

CONTINUING EDUCATION CREDITS



CERTIFIED FINANCIAL PLANNERS

Certified Financial Planners may earn continuing education credits for enrollment in the Securities Industry Institute. The entire program has been submitted to the CFP Board of Standards for review. They have advised SIFMA which courses are eligible for CFP credits and the number of eligible credit hours for each session. The eligible courses are noted in the individual evaluation cards distributed in class. Those seeking CFP credit for appropriate sessions must sign the evaluation cards distributed in class, attesting to your attendance. A list of eligible courses and corresponding credit hours is available on the SIFMA website, www.sifma.org/institute.



CONTINUING LEGAL EDUCATION

SIFMA has been certified by the New York State Continuing Legal Education Board as an Accredited Provider of continuing legal education in the state of New York. A list of eligible courses and corresponding credit is available on the SIFMA website www.sifma.org/institute.

Participants seeking credit for appropriate sessions must sign in and sign out on the attendance cards for those sessions. Participants who do not sign out will not receive CLE credit.

The CFP Board of Standards has approved the below classes from the 2017 Securities Industry Institute®. All classes have an expiration date of 12/31/2017.

Year 1 Core/Flex-Core

Class	Professor	Credits Approved
Fundamentals of Market Returns	Dr. Jeremy Siegel, Ph.D./Jeremy Schwartz	1.50
History of Business	Paul Tiffany, Ph.D.	2.50
Modern Portfolio Theory	Jeffrey Jaffe, Ph.D.	1.50
Retirement Challenges	Olivia Mitchell, Ph.D.	1.50
Why Social Security Matters	Rob Kron	1.50

Year 2 Core/Flex-Core

Class	Professor	Credits Approved
Return of Stocks and Bonds	Dr. Jeremy J. Siegel/ Jeremy Schwartz	1.50
Emerging Regulatory Issues	Jesse Hill & Joan Schwartz	1.50
Emerging Regulatory Issues – Regulators	Peter Driscoll, Michael Rufino, Grace Vogel	1.50
Finance and Accounting for the Non-Financial Executive	Mary Kay Scucci, Ph.D., CPA	1.50
International Regulatory Landscape	Andy Blocker & Peter Matheson	1.50
A Mock Securities Arbitration*	Anne Cooney, Tracy Gerber, Michael Ungar	1.50

Year 3 Core/Flex-Core

Class	Professor	Credits Approved
Discussion with Jeremy Siegel	Dr. Jeremy J. Siegel/ Jeremy Schwartz	1.50
Emerging Regulatory Issues	Jesse Hill & Joan Schwartz	1.50
Emerging Regulatory Issues – Regulators	Peter Driscoll, Michael Rufino, Grace Vogel	1.50
International Regulatory Landscape	Andy Blocker & Peter Matheson	1.50
A Mock Securities Arbitration*	Anne Cooney, Tracy Gerber, Michael Ungar	1.50

Monday Electives (Year 2 & 3 only)

Class	Professor	Credits Approved
Taking the Mystery Out of the Derivatives Market	Krishan Ramaswamy	1.50

Wednesday Electives (All Years)

Class	Professor	Credits Approved
Central Banking in a Global Context	Peter Conti-Brown	1.50
Diversification or De-Worse-ification	Bryan Piskorowski	1.50
Emerging Markets	Candice Tse	1.50
Factor Based Investing	Chris Geczy	1.50
Fundamentals of Securities Operations	Thomas Gooley	1.50
China	Paul Tiffany, Ph.D.	1.50
Generating Cash Flow for Retirement	Bryan Piskorowski	1.50
Market Structure	Larry Leibowitz & TR Lazo	1.50
The Future of Money	Peter Conti-Brown	1.50
Taxes and Investing	Robert Gordon	1.50
The Global Economy in the Era of Trump	Paul Tiffany, Ph.D.	1.50
Womenomics	Candice Tse	1.50

**A Mock Securities Arbitration has been approved for CLE credit only.*