National Association of Estate Planners & Councils

1120 Chester Avenue – Suite 470 – Cleveland, Ohio 44114

ACCREDITED ESTATE PLANNER® DESIGNATION

The Accredited Estate Planner® (AEP®) designation is a graduate level specialization in estate planning, obtained in addition to already recognized professional credentials within the various disciplines of estate planning. It is awarded by the National Association of Estate Planners & Councils (NAEPC) to recognize estate planning professionals who meet stringent requirements of experience, knowledge, education, professional reputation, and character, and who commit to the team concept of estate planning. As part of NAEPC's advocacy program, designation holders will be given priority in requests for referrals within each professional discipline that result from NAEPC promotion and advertising campaigns. In addition, NAEPC promotion and advertising will prominently feature the AEP® designation and the advantages of working with a professional who holds this special accreditation.

QUALIFICATIONS & REQUIREMENTS FOR APPLICANTS WITH MINIMUM FIVE YEARS OF EXPERIENCE

An **ACCREDITED ESTATE PLANNER®** applicant must meet **ALL** of the following requirements as established by the National Association of Estate Planners & Councils:

1. **Credential requirement.** To be eligible to be considered for the AEP® designation, the applicant must provide documentation of being currently licensed to practice law as an Attorney (JD) or to practice as a Certified Public Accountant (CPA); or of being currently designated as a Chartered Life Underwriter® (CLU®); Chartered Financial Consultant® (ChFC®); Certified Financial Planner (CFP®); Chartered Financial Analyst (CFA); Certified Private Wealth Advisor® (CPWA®); Chartered Advisor in Philanthropy® (CAP®) having also taken GS 815 – Advanced Estate Planning and one of the following electives: GS 803 – Financial Statements and Business Valuation Analysis, GS 838 – Business Succession Planning, or GS 842 – Executive Compensation, through The American College; Certified Specialist in Planned Giving (CSPG); or Certified Trust & Financial Advisor (CTFA) in any jurisdiction of the United States of America. Applicants who hold the Masters of Science in Financial Services (MSFS) through The American College meet the credential requirement. Lastly, applicants who hold a Master of Science in Taxation (MST) may meet the credential requirement; however, specific criteria pertain to this degree and must be pre-approved by NAEPC Staff before submitting application.

2. **Professional discipline engaged in estate planning requirement.** The applicant must be presently and significantly engaged in "estate planning activities" as an attorney, an accountant, an insurance professional and financial planner, a philanthropic advisor, or a trust officer **devoting at least a third of one's time to estate planning and estate planning activities**. To assist in determining the

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percentage of time, please review the definition of estate planning below followed by a list of 20 discrete activities determined by the NAEPC to be eligible and relevant activities for purposes of this application.

Estate planning encompasses the purposeful accumulation, conservation, preservation, and transfer of an estate by establishing clear goals and objectives through planning and implementation of an estate plan. The overall purpose of the estate planning process is to develop a plan that will promote and achieve the estate planning goals, values, and objectives of individuals and their families and to carry out their charitable goals, if any. Estate planning has come to include and mean lifetime planning that leads to creation, conservation, and transfer of assets. Estate planning should also facilitate the intended and orderly transfer of property at death, taking into consideration the family unit and the potential costs of different methods.

Estate planning activities could include the following functions appropriate to the applicant's respective discipline(s):

Administering or planning estates and trusts
Analyzing existing life insurance coverage for continuing relevance
Analyzing proposed transactions for estate and gift tax implications
Attending Estate Planning Council Meetings and Other Estate Planning Educational Events
Charitable/gifting planning
Designing estate plans
Designing Qualified and Non-Qualified Retirement Plans
Developing strategies to minimize potential estate and gift taxes, including generation skipping taxes
Developing programs to conserve assets during lifetime and at death
Drafting estate planning documents
Facilitating, conducting, teaching, and/or moderating seminars, workshops, and continuing education programs in estate planning; estate, gift and/or generation-skipping taxes; or business succession planning that would qualify for the continuing education requirement to maintain the AEP® designation in active status
Leading clients through a discovery process to determine the ultimate purpose they want their wealth to accomplish for them, their families and the institutions and causes they care about most.
Life Settlements of Life Insurance Policies
Preparing estate and gift tax returns, including generation skipping tax returns
Preparing fiduciary accountings
Preparing fiduciary income tax returns
Proposing life insurance solutions consistent with estate plans
Retirement distribution planning
Succession planning
Teaching courses in estate planning; estate, gift and/or generation-skipping taxes; or business succession planning by a full time professor at a college, university or school of law

3. **Experience requirement.** A minimum of five (5) years of experience engaged in estate planning and estate planning activities is required in one or more of the professional disciplines described above.

For applicants who have not been actively engaged in estate planning for fifteen (15) years or more, the following education requirement must be met.

4. **Education requirement.** The National Association of Estate Planners & Councils (NAEPC) has designated The American College, Bryn Mawr, Pennsylvania, as the primary provider of the education courses required to earn the AEP® designation. Applicants for the AEP® designation must successfully complete two graduate courses through the Richard D. Irwin Graduate School of The American College as follows:

Required course:	***One elective course selected from:***
GS 815 – Advanced Estate Planning	GS 803 – Financial Statements and Business Valuation Analysis
	GS 838 – Business Succession Planning
	GS 839 – Planning for Philanthropic Impact in the Context of Family Wealth
	GS 842 – Executive Compensation
	GS 849 – Charitable Strategies

For those individuals applying with the CAP® designation only, in addition to GS 815, they must also take one of the following electives – GS 803, GS 838, or GS 842 as courses earned toward securing the underlying "gateway" designation or degree do not qualify for the AEP® graduate coursework requirement.

Please note: *GS 816 – Advanced Estate Planning II and GS 836 – Business Succession Planning I are no longer offered by The American College; however, for applicants who have already completed these courses, we will accept them for our program.*

If the applicant has completed one (1) of the following listed courses prior to March 31, 2004, it will be accepted as an approved elective course. These courses are:

GS 814 – Advanced Pension Planning and Retirement Planning I
GS 817 – Personal Tax Planning

Except as stated in the prior paragraph, there is no requirement that courses must be taken within any prescribed time period. As long as the applicant has kept current through continuing education, it does not matter when the courses were originally completed.

The applicant must provide either a copy of an official grade report or a transcript from The American College. For more details concerning the coursework offered through The American College, please visit their Web site at:
http://www.theamericancollege.edu/subpage.php?pageId=1265.

"Challenge Exam" Alternative. As an alternative to taking the above-mentioned courses, an applicant may elect to sit for a "challenge exam" which is the equivalent of the course final exam. Each exam has a two-hour time limit, and the exams may be taken at different times. This alternative option is recommended only for those applicants who have previously taken advanced, graduate level courses elsewhere and have advanced knowledge in the field of estate planning. An applicant who fails an examination is then required to take the underlying course upon which that examination was based in order to receive credit.

The applicant must provide either a copy of a grade report or a transcript from The American College. For Challenge Exam information, please contact the Graduate School at The American College as follows:

Antoinette Christaldi, LUTCF, M.S., Director, Continuing Education
Registrar & Certification Officer
The American College, 270 South Bryn Mawr Avenue, Bryn Mawr, PA 19010
Office 610-526-1357; Fax 610-526-1402
Antoinette.Christaldi@TheAmericanCollege.edu
www.TheAmericanCollege.edu

Alternative Equivalent Education Provided Through Other Colleges and Universities. As an alternative to successfully completing two graduate level courses from the list referenced above through The American College, applicants may complete the graduate educational course requirements through other colleges, universities and schools of law, provided such colleges, universities and schools of law, and the educational courses through such institutions, meet the following criteria:

> **Academic Accreditation**: For graduate courses through a school of business that are part of an MBA degree, in general, or MBA degrees with a concentration in finance, financial planning, or insurance, we require graduate school of business accreditation by the Association to Advance Collegiate Schools of Business (AACSB) or the Accreditation Council for Business Schools and Programs (ACBSP). For graduate courses through a school of business (sometimes these programs are referred to as schools of accountancy) that are part of an MBA in accounting degree, or, MS degrees in accounting or taxation, we require graduate accounting degree accreditation by the AACSB or the ACBSP. For graduate courses through a school or department of a college or university that are part of a M.S. or Ph.D. in financial planning or financial services degree, we require that the graduate or Ph.D. program be a Registered Program with the Certified Financial Planner™ Board of Standards. For any courses though a School of Law as part of an LL.M. or J.S.D.degree, we require accreditation by the American Bar Association of the law school.

Courses that Lead Towards a Graduate Level Degree. Our second requirement is that any courses taken in estate planning and estate planning-related topics must be graduate level courses that are approved by the offering school, college or university as counting toward course credit for either a master's or doctoral degree. The course, or courses, can either be required courses or electives but must count toward the graduate degree. We are not requiring the applicant to complete the graduate degree; we are only requiring the applicant to take courses that would count toward a graduate degree. **Courses earned toward securing one of our underlying "gateway" designations or degrees do not qualify for the AEP® coursework requirement with the following exceptions.**

Applicants who earned qualifying coursework as part of a JD degree and who are applying for the designation under a different discipline, i.e. insurance and financial planning, for example, with another qualifying "gateway" credential such as the CFP®, may use such coursework to satisfy the graduate coursework requirement provided it meets the existing criteria for alternative coursework.

Applicants who earned the Master of Science in Financial Services (MSFS) through The American College will satisfy the graduate coursework requirement provided that the applicant holds another appropriate underlying credential in addition to the MSFS; i.e. CLU®, ChFC®, CFP®, or CPWA®.

Courses that are Similar to Current Courses Though The American College. These courses in estate planning and estate planning-related topics must be similar and equivalent to the courses we now approve through The American College. This is a twofold test. First, the course would have to be of the same length as The American College courses. That is, each course would have to be the equivalent of a graduate three-hour semester credit course or the total number of hours earned must equal six hours of graduate level coursework. It is acceptable to have completed 2 three-hour semester courses or 3 two-hour semester courses. Second, the course content and material would have to be comparable to the current courses through The American College. Specifically, the coursework must be equivalent to that offered in Advanced Estate Planning I and that offered in one or more of the electives offered by The American College. Applicants must provide a copy of the official transcript and a detailed description/syllabus of the course(s). Applicant must have earned a grade of "B" or better for the course(s).

Personal Financial Specialist (PFS) Certification Administered by the American Institute of CPAs (AICPA). Actively licensed CPAs who meet the minimum 5 years of experience actively engaged in estate planning but not yet 15 years in the profession and who hold the PFS Certification administered by the AICPA will meet the graduate coursework requirement provided that the applicant was awarded the PFS on the basis of having successfully completed the required coursework and not on the basis of having earned the CFP® certification.

5. **Membership requirement.** AEP® applicants are required to be members of, and continuously maintain membership in, an affiliated local or regional estate planning council where such membership is available. Where no affiliated local council membership is available, the applicant is required to continuously maintain an At-Large individual membership in the National Association of Estate Planners & Councils.

   While it is the policy of NAEPC to require membership in the affiliated local or regional affiliated estate planning council where such membership is available, it is recognized that this membership may not always be available for all AEP® applicants due to: geographical location (within 50 miles or 60 minutes driving time); local affiliated estate planning council limits on the number of members from each discipline; unaffiliated local estate planning councils; or other local estate planning council membership criteria that prevent the AEP® applicant from belonging to an affiliated local estate planning council. If affiliated local estate planning council membership is not available for any of the foregoing reasons, then NAEPC requires that AEP® applicants obtain, and maintain, individual membership in NAEPC until such time as they can become a member of an affiliated local or regional estate planning council. Please note that it is the responsibility of the designee to reassess the availability of a local council on an annual basis. For a current list of affiliated councils, please visit the NAEPC website at http://www.naepc.org/membership/find_council. The current dues for the At-Large individual membership in the NAEPC are $80.00 a year The individual NAEPC membership dues are in addition to the annual dues for AEP® membership that is required to maintain, and use, the AEP® designation.

6. **Professional reputation and character requirement.** First, an applicant must continuously be in good standing with the applicant's respective professional organization and/or license authority (e.g., State Bar Association for attorneys, etc.). Specifically, an applicant for the AEP® designation who has been the subject of a disciplinary action by (1) a governing board, commission or other entity for any professional designation or certification held by the applicant; (2) any state or federal regulatory authority; or (3) any court of law, for an act or omission that constitutes misconduct, whether ethical, civil or criminal, may not be awarded the AEP® designation until a minimum of five (5) years has elapsed following the resolution of the misconduct constituting the grounds for discipline. If the AEP® Committee deems the misconduct to have been particularly egregious, it may require the elapse of a period of time longer than five (5) years or it may issue a permanent bar to application. The Committee may, in its sole discretion, treat the presence of any past disciplinary action, no matter how slight, as sufficient grounds to deny an application for the AEP® designation.

Second, an applicant must provide three professional references. The applicant shall provide each individual referrer a copy of the Reference Form included in this application which may be returned to the applicant for submission or returned directly to the NAEPC. **Each reference form must be completed in its entirety in the referrer's own handwriting or by using his or her own electronic device. Forms completed by the applicant will not be accepted.** Two of the professional references must be from individuals who primarily practice in **two** different professional disciplines from each other and from the applicant, and one of the professional references must be from an individual who primarily practices in the same professional discipline as the applicant. Thus, three different disciplines are represented by the professional references.

No reference may be from either (1) persons who work for the same company or firm as the applicant, or (2) who are related within the fourth degree of consanguinity to the applicant. Professional references must be from individuals with whom the applicant has worked on estate planning cases and assignments (except for the reference from the individual in the same primary discipline) or individuals who are familiar with the applicant's professional capabilities and experience and who are currently actively engaged in estate planning. Professional disciplines are limited to attorneys, accountants, insurance and financial planners, philanthropic professionals, and trust officers.

Finally, in addition to the three (3) professional references, the applicant must secure a completed "Affiliated Local Estate Planning Council Membership Verification" Form signed by the administrator or an officer of the council of which the applicant is a member. As with the reference forms above, this form should also be completed in its entirety in the handwriting of the administrator or officer of the council or by using their electronic devices.

7. **Commitment to NAEPC Code of Ethics requirement.** The applicant must sign a declaration statement to continuously abide by the NAEPC Code of Ethics found on pages 9 and 10 of this application.

8. **Dedicated to team concept requirement.** The applicant must acknowledge a commitment to the team concept of estate planning as defined in the "Applicant Declarations" found on page 19 of this application and by signing the declaration statement.

9. **Continuing education requirement.** The applicant must satisfy a minimum of thirty (30) hours of continuing education during the previous twenty-four (24) months, of which at least fifteen (15) hours MUST have been in estate planning. This requirement is mandated regardless of the applicant's state or underlying designation continuing education requirement. Applicants may be requested to produce documentation to substantiate any activity claimed.

10. **<u>Annual dues and re-certification requirement.</u>** Designation holders are required to continuously maintain annual membership in order to use the AEP® designation. (Annual AEP® membership dues are currently $175.00.) Failure to maintain annual membership or failure to meet or comply with the re-certification requirements described below will result in the revocation of the AEP® designation, until such time as the requirements are met, and will be communicated to the designee by US Mail Certified

    On an annual basis, designation holders must certify or re-certify that:

    (1) They are continuously engaged in estate planning activities in their professional discipline;
    (2) They are in good standing with their respective professional organizations and/or license authorities and are not subject to any disciplinary misconduct or investigation;
    (3) They maintain membership in an affiliated local or regional estate planning council where such membership is available (availability must be reassessed by designee for annual recertification); otherwise they must be an individual, At-Large member of the NAEPC and maintain that membership;
    (4) They have abided by and will continue to abide by the NAEPC Code of Ethics;
    (5) They are dedicated to the team concept of estate planning; and
    (6) They have currently satisfied the continuing education requirements of their designated professional discipline and have maintained a minimum of thirty (30) hours of continuing education during the prior two (2) years, of which **at least fifteen (15) hours were in estate planning, in order to satisfy the AEP® designation continuing education requirement.**

11. **<u>Annual audit of certification requirements.</u>** On an annual basis, the AEP® Committee will determine the percentage of active designation holders to be audited. If an active designation holder is chosen for audit, verification that the designation holder is in good standing with his or her respective professional organization and/or licensing authority; current with the continuing education requirements of thirty (30) hours, fifteen (15) of which must have been in estate planning, for the prior two (2) calendar years; and verification of membership from the appropriate affiliated local estate planning council of which the AEP® is a member must be submitted to the national office. If the audited AEP® is not a member of an affiliated local estate planning council because there is not an affiliated council within 50 miles or 60 minutes driving time of his or her place of business or there is an affiliated council within this geographical area but it is not available for membership, an appropriate explanation must be provided. It is the responsibility of each designee who is not a member of an affiliated local estate planning council to reassess this on an annual basis. Failure to comply with the audit request in a timely manner results in a "cease and desist" letter stating that the AEP® designee is considered inactive and ineligible to use the designation or promote oneself as an AEP® until such time as the audit information has been submitted to and approved by the NAEPC national office.

CODE OF ETHICS

Preamble

The National Association of Estate Planners and Councils (NAEPC) is dedicated to setting and promoting standards of excellence for professionals in estate planning.

Membership in the Association comes from one of three sources. The first source of member is one who joins the NAEPC through membership in an affiliated local council. The second source of member is an at-large member who joins the NAEPC as an individual due to the local council being unaffiliated. The third source of member is an at-large member, one who is unaffiliated with a local council, whether or not the local group is not an affiliated member of the NAEPC.

To those who meet its stringent admission standards, which include, among other things, significant prior experience in estate planning activities and material formal education in the subject matter, the NAEPC confers the Accredited Estate Planner® (AEP®) designation.

The NAEPC recognizes the importance of promulgating a code of behavior for members that emphasizes a team approach to estate planning, and relies upon the competency, knowledge, professionalism, integrity, objectivity, and responsibility of each person qualifying as a candidate for certification.

In fulfillment of this mission, the Association's Board of Directors has adopted this Code of Professional Responsibility, which embodies the professional behavior expected of all NAEPC members, and which is consistent with the Codes of Ethics of the other gateway professional designations under which a member must conduct himself/herself.

That is, the NAEPC recognizes that those who attain the AEP® designation already possess other professional designations, such as Attorney at Law, Certified Public Accountant, Chartered Life Underwriter®, Chartered Financial Consultant®, Certified Financial Planner®, and Certified Trust and Financial Advisor. Each of those gateway designations imposes a Code of Ethics on its members. The NAEPC intends that its Code of Ethics be consistent with those Codes already imposed on its members when the AEP® title is conferred.

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Professional Responsibilities

A member of the NAEPC is required to conduct himself/herself at all times in the following manner:

1. To uphold the integrity and honor of the profession and to encourage respect for it. This involves promoting the continual development of the estate planning industry, as well as the member's respective specialization.
2. To be fair. This requires that a professional treat others as he/she would wish to be treated if in the other's position. It also means that a member shall disclose conflicts of interest in providing estate planning services.
3. A member shall continually improve his/her knowledge, skill, and competence throughout his/her working life.
4. To do the utmost to attain a distinguished record of professional service based upon diligence. This means that a professional must act with patience, timeliness, and consistency, and do so in a prompt and thorough manner in the service of others.
5. To support the established institutions and organizations concerned with the integrity of his/her profession.
6. To respect the confidentiality of any information entrusted to, or obtained in the course of, the member's business or professional activities.
7. To regulate himself or herself. That is, every member has a two-fold duty to abide by his/her other applicable professional codes of ethics, and to also facilitate the enforcement of this Code of Professional Responsibility. This also means expeditiously reporting breaches of professional responsibility, including one's own, to the NAEPC. The NAEPC assumes responsibility for diligently investigating each reported breach. Confirmed breaches will result in discipline by the Association, and can include dismissal for the most egregious offenses.
8. To comply with all laws and regulations, in particular as they relate to professional and business activities.
9. To cooperate with Association members, and other estate planning professionals, to enhance and maintain the estate planning profession's public image, and to work together to improve the quality of services rendered.

National Association of Estate Planners & Councils

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ACCREDITED ESTATE PLANNER® CHECK LIST

INSTRUCTIONS TO APPLICANT

Please make sure that all of the following materials are included when returning your application to the NAEPC National Office. Unless special circumstances are brought to the attention of the NAEPC National Office staff, all applicants must complete the application process providing all required information, including any transcripts, the three (3) professional references, and the affiliated local council membership verification form, if appropriate, within six (6) months of submitting the application form or the applicant will be required to re-apply and remit another non-refundable application fee. All applications undergo an administrative review prior to review by a national AEP® Review Committee that may, as part of the review, interview the applicant and/or the professional references. **Please allow 4 to 6 weeks for processing and review of your application.** If you have any questions or need additional information, please call (866) 226-2224.

Please forward your completed packet to: National Association of Estate Planners & Councils
1120 Chester Ave., Suite 470
Cleveland, OH 44114-3521

☐ Completed Application (pgs. 12 - 22), including Declarations Page (pg. 19)

☐ Copy of official grade report or transcript from The American College or other qualified educational institution

☐ The names and addresses of the three professional references (pg. 20) unless completed reference forms are included with application

☐ Three reference forms requested by the applicant which may be returned to the applicant or submitted directly to the NAEPC under separate cover (pg. 21)

☐ Affiliated Local Council Membership Verification Form (pg. 22), ***or*** $80.00 Individual NAEPC membership dues

☐ Fees
- ☐ $350.00 Application Fee (**non-refundable**)
- ☐ $175.00 Yearly Dues (to be submitted with application)
- ☐ $80.00 Individual At-Large NAEPC Membership Dues (if required as noted on P. 18)

All checks should be made payable to NAEPC ~ OR ~ Payment can be made by VISA, MasterCard & American Express

COMMENTS and/or CREDIT CARD INFORMATION (Credit Card Number; Expiration Date; and Signature)

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ALL REQUIRED FORMS ARE INCLUDED IN THIS PACKET

National Association of Estate Planners & Councils

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APPLICATION

FOR DESIGNATION AS AN ACCREDITED ESTATE PLANNER®

PERSONAL INFORMATION ***(Please print or type)***

Name ____

Date of Birth ____

Professional Designation(s) / Degree(s) ______________________________

Name of Firm or Organization ______________________________

Title ____

Business Address ____

City ______________________ **State** __________ **Zip** ____________

Telephone Number __________________ **Cell Number** __________________

Email Address ____

Website Address for listing on NAEPC Website __________________________

Home Address ____

City ______________________ **State** __________ **Zip** ____________

Home Telephone Number ______________________________________

Alternative Email Address ______________________________________

How did you learn of the AEP® Designation? ☐ **Council** ☐ **Designee (please provide name and email address)**

☐ **The American College** ☐ **NAEPC Website** ☐ **Other**

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PROFESSIONAL CREDENTIALS

My professional license(s) / designation(s) (listed below) are currently in effect and in good standing:

☐ CPA Certificate Number ______________________________by State of ___________ Year Issued _______

☐ State Bar License Number ____________________________by State of ___________ Year Issued _______

☐ CLU® (Student Identification Number, if available) ______________________________Year Attained ______

☐ ChFC® (Student Identification Number, if available)______________________________Year Attained ______

☐ CFP® Identification Number ____Year Attained _____________

☐ CFA (Charter Number, if available) _______________________________________Year Attained ___________

☐ CTFA Identification Number ____Year Attained _____________

☐ CPWA® Identification Number ____Year Attained _________

☐ CAP ® (Student Identification Number, if available) _____________________________Year Attained ______
(Requires completion of GS 815 – Advanced Estate Planning through The American College as well as one of the following electives: GS 803 – Financial Statements and Business Valuation Analysis, GS 838 – Business Succession Planning, or GS 842 – Executive Compensation)

☐ CSPG Identification Number ____Year Attained ___________

☐ MSFS (Student Identification Number, if available) _____________________________Year Attained ______

☐ MST (Student Identification Number, if available) _____________________________Year Attained ______
(Specific criteria required; must be pre-approved before applying)

☐ I am subject to FINRA regulation* and hold the following License(s) __________________________________
(*Please note that any disclosure event included in the FINRA report will be reviewed and may require explanation or clarification by the applicant)

For degrees earned, please provide the name of degree, educational institution, and year awarded here.

____

____

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PROFESSIONAL DISCIPLINE

I am presently engaged in "estate planning activities" ***primarily*** (check only one primary discipline) as:

An attorney ☐, an accountant ☐, an insurance professional and financial planner ☐, a philanthropic advisor ☐, or a trust officer ☐.

EXPERIENCE REQUIREMENT

I have the required experience in estate planning activities in one or more of the aforementioned disciplines and devote **a minimum of one-third** of my professional time to the estate planning activities (practice, educational activities, etc.) in the indicated years. (Please refer to the definition of estate planning and estate planning activities on page 2 when answering these questions.)

Current Year _____**%** Last Year _____**%** 2 Years Ago ______% 3 Years Ago ______ % 4 Years Ago _____**%**

Total Years of Experience in Estate Planning**: ________

*****Must have a minimum of five (5) years of experience to apply for this designation.***

EMPLOYMENT HISTORY

Please provide the following information in the space below or, if you prefer, you may attach your resume provided it contains all of the information requested:

Place of Employment	**Position and Title**	**Start and End Dates**	**% of Time Devoted to Estate Planning (see definition on page 2)**

In addition, please provide specific information detailing the types of estate planning activities that you have been engaged in, including, but not limited to, estate, gift and/or generation skipping taxes; types of trusts employed; charitable planning techniques; insurance and financial planning instruments; and business succession planning with a chronological timeline. ***NOTE*: *In the interest of confidentially, please do not include client names or company names of yourself or those you have counseled or any information that could reasonably identify those involved.***

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Please use another sheet if necessary

PUBLICATIONS AND SPEAKING ENGAGEMENTS

Please provide a listing of articles or materials that you have authored with publication name and year along with any speaking engagements indicating the topic of the speaking engagement, the group spoken to, the location and the date, if any:

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HONORS AND PROFESSIONAL AWARDS

Please provide a listing of any honors or awards which you have received as a result of your professional or civic activities indicating the name of each organization bestowing the honor or award, if any:

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____

MEMBERSHIP IN PROFESSIONAL AND CIVIC ORGANIZATIONS AND ASSOCIATIONS

Please list any professional organizations and associations of which you are a member, including any leadership positions, and dates of membership, if any:

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EDUCATION REQUIREMENT

I have completed the courses checked below:

Required

☐ GS 815 – Advanced Estate Planning

Elective

☐ GS 803 – Financial Statements and Business Valuation Analysis
☐ GS 838 – Business Succession Planning
☐ GS 839 – Planning for Philanthropic Impact in Context of Family Wealth
☐ GS 842 – Executive Compensation
☐ GS 849 – Charitable Strategies

Please note: *GS 816 – Advanced Estate Planning II and GS 836 – Business Succession Planning I are no longer offered by The American College; however, for applicants who have already completed these courses, we will accept them for our program.*

If you have completed one (1) of the following listed courses prior to March 31, 2004, it will be accepted as an approved elective course. Please check completed course:

☐ GS 814 – Advanced Pension Planning and Retirement Planning I
☐ GS 817 – Personal Tax Planning

Applicants must provide either a copy of a grade report from The American College or a transcript from The American College.

OR

☐ I have completed the "Challenge Exam" Alternative for GS 815 and the following elective course and have included the necessary completion records:

____

Applicants must provide either a copy of a grade report from The American College or a transcript from The American College.

OR

☐ I have completed graduate coursework in estate planning and estate planning activities as part of a master's or doctoral program, earning a "B" letter grade or better and have provided a copy of an official transcript and detailed course description (Please see Alternative Equivalent Education section beginning on Page 3). This includes relevant coursework taken as part of a JD provided the applicant is applying with another of the qualifying credentials and is NOT applying under the discipline of attorney. This also includes coursework taken to earn the MSFS provided the applicant is applying with another qualifying credential.

OR

☐ I hold an active CPA license as well as the PFS certification administered by the AICPA which was awarded on the basis of having successfully completed the required coursework and not on the basis of having earned the CFP® certification.

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MEMBERSHIP REQUIREMENT

1. I am a member, in good standing, of the ____

   Estate Planning Council which is ☐ or is **NOT** ☐ affiliated with the NAEPC.

   If your council is **not affiliated** with NAEPC, please complete Number 2 and see footnote below.

2. I am not a member of an **affiliated** estate planning council because*
   (Examples: geographic restrictions, restrictions on membership, etc.)

____

____

____

***If you are not a member of an affiliated Council for the reason/s outlined above, please include $80.00 for Individual NAEPC membership dues in your remittance.**

Telephone (866) 226-2224 – www.naepc.org – admin@naepc.org – Facsimile (216) 696-2582

National Association of Estate Planners & Councils

1120 Chester Avenue – Suite 470 – Cleveland, Ohio 44114

APPLICANT DECLARATIONS

I certify that I am in good standing with my professional organization and/or license authority. I further certify that I have not been the subject of a disciplinary action by (1) a governing board, commission or other entity for any professional designation or certification that I hold or have held; (2) any state or federal regulatory authority; or (3) any court of law, for an act or omission that constitutes misconduct, whether ethical, civil or criminal, within the past five (5) years.

I agree to continuously abide by the NAEPC Code of Ethics, a copy of which is included with this application, the NAEPC Mission Statement, and the NAEPC Vision Statement, all of which can be found by visiting the NAEPC website, www.naepc.org.

I hereby acknowledge that estate planning is a highly complex, multi-disciplinary activity and, as such, I will seek to understand the interactions and interdependencies between and among the professionals on the team in support of the team concept of estate planning and agree to abide by such concept while holding the designation of ACCREDITED ESTATE PLANNER®.I further acknowledge that actions I take in my own professional discipline may have different consequences over the short and long run and in different parts of the system, so I will also work toward a high-level of communication, cooperation, and coordination with the goal of a successful professional collaboration in service to the client.

I certify that I have satisfied a minimum of thirty (30) hours of continuing education during the previous twenty-four (24) months, of which at least fifteen (15) hours have been in estate planning. I also understand that I may be required to produce documentation substantiating any activity for which I claim credit.

I authorize the NAEPC to contact any person whom I have named as a reference and to contact my applicable licensing or regulatory authority regarding my credentials, and I authorize such persons or authorities to respond to any inquiry.

Further, I agree, upon receiving the designation of ACCREDITED ESTATE PLANNER®, to maintain membership in an affiliated estate planning council where such membership is available, or as an At-Large Member in the National Association of Estate Planners & Councils, and to abide by any continuing education and ***re-certification*** *requirements for ACCREDITED ESTATE PLANNERS®. Furthermore, I understand that, as an ACCREDITED ESTATE PLANNER®, I am required to maintain annual AEP® membership in order to use the designation. I agree to promptly supply third-party verification or information from which third-party verification may be obtained regarding any of the foregoing, if I am one of the persons randomly selected for audit. Furthermore, I understand that, if I do not comply with the above requirements, I am ineligible to use the AEP® designation or represent myself as an ACCREDITED ESTATE PLANNER®. I agree and acknowledge that, if I use the AEP® designation after my right to do so has been rightfully terminated by the NAEPC, then I will be subject to injunctive relief through the courts of such jurisdiction wherein (1) the NAEPC then has its administrative offices, (2) the NAEPC is incorporated, or (3) the then current President of the NAEPC resides. I further agree and acknowledge that I shall be liable for all costs, including attorney fees, incurred by the NAEPC in obtaining such injunctive relief.*

I hereby certify that the information in this application is true and correct to the best of my knowledge and belief. If any of the above statements is determined to be false, or if I do not, in fact, meet the aforementioned requirements, I agree to surrender any certificate that may have been awarded and promptly cease to represent myself as an ACCREDITED ESTATE PLANNER®, and I authorize the National Association of Estate Planners & Councils to publicize the removal of my designation as an ACCREDITED ESTATE PLANNER®.

NAME (Please print or type) ____

Signature ______________________________________ *Date* ____________________

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I HAVE REQUESTED PROFESSIONAL REFERENCES FROM THE FOLLOWING:

(IF YOU HAVE SUBMITTED THE THREE COMPLETED PROFESSIONAL REFERENCES WITH YOUR APPLICATION, YOU DO NOT NEED TO INCLUDE THIS FORM)

*Please note that one reference must share the same primary discipline as the applicant and the other two references must be from **two** different disciplines; references must be actively engaged in estate planning and may not be related to the applicant or work for the same firm or company.*

NAME: ____

FIRM: ____

ADDRESS: ____

CITY, STATE & ZIP: ____

PHONE: ____________________________________ EMAIL ADDRESS: _____________________________

PRIMARY PROFESSIONAL DISCIPLINE: ____

~

NAME: ____

FIRM: ____

ADDRESS: ____

CITY, STATE & ZIP: ____

PHONE: ____________________________________ EMAIL ADDRESS: _____________________________

PRIMARY PROFESSIONAL DISCIPLINE: ____

~

NAME: ____

FIRM: ____

ADDRESS: ____

CITY, STATE & ZIP: ____

PHONE: ____________________________________ EMAIL ADDRESS: _____________________________

PRIMARY PROFESSIONAL DISCIPLINE: ____

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REFERENCE FORM

FOR DESIGNATION AS AN ACCREDITED ESTATE PLANNER®

PLEASE PRINT OR TYPE

________________________________ is an applicant for designation as an ACCREDITED ESTATE PLANNER® and has selected you as a reference. Your response to this inquiry is very much appreciated and will be held in the strictest confidence. **Please note that as a reference you may not be related to the applicant or work with the same firm or company as the applicant, you must be actively engaged in estate planning, and you may be contacted by telephone to discuss the applicant.**

INSTRUCTIONS FOR COMPLETING THIS FORM

1. Use this form for your response **which must be completed in its entirety by you personally**.
2. Base your responses only on the work performed by the applicant with which you are personally familiar.
3. Either return this form to the applicant or email, fax, or send by US Mail directly to the NAEPC at:
   NAEPC ~ 1120 Chester Ave., Suite 470 ~ Cleveland, OH 44114-3514

PLEASE ANSWER THE FOLLOWING QUESTIONS:

1. How long have you known the applicant? ________________________________
2. Please describe the services provided by the applicant in the area of estate planning in which the applicant participated with you as a member of an estate planning team.
   ____
   ____
3. Does the applicant perform in a professional manner? ☐ Yes ☐ No
4. To the best of your knowledge, how long has the applicant been involved in estate planning? ***Please check the space preceding appropriate response***
   ☐ 5 - 10 years ☐ 10 - 15 years ☐ 15 - 20 years ☐ 20+ years ☐ I don't know
5. Do you recommend this individual for the AEP® designation? ☐ Yes ☐ No
6. Please state why you feel the applicant deserves to be awarded the AEP® designation.
   ____
   ____

YOUR NAME ________________________________

YOUR ***PRIMARY*** PROFESSION: ***Please check the space preceding the name of your primary discipline***

☐ Attorney ☐ Accountant ☐ Insurance and Financial Planning ☐ Trust Officer ☐ Philanthropic Advisor

Please check the space preceding any of the following designations that you hold:

☐ JD ☐ CPA ☐ CLU® ☐ ChFC® ☐ CFA ☐ CFP® ☐ CPWA® ☐ CTFA ☐ CAP® ☐ CSPG ☐ AEP®

ARE YOU RELATED TO THE APPLICANT? ☐ Yes ☐ No If yes, how related?________________________________

ARE YOU ACTIVELY ENGAGED IN ESTATE PLANNING? ☐ Yes ☐ No

NAME OF YOUR FIRM OR ORGANIZATION________________________________

IS YOUR FIRM AFFILIATED WITH THE APPLICANTS FIRM? ☐ Yes ☐ No If yes, how affiliated?

____

ADDRESS ________________________________

CITY, STATE, ZIP ________________________________

TELEPHONE NO.________________________________ FAX NO. ________________________________

SIGNATURE ________________________________ DATE ________________________________

EMAIL ________________________________

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AFFILIATED ESTATE PLANNING COUNCIL MEMBERSHIP VERIFICATION for AEP® APPLICANT

PLEASE PRINT OR TYPE

__________________________________ is an applicant for designation as an **ACCREDITED ESTATE PLANNER®**. Our guidelines require membership in a local council **affiliated** with NAEPC and completion of this form is, therefore, necessary to complete the AEP® application process. Your response to this inquiry is very much appreciated and will be held in the strictest confidence.

INSTRUCTIONS FOR COMPLETING THIS FORM

1. Use this form for your response.
2. Base your responses on information known to you or to the best of your information and belief.
3. Either return this form to the applicant or email, fax, or send by US Mail directly to the NAEPC at:
   NAEPC ~ 1120 Chester Ave., Suite 470 ~ Cleveland, OH 44114-3514

PLEASE ANSWER THE FOLLOWING QUESTIONS:

1. Is the applicant a member in good standing of your Council?
   ☐ Yes ☐ No
2. If "Yes", under which discipline is the membership held? ***Please check the space preceding the discipline***
   ☐ Attorney ☐ Accountant ☐ Insurance and Financial Planner ☐ Trust Officer

   ☐ Philanthropic Advisor ☐ Other (Please specify ______________________)

3. Estimate the number of years the applicant has been a member of your local council: ______

NAME OF COUNCIL____

ADDRESS ____

CITY, STATE, ZIP ____

TEL. NO. (   ) _______________________________ EMAIL ____________________________________

NAME OF COUNCIL ADMINISTRATOR OR COUNCIL OFFICER_______________________________

SIGNATURE____

DATE____

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