆	◆	◆
Deferred Annuities: A Tax-Deferred Accumulation Vehicle			◆	◆	◆
Executive Compensation Strategies			◆	◆	◆
Fundamentals of Disability Income Insurance		◆	◆		◆
Fundamentals of Insurance					
Identifying Common Insurance Planning Needs (Knowledge for the Real World)		◆	◆	◆	◆
Immediate Annuities: A Tax-Advantaged Income Planning Tool			◆	◆	
Insurance Solutions and the Client Lifecycle					◆
Life Insurance		◆	◆	◆	
Long-Term Care Insurance		◆	◆		◆
Miscellaneous Employee Benefit Plans and Fringe Benefit Plans		◆	◆	◆	
Principles of Financial Planning: Insurance Planning			◆		◆
Understanding Insurance Contracts		◆	◆	◆	
<b>INVESTMENT PLANNING</b>					
Advising the Affluent Client: Investment Planning		◆			◆
Alternative Investments: Applying Alternative Strategies in the Portfolio			◆	◆	◆
Alternative Investments: Hedge Fund Strategies			◆	◆	◆
Alternative Investments: Investing in Alternatives			◆	◆	◆
Alternative Investments: Liquid Alternative Mutual Funds			◆	◆	◆
Alternative Investments: Portfolio Considerations and Manager Evaluation			◆	◆	◆
Business Valuation			◆	◆	◆
Demystifying Rule 144: The Sale of Restricted Securities & Control Stock				◆	◆

HNW - High Net Worth

UHNW - Ultra High Net Worth

CE - Continuing Education Credits Available

## Knowledge Courses

COURSE TITLE	MARKET / ROLE				CE
	RETAIL BANKERS	MASS AFFLUENT ADVISORS	HNW ADVISORS	UHNW ADVISORS	
<b>INVESTMENT PLANNING, <i>CONTINUED</i></b>					
Equity Investment Strategies					
Evaluating Portfolio Performance					
Executive Compensation Strategies for Closely Held Business Owners	◆	◆	◆	◆	◆
Fixed Income Investment Strategies					
Fundamentals of Options			◆	◆	
Hedge Funds			◆	◆	◆
Identifying Common Investment Planning Needs (Knowledge for the Real World)		◆	◆	◆	◆
International Investment Strategies					
Investment Policy Statements			◆	◆	◆
Investment Vehicles: Alternatives for Constructing a Portfolio					
Key Economic Principles for Wealth Management Professionals					
Key Principles of Investing					
Lessons from Financial Market History					
Manager Selection, Monitoring and Due Diligence			◆	◆	◆
Mutual Fund Investing					
Principles of Financial Planning: Asset Allocation			◆	◆	◆
Rule 10b5-1 Plans and Insider Trading				◆	◆
Strategies for Executive Stock Options			◆	◆	◆
Strategies for Managing Concentrated Wealth			◆	◆	◆
<b>RETIREMENT PLANNING</b>					
Advising the Affluent Client: Retirement Accumulation Planning		◆			◆
Advising the Affluent Client: Retirement Distribution Planning		◆			◆
Identifying Common Retirement Planning Needs (Knowledge for the Real World)		◆	◆	◆	◆
Individual Retirement Arrangements (IRAs)		◆	◆		◆

HNW - High Net Worth

UHNW - Ultra High Net Worth

CE - Continuing Education Credits Available

## Knowledge Courses

COURSE TITLE	MARKET / ROLE				CE
	RETAIL BANKERS	MASS AFFLUENT ADVISORS	HNW ADVISORS	UHNW ADVISORS	
<b>RETIREMENT PLANNING, <i>CONTINUED</i></b>					
Nonqualified Executive Retirement Benefits		◆	◆		◆
Planning for After-Death IRA Distributions			◆		◆
Planning for IRA Required Minimum Distributions			◆		◆
Principles of Financial Planning: Retirement Accumulation Planning			◆		◆
Principles of Financial Planning: Retirement Distribution Planning			◆		◆
Social Security and Medicare		◆	◆	◆	◆
The Role of Life Insurance in Retirement Planning		◆	◆	◆	◆
<b>SUPPORT TOOLS</b>					
Advisor Guides					
<b>TAX PLANNING</b>					
Fiduciary Income Taxation and Planning Strategies - Part 1			◆	◆	◆
Fiduciary Income Taxation and Planning Strategies - Part 2			◆	◆	◆
Fundamentals of Federal Income Taxation			◆	◆	◆
Identifying Planning Opportunities in a Client's 1040 (Knowledge for the Real World)		◆	◆	◆	◆
Principles of Financial Planning: Transfer Taxation			◆		◆
Strategies for Managing Generation-Skipping Transfer Taxes			◆	◆	◆
Taxation of Life Insurance		◆	◆	◆	
Transfer Taxation Part I - Common Elements of Estate & Gift Taxes				◆	◆
Transfer Taxation Part II - Unique Elements of Estate & Gift Taxes				◆	◆
Transfer Taxation Part III - GST and Income Taxes				◆	◆

HNW - High Net Worth

UHNW - Ultra High Net Worth

CE - Continuing Education Credits Available

## Knowledge Courses

COURSE TITLE	MARKET / ROLE				CE
	RETAIL BANKERS	MASS AFFLUENT ADVISORS	HNW ADVISORS	UHNW ADVISORS	
<b>TRUST ADMINISTRATION</b>					
Managing Fiduciary Risk Associated with Discretionary Distributions		◆	◆	◆	
Trustee Duties - Powers and Liabilities		◆	◆	◆	◆





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