NASAA

NASAA Continuing Education (CE) Course Application

Course Title

Course Title (Maximum 40 Characters)

_____

Course Description

In the space below, please provide a paragraph description of the course. The paragraph should be between three and five sentences explaining the purpose of the course and content covered.

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Course Dates

	One Time	Regular Frequency	More than Once
How often will the course be offered?	☐	☐	☐

1. Please enter the date the course will begin to be offered:

_____

2. If the course will be offered on a regular basis, please check the box <u>above</u> the frequency and indicate on which day(s) as well:

☐	☐	☐	☐	☐	☐
Daily	Weekly	Bi-Weekly	Every 3rd Week	Monthly	Bi-Monthly

On which days?

☐	☐	☐	☐	☐	☐	☐
Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday

3. If the course will not be offered on a regular basis <u>and</u> will be offered more than once, please enter the dates below:

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4. If the course will be offered at other times, please indicate when below:

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Course Objectives

A course objective specifies what a participant will learn in terms of knowledge, behaviors, skills, or actions that can either be demonstrated or tested through an assessment. Course objectives should be written in a way that can be measured. *

Please list your course objectives.

*Note: If you need help or additional support, please refer to the **Objective Writing Guide** available on the application site or in the NASAA CE Program Handbook.*

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2. _____

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3. _____

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4. _____

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5. _____

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6. _____

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7. _____

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8. _____

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Level of Difficulty

	Basic	Intermediate	Advanced
What is the level of difficulty?	☐	☐	☐

If there any pre-requisites needed or a particular level of knowledge or skill needed to be successful in completing this course, please indicate that information below:

1. _____

   _____

2. _____

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3. _____

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4. _____

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Methods of Instruction

Please indicate the methods of instruction you will use to deliver this course to the participants.

The following are the types, categories, and methods that will be accepted. (select all that apply)

No Instructor / Self-Study / Asynchronous	Instructor Led / Synchronous
☐ Correspondence	☐ Webinar/Seminar/Lecture/Presentation
☐ Recorded Media	☐ Virtual Meeting (i.e., Zoom, MS Teams)
☐ eLearning/On-Line Training (Self-Study)	☐ Discussion/Workshop
☐ Other _____	☐ Video Conference
	☐ Expert Panel

Methods of Assessment

All courses must also have a method for measuring the student's successful completion of the course, which includes the material and any specific course requirements.

Assessments should be aligned with the stated course objectives and assess the course content. Please refer to the **Assessment Guidelines** available within the [NASAA CE Program Handbook](#) for guidance on what is expected and accepted.

1. **Assessment Type:** Please indicate the type of assessment(s) you plan to use. (Select all that apply)

    ☐ Multiple Choice
    ☐ True and False
    ☐ Matching/Drag and Drop
    ☐ Fill-in-the-Blank
    ☐ Short Answer
    ☐ Written Essay
    ☐ Observation/Hands-on Activity
    ☐ Presentation
    ☐ Project
    ☐ Portfolio of Work
    ☐ Other _____

2. **Pass Rate and Number of Attempts:** The IAR CE Requirements provide for an unlimited number of attempts for learners who need to retake the assessment to pass. Additionally, a 100 percent pass rate on assessments must be achieved for an IAR participant to qualify for CE credit for that course.

	YES	I need an Exception *(see below)*
Will you be able to adhere to the pass rate and number of attempts as required by NASAA?	☐	☐

3. **Exception to Pass Rate and Number of Attempts:** There is an exception to number of attempts and passing rate. If the course is approved by one of the five (5) professional designations that waive the Series 65, then the assessment structure may deviate from the above. In these instances, the assessment passage rate must be at least a 70% within no more than three attempts.

    Please indicate the approved course designation (Select all that apply):

Certified Financial Planner (CFP)	☐	Chartered Financial Consultant (ChFC)	☐
Personal Financial Specialist (PFS)	☐	Chartered Financial Analyst (CFA)	☐
Chartered Investment Counselor (CIC)	☐		

Course Content Area, Duration and Credit Hours

Please indicate the course content area and the number of credit hours/course duration. (Select all that apply)

☐ New and emerging issues and/or products for the IAR to navigate.

- Number of Credit Hours _____

☐ Compliance issues arising from advertising.

- Number of Credit Hours _____

☐ Sufficiency and accuracy of financial reports.

- Number of Credit Hours _____

☐ Changes and new developments in legislation, regulations, rules.

Number of Credit Hours _____

☐ Quality and accuracy of communications with clients and prospects.

Number of Credit Hours _____

☐ Fiduciary obligations and ethical practices.

Number of Credit Hours _____

☐ Obligations for supervising IARs.

Number of Credit Hours _____

☐ Other

Number of Credit Hours _____

Total Number of Credit Hours _____

If the course will be addressing the topic of "Ethics" or "Professional Responsibility," please use the space below to explain how the course content addresses one or both of those CE component areas:

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Course Content and Course Fees

For all courses, provide your refund policy as an attachment to this application.

If tuition or other course fees are not assessed, then please check the box below.

☐ Tuition and other course fees will not be charged.

Course Participant and Exam Security

Each Course Provider and course must have a way to ensure the student taking the course, or any associated assessment, is the same person who is taking the course for credit completion (i.e., a process to authenticate student identity such as passwords and security prompts).

The following security requirements will be reviewed:

1. Each IAR must enroll in the course before having access to course material.
2. A way to prevent participants from gaining access to course assessments before the review of course material.
3. A way to prevent participants from downloading any course assessment questions or answers.

In the space below, please explain how you plan to meet the security requirements. If you have a security policy available, you can either add a link to that policy in the space below or upload a copy of your participant and exam security policy or processes as part of this application.

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Course Participant and Exam Security (Cont.)

If you need additional space, please continue in the space available below.

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