ETHICS EVENT LOGISTICS INSTRUCTIONS

Technical Information for Virtual Course Attendees

Course Attendees: To ensure a successful course and to receive your CE credits, please read the information on these pages.

1. **The course is delivered live, in real-time** and consumes every minute of the 120 minutes found in a two-hour time period. No official break is planned. Bio breaks, standing, stretching, etc., are encouraged per participant as personally needed.

2. Be prepared to have your camera "on" and be visible in the Brady Bunch screen during the 2-hour session. Also be prepared to manage your "mute" function. The moderator may over-ride and mute any attendee who does not self-manage.

3. Because many internet download/upload speeds and broadband connections vary, you may want to consider using your cell phone or landline to dial in for audio connection, leaving your computer and broadband connection better able to complete a quality visual connection.

4. The interactive nature of this course is what makes an often dry topic and script far more palatable and consumable. Mentimeter is used throughout the course to increase the interactive response tools available to attendees. Learn more about Mentimeter and how to use it on the following page.

5. We recommend that you dial in/log in 10-15 minutes ahead of the course start time to check your video/audio connections, enter the Menti code, and ensure easy access to the resources and reference tools listed on page X of this document.

6. To verify attendance, a code word will be given out at the beginning and end of the course. **Within 48 hours of the course completion, all attendees must submit this form: Request for CE Credits** [or https://bit.ly/2Y7LQVx] **and enter all required information including the two code words.** This will trigger the logging of your CE Credits within 3 to 5 business days of submission. Direct questions to Marie@PremiumOrganization.com.

7. If you are a Non-CFP Professional who will require a Certificate of Completion, please submit the following form within 48 hours of the completion of the course: **Non CFP Certificate Request** [or https://bit.ly/3ld7NeR]

How to use Mentimeter
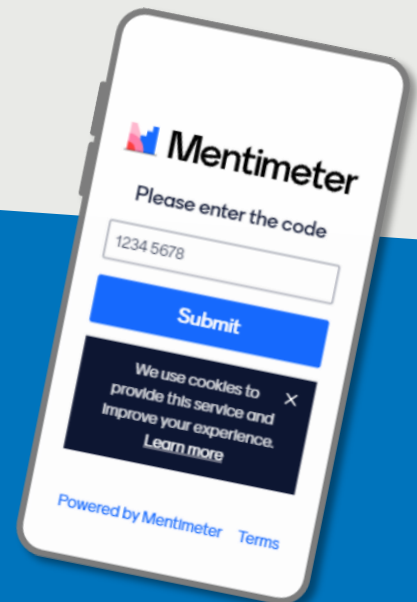
Mentimeter

You **ATTEND** Ethics in person or via the internet (eg: Zoom)

You ENGAGE and INTERACT through Mentimeter
via your smartphone or a separate laptop
or tablet, or by using a second or split
screen on your primary computer.

Mentimeter
Please enter the code

1234 5678

Submit

We use cookies to
provide this service and
improve your experience.
Learn more

Powered by Mentimeter   Terms

Go to:

https://Menti.com

And enter our group code (located at the top of the Shared
Screen and in the general meeting chat box)

1. NO Log Ins needed
2. NO Passwords to create
3. NO Subscriptions to avoid
4. NO Downloads required

No App is needed, but there is one if you prefer to use it.

Tips

1. **Embrace New Tools:** Using Mentimeter adds the potential of more real-time interaction, more relevant dialogue, and some competitive fun. *Potential or Actual?* That's up to you!

2. **Keep Perspective:** Some cell phones and internet connections are faster than others. If your device is slower, or your screen is smaller, don't be frustrated! Menti facilitates the exchange of large amounts of technical information in a visually appealing and interactive manner that continuously embraces input.

3. **Can this Software Help Your Team?** The continued adjustment to connecting in virtual environments means your team and clients are adapting, too. How could interactive tools like this improve your meetings?

Resources Used in this Course

Please these review prior to and have available during the course.

Master Page: https://www.cfp.net/ethics/compliance-resources

1. **Code of Ethics and Standards of Conduct** (yellow book):
   https://www.cfp.net/-/media/files/cfp-board/standards-and-ethics/cfp-code-and-standards.pdf

2. **RoadMap:**
   https://www.cfp.net/-/media/files/cfp-board/standards-and-ethics/roadmap-to-code-and-standards.pdf

3. **Duty to Report:**
   https://www.cfp.net/-/media/files/cfp-board/standards-and-ethics/cfp-board-duty-to-report-and-cooperate.pdf

4. **Financial Advice Compliance Checklist:**
   https://www.cfp.net/-/media/files/cfp-board/standards-and-ethics/Compliance-Resources/CFP-Board-Guidance-FA-Checklist.pdf

We recommend each attendee view the following videos either before or soon after completion of the class:

Understanding the Term "Fee Based"
https://www.cfp.net/ethics/compliance-resources/2019/02/understanding-the-term-fee-based

The Fiduciary Obligation
https://www.cfp.net/ethics/compliance-resources/2018/12/the-fiduciary-obligation

Integration Factors
https://www.cfp.net/ethics/compliance-resources/2019/05/integration-factors

What is Financial Planning?
https://www.cfp.net/ethics/compliance-resources/2019/05/what-is-financial-planning

Case Studies

The following case studies give additional information based on the course.

1. https://www.cfp.net/ethics/compliance-resources/2019/11/a-cfp-professional-firms-sales-related-compensation

2. https://www.cfp.net/ethics/compliance-resources/2019/11/applying-the-fiduciary-duty-to-client-instructions-that-conflict-with-the-duty-of-care

3. https://www.cfp.net/ethics/compliance-resources/2019/10/the-duty-to-follow-a-clients-instruction-to-use-a-specific-firm-for-execution

4. https://www.cfp.net/ethics/compliance-resources/2019/11/the-fiduciary-duty-and-an-a-share-class-recommendation

5. https://www.cfp.net/ethics/compliance-resources/2019/11/the-duty-to-disclose-and-manage-material-conflicts-of-interest-involving-proprietary-products

6. https://www.cfp.net/ethics/compliance-resources/2019/10/the-duty-to-disclose-material-conflicts-of-interest-when-recommending-a-product-issued

7. https://www.cfp.net/ethics/compliance-resources/2019/10/the-duty-to-disclose-material-conflicts-of-interest-when-responding-to-a-clients-investment-inquiry

8. https://www.cfp.net/ethics/compliance-resources/2019/10/the-duty-to-disclose-material-conflicts-of-interest-when-making-a-rollover-recommendation

9. https://www.cfp.net/ethics/compliance-resources/2020/07/case-study-interpreting-the-practice-standard-for-identifying-and-selecting-goals

10. https://www.cfp.net/ethics/compliance-resources/2020/07/case-study-interpreting-the-practice-standard-for-implementing-the-financial-planning-recommendation

11. https://www.cfp.net/ethics/compliance-resources/2019/11/the-delivery-of-firm-research-does-not-constitute-financial-advice

12. https://www.cfp.net/ethics/compliance-resources/2020/06/the-fiduciary-duty-to-obtain-factual-information