



Advanced Education for
Investment & Wealth Professionals



Initial Application for Continuing Education (CE) Sponsor

Each 2-year renewal period, CIMA®/CIMC®/CPWA® designees are required to complete and report 40 continuing education (CE) hours as proof of their continued competence in the profession. A Continuing Education Sponsor (CE Sponsor) is an organization that has formally registered with IMCA, agreed to abide by specific requirements to be recognized as a CE Sponsor, and, subsequently, whose educational offerings may be accepted by IMCA for CE credit towards CIMA®, CIMC®, CPWA® certifications.

By submitting this application, a CE Sponsor commits to requirements as follows:

1. Provide education that meets the content, format, and record-keeping criteria defined by IMCA's Certification Commission in the **CE Credit Qualification Criteria** set forth below.
2. Maintain the necessary program attendance records to support IMCA certificants' completion of coursework for CE credit.
3. Pay an annual fee, and complete a renewal application annually to maintain the CE Sponsor status.

Before submitting this application, please read the CE Credit Qualification Criteria and Accepted Continuing Education Topics set forth below to ensure that programs submitted will align with IMCA's standards.

Section 1: Organization Information

Organization Name:	
Organization Mailing Address:	
Organization Website:	
*Organization Primary Contact Name:	
Primary Contact Telephone:	
Primary Contact Email:	
IMCA CE Sponsor ID # (to be completed by IMCA staff):	

*All future communication regarding the CE Sponsor status and future, accepted programs will be sent to the Primary Contact on record.

Section 2: CE Sponsor Status Fee

The \$300USD annual fee must accompany this application. Registration is annual, beginning on the day that IMCA staff processes this application. The CE Sponsor status will expire on the last day of the application's anniversary month. The Primary Contact on record will receive emailed renewal reminders before the expiration date.

Total Amount Due: US\$300

The fee for CE Sponsor Status includes acceptance of unlimited programs that are less than or equal to 8 hours. Programs that are more than 8 hours are subject to additional fees.

Please select payment method:

Check (make check payable in USD to IMCA)
Amount Enclosed: _____ Check Number: _____
Make checks payable and mail to:

IMCA
Attn: CE Provider Specialist
5619 DTC Parkway, Suite 500
Greenwood Village, CO 80111

Credit Card (check only one)

- VISA
 MasterCard
 AmericanExpress
 Diners Club
 Discover

Credit Card Number: _____

Exp(mm/yy): _____

Name on Card: _____

Signature: _____

Fees are subject to change without notice and are non-refundable.

Section 3: Support Documentation

Explain how your organization's educational content and delivery formats align with IMCA's standards as described in IMCA's CE Credit Qualification Criteria and Accepted Continuing Education Topics set forth below.

[Empty box for support documentation]

Section 4: Terms and Conditions

The CE Sponsor agrees to submit education programs for CE credit acceptance that comply with all IMCA continuing education criteria as set forth below. The acceptance of such documentation by IMCA does not constitute endorsement of education program(s) or any certificate or designation that is conferred as a result thereof.

IMCA reserves the right to conduct a program audit of the CE Sponsor at any time. CE Sponsor status or acceptance of specific education programs for CE credit can be revoked as determined by IMCA based on the audit.

IMCA Trademark Rights – IMCA is the owner of rights in the IMCA trademark and the CIMA/CIMC/CPWA designations (collectively "Marks") in certain jurisdictions. CE Sponsor shall use the Marks only in connection with educational programs accepted by IMCA for CE credit and only in the form and manner directed by IMCA.

Name (please print): _____

Signature: _____ Date: _____

Next Steps:

1. IMCA staff will email confirmation of application receipt to the Primary Contact on record within two business days.
2. Staff will process the application and email confirmation of acceptance as a CE Sponsor within 10 business days of receipt. At that time, a unique CE Sponsor ID number will be assigned and sent, along with instructions to submit education programs for CE credit acceptance that meet the criteria set forth below.

CE Credit Qualification Criteria

Education programs must meet the below criteria for CE credit qualification:

1. Program Development/Content

- a. Programs are developed and facilitated by persons qualified in the subject matter.
- b. Content is current, correct and related to CIMA®/ CIMC®/CPWA® certifications. A list of accepted topics is on page 5.
- c. Unacceptable content includes, but is not limited to: prep classes specific to a license or certification, such as FINRA or NASAA licensing exams; proprietary information; product presentations; normal business procedures (including due diligence meetings); client/public presentations or seminars.

2. Program Format

- a. Real-Time Delivery
 - i. May include, but is not limited to, live classroom environment; in-person seminars; teleconference calls; or live webinar formats
- b. Online Self-Study Programs or Publications
 - i. May include, but is not limited to, online self-paced modules; recorded webinars; or publications

3. Program Criteria

- a. Real-time delivery and self-study programs must feature a minimum of 50 minutes of educational programming for CE credit qualification. (Time for questions/answers or exam time is not included in the 50 minute minimum.)
- b. 50 minutes of education constitutes 1 credit hour; after the first credit hour, CE credit can be calculated in half-hour increments, rounded down to the nearest half hour.
 - i. If providing evidence of session time is not possible (i.e. in some online self-study programs or in publications), a scored quiz can be used as proof of completion.
 - ii. The quiz must consist of a minimum of 10 questions per hour of education and must be scored by the education provider. Evidence of satisfactory completion (70% or higher) is required for acceptance.

4. Program Records

- a. CE Sponsors must maintain record of the educational program and attendees for 4 years following the date of delivery.
- b. Records must include the following:
 - i. Date, location, and format of the program delivery
 - ii. Name(s) of presenter(s) or discussion leader(s)
 - iii. Outline of the program presentation(s) and/or materials
 - iv. List of IMCA certificants in attendance
 - v. Successful completion of examination (if applicable)

Continuing Education Topics

CIMA®, CIMC®, and CPWA® Certificants

Continuing education is a form of recertification and should be related directly to the knowledge, skills and abilities that are covered in the education and examination process. A summary of accepted CE topics for CIMA and CPWA certifications are listed below. Note this is not an exhaustive list. For more details, see the certification topics in the Candidate Handbooks for CIMA Certification and CPWA Certification at www.IMCA.org.

Accepted Education Topics

(please note this is not an exhaustive list)

TECHNICAL INVESTMENT MANAGEMENT

- Global Capital Market History and Valuation
- Applied Finance and Economics
- Applied Statistics and Data Interpretation
- Traditional and Alternative Investments
- Portfolio Performance and Risk Measurements
- Portfolio Theory
- Individual and Institutional Investment Policies
- Manager Selection
- Investment Analysis and Recommendations
- Investment Consulting Process (including client discovery, monitoring and portfolio review)

WEALTH MANAGEMENT

- Applied Behavioral Finance
- Family Dynamics
- Tax Strategies and Planning
- Portfolio Management
- Risk Management and Asset Protection
- Business Entities and Closely Held Business
- Executive Compensation Plans
- Retirement Planning
- Charitable Giving
- Estate Planning and Wealth Transfer

GOVERNANCE AND REGULATIONS

- IMCA *Code of Professional Responsibility*
- Ethics
- Applicable Regulations; Compliance and Legal Implications

SUPPLEMENTAL

- Building Your Business (if related to investment or wealth management)
- Leadership Programs (if related to investment or wealth management)

Topics and Submissions **Not** Accepted

(please note this is not an exhaustive list)

- Marketing skills and techniques
- Motivation programs
- Team building
- All FINRA, NASAA, insurance or other regulatory and licensing exams
- Proprietary information, products or services
- Normal business procedures
- Due diligence presentations/sessions
- Online courses without exams and passing grade
- Webcasts without proof of attendance/exams
- Client/public presentations or seminars
- Programs/sessions less than 50 minutes
- Tapes/CDs/DVDs
- Prep classes for licenses/certifications
- Self-published books
- Authorship of newspaper articles
- Non-peer reviewed journals
- Grading exams for other designations/certifications