FINANCIAL PLANNER'S ETHICAL SUCCESS

CFP® Category: Ethics (under Financial Planning Institute, LLC –
CFP® Board Sponsor Number 2468 - Rattiner)

Jeffrey Rattiner, CPA, CFP®, MBA – September 29, 2020 12:00pm PT – 2:00pm ET

Course Description:
Financial Planner's Ethical Success ® provides a practical approach to learning the ethical standards of professional conduct and responsibility in an interactive format through the use of real-life scenario cases. This session will:

- Review the new learning objectives
- Determine the elements of fiduciary standards and when they apply
- Learn the revisions made to the Code which will became enforceable on June 30, 2020.
- Experience practical examples on how to apply these concepts
- Gain an understanding on the purpose of the Code and how it affects you as a CFP® professional
- Develop a re-understanding of the Code
- Determine how to act and react in abiding by the Code.
- Provide guidelines to help you determine if financial planning or financial advice are being provided
- Help you determine when to communicate potential conflicts of interest
- Explain compensation disclosure requirements to clients and potential clients

- Review, interpret, and apply the principles, rules, practice standards and other critical elements of the *Standards of Professional Conduct*

After this two-hour session, you will have a strong idea of the do's and don't's of working with your clients ethically.

CFP Board Ethics CE programs registered with CFP Board, under *Financial Planning Institute*, *LLC,* now must be designed to accomplish the following required learning objectives (LO).

Learning Objectives: *By the end of this session, attendees will be able to grasp the new learning objectives that became enforceable June 30, 2020.*

LO #1: Identify the structure and content of the revised Code and Standards, including significant changes and how the changes affect CFP® professionals.

LO #2: Act in accordance with CFP Board's fiduciary duty.

LO #3: Apply the Practice Standards when providing Financial Planning

LO #4: Provide the Client all required information.

LO #5: Recognize and avoid, or fully disclose and manage, Material Conflicts of Interest.

Jeff Rattiner Short Bio

Jeff Rattiner, CPA, CFP®, MBA is president of *Rattiner's Financial Planning Fast Track, Inc*. and *JR Financial Group, Inc.* Both companies provide training and consulting for financial advisors, CPAs, consumers, & the financial services industry.

Mr. Rattiner's has been educating financial advisors on how they can prepare for the CERTIFIED FINANCIAL PLANNER™ (CFP®) Certification Examination in a boot camp format through his nationally recognized and acclaimed "Rattiner's Financial Planning Fast Track®" (FPFT) program. FPFT has won critical acclaim as the cover story in the December 2001 issue of *Financial Planning Magazine* and the October 2009 issue of *The Register*. His lively and entertaining teaching style has served professionals well for over 31 years. His classes have been held at New York University, The American College, University of California, Metropolitan State College of Denver, The Ohio State University and Arizona State University, and at dozens of financial service companies. He was awarded the "1997 Distinguished Faculty Member-Teacher of the Year" by Community College of Denver. Rattiner also lectures for many of the largest CPA education providers nationwide.

Mr. Rattiner authored "Rattiner's Review for the CFP Certification Examination", "Rattiner's Financial Planner's Bible", and "Personal Financial Planning for Divorce" for John Wiley & Sons; "Getting Started as a Financial Planner" for Bloomberg Press; Financial Planning Answer Book for CCH; "Adding Personal Financial Planning to Your Practice" for American Management Association; & "Personal Financial Planning Library" for Harcourt Brace. He has been an editor for Personal Financial Planning and Financial Advisory Practice for Warren Gorham and LaMont, Financial Planning Digest for Harcourt Brace, Audio Financial Planning Report for Totaltape (Bisk) Publishing Company, Financial Planning Monthly Journal for Aspen Publications, The Planner for the AICPA, and was a columnist for Financial Planning and Financial Advisor magazines. *Jeff is releasing his new book called Rattiner's Secrets of Financial Planning published by Wiley in September 2020.*

A financial planning and tax practitioner in Arizona and Colorado, he has been the Director of Professional Development & Corporate Sponsorship for the Institute of Certified Financial Planners (ICFP), was employed as the Director of Technical Standards for the Certified Financial Planner Board of Standards (CFP Board), and employed as Technical Manager in the Personal Financial Planning (PFP) Division of the American Institute of Certified Public Accountants (AICPA) in New York City.

This course is being offered exclusively through the FPA of Oregon & SW Washington.

To register to attend, please visit fpa-or.org.