

Wealth Management Learning Solutions

Creating a wealth management culture at every level

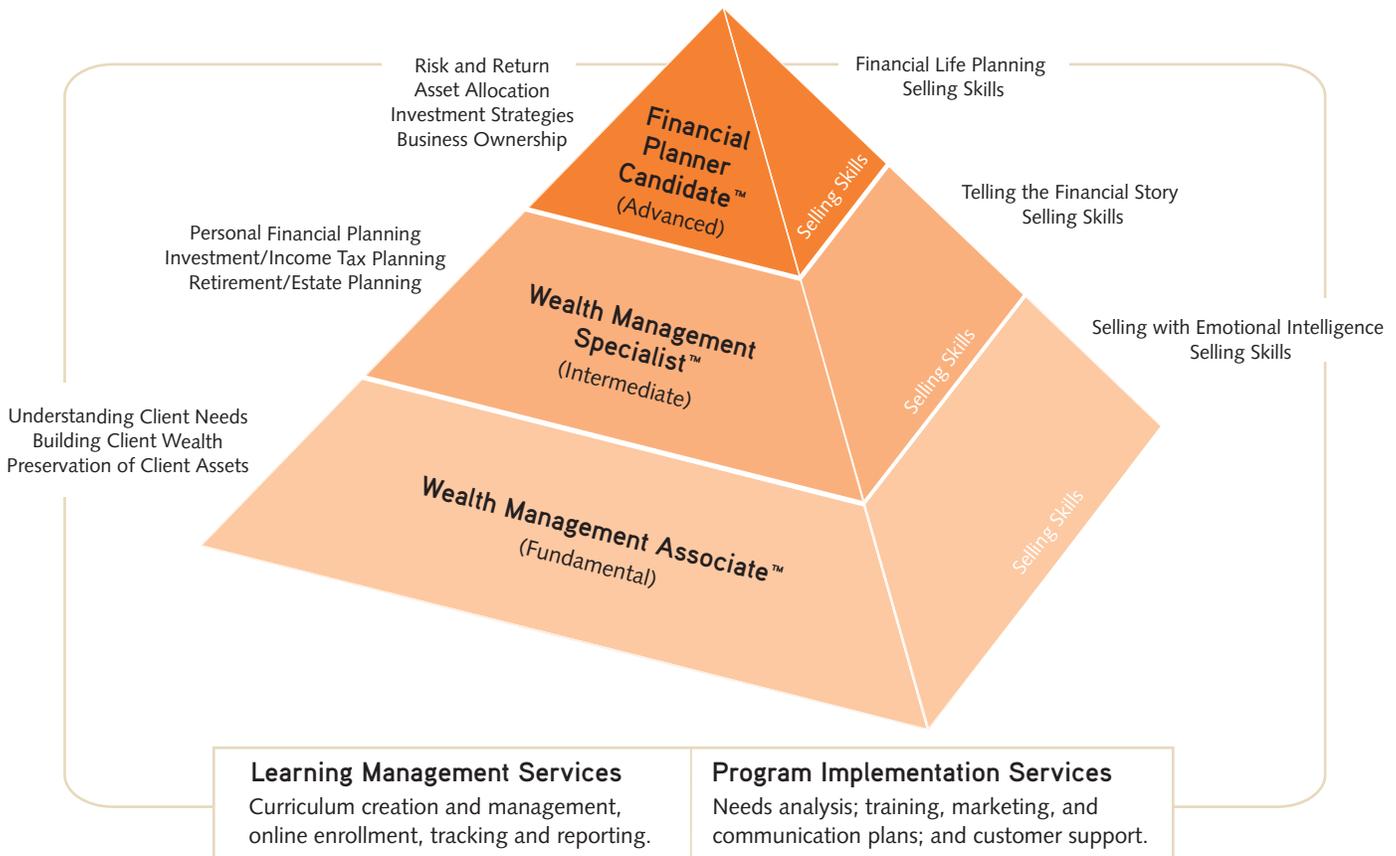
Offered by Kaplan University and Dearborn



Wealth Management Learning Solutions

Kaplan University and Dearborn’s solution integrates skill-based curriculums with learning management and program services to offer a single source for wealth management learning.

This unique program empowers organizations to align the skills and knowledge of their employees with the organization’s strategic goal of creating a wealth management culture.



The program includes wealth management curriculum options for learners at all skill levels, live selling skills classes that teach how to apply the concepts in real life situations, and learning management and program implementation services. Offer employees an excellent career path while creating a wealth management culture at every level.



Multi-Skill Level Curriculums

Introductory Level: Wealth Management Associate™

Dearborn offers a Wealth Management Associate program that is your first step toward creating an enterprise-wide wealth management culture. This unique program incorporates online courses with a live selling skills class and is designed for entry-level or less experienced associates who will benefit from a broad understanding of wealth management products, concepts, and applications.

Intermediate Level: Wealth Management Specialist™

This innovative program incorporates an online course with a live selling skills class and is a perfect stepping stone to the prestigious CFP® certification. The program focuses on helping financial advisors and support staff build a strong foundation in the fundamentals of wealth accumulation and management for high net worth individuals.

Advanced Level: Financial Planner Candidate™

For those individuals interested in achieving the pinnacle of wealth management expertise, Kaplan University, through Dearborn, offers the Financial Planner Candidate program. This program incorporates Kaplan University's CFP Board-Registered Education Program, advanced selling skills class, and a leading exam preparation class to prepare individuals to sit for and pass the prestigious CFP® Certification Examination.¹

We offer this advanced program in 2 different formats. Depending upon your learning style, choose from our 9-month accelerated program that blends self-study and classroom learning, or the self-paced program delivered in an online format that takes approximately 18–24 months to complete.





Wealth Management Associate™

Dearborn offers a Wealth Management Associate program that is your first step toward creating an enterprise-wide wealth management culture. This unique program provides a broad and basic understanding of wealth management products, concepts, and applications.

Implementing the Wealth Management Associate program will help your organization:

- › build a customer-focused support staff with basic wealth management knowledge and skills;
- › increase the quality and quantity of sales leads and referrals; and
- › create a wealth management culture.

The Ideal Participant

This program is appropriate for those whose jobs or responsibilities require a general understanding of wealth management and the financial planning process. Clerical staff, administrative assistants, sales assistants, and other support staff are ideal candidates for this program.

Curriculum Overview

This blended program consists of 5 online courses and an optional beginner-level selling skills class, and is designed to provide introductory level coverage of financial planning concepts and selling skills techniques.

Online Courses

- › **Course 1:** The Language of Investing
- › **Course 2:** Life Insurance in Action
- › **Course 3:** Understanding Client Needs
- › **Course 4:** Building Client Wealth
- › **Course 5:** Preservation of Client Assets

Classroom Selling Skills Course

- › **Selling with Emotional Intelligence**
This class helps professionals understand the art of selling by explaining the soft science that underpins effective relationship building in advisor/customer associations.

“Build a wealth management culture from the ground up.”



Wealth Management Specialist™

Build a strong foundation in the fundamentals of wealth accumulation and management for high net worth individuals with Dearborn's online Wealth Management Specialist designation program. This robust program gives learners a substantial overview of the most critical concepts in financial planning and wealth management without the rigor of preparing for the CFP® Certification Examination.

Implementing the Wealth Management Specialist program will help your organization:

- › build the knowledge and skills to better service your client's full range of financial needs;
- › increase cross-selling and up-selling; and
- › save time and money with a highly focused 3-month program.

The Ideal Participant

The Wealth Management Specialist program is ideal for persons that are involved with customer transactions and recommendations of all financial services products. It is appropriate for new hires not yet ready for a more comprehensive designation program, high-level platform personnel, and sales assistants.

Curriculum Overview

This robust program is comprised of 1 online course with 10 lessons and an intermediate level selling skills class. The program gives learners a substantial overview of the most critical concepts in financial planning and wealth management without the rigor of a designation program.

Upon completion, learners will be versatile and accomplished in the field of financial planning. They will also be better equipped to provide sound advice and insight about the best investment choices to help your customers achieve their financial life goals.





Online Courses

- › **Lesson 1:** Fundamental Considerations in the Wealth Management Process
- › **Lesson 2:** Time Value of Money Principles
- › **Lesson 3:** Measurement of Risk and Return
- › **Lesson 4:** Asset Allocation Process
- › **Lesson 5:** Investment Strategies
- › **Lesson 6:** Taxation of Investments
- › **Lesson 7:** Insurance Products in Wealth Management
- › **Lesson 8:** Business Ownership and Planning
- › **Lesson 9:** Retirement Planning Considerations
- › **Lesson 10:** Estate Planning Considerations

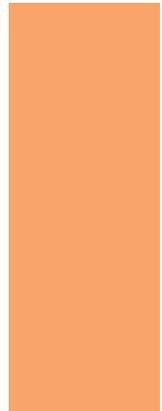
Classroom Selling Skills Course

› **Telling the Financial Story**

Research has proven that the most effective way to engage customers is by using similes, metaphors, anecdotes, and illustrations. Understanding the process of asking open-ended questions and listening intently to customer's stories and histories are critical to getting the insights necessary to establish deep human connections. This course helps professionals develop these skills.

Earn the Wealth Management Specialist™ Designation

Learners who successfully complete the program will be awarded the Wealth Management Specialist designation and will have earned the right to use this designation in their professional correspondence, including business cards and letterhead. Wealth Management Specialist graduates will be exempt from FP101, Fundamentals of Personal Financial Planning, if they choose to go onto a designation program.





Financial Planner Candidate™

For professionals interested in financial planning, Dearborn offers Kaplan University's online and accelerated classroom-based program that provides the educational foundation to sit for the prestigious CFP® Certification Examination.

Implementing our Financial Planner Candidate program will help your organization:

- › expand current client portfolios;
- › acquire and retain clients for life;
- › increase sales activity levels; and
- › build assets under management.

The Ideal Participant

Ideal candidates for the Financial Planner Candidate program are investment or insurance professionals who seek to differentiate themselves from the myriad of other product providers with a high-level industry designation. These professionals recognize the need to gain higher levels of technical and practical expertise in their field to provide top quality service, and are committed to upholding the ethical and quality standards of the profession.

Curriculum Overview

This comprehensive program is comprised of 6 courses and 2 optional classroom components: the Live Review Course², and the advanced selling skills course *Financial Life Planning*.

Courses

- › **FP101:** Fundamentals of Personal Financial Planning
- › **FP102:** Insurance and Employee Benefits
- › **FP103:** Investment Planning
- › **FP104:** Income Tax Planning
- › **FP105:** Planning for Retirement
- › **FP106:** Estate Planning

Classroom

- › Live Review Course
- › Financial Life Planning Selling Skills Course

Program Options

There are 2 delivery methods for learners enrolled in the Financial Planner Candidate Program: The Accelerated Certificate in Financial Planning, a unique blend of self-study (online or textbook) and classroom courses that prepare students to sit for the CFP® Certification Examination in just 9 months; and the Online Certificate in Financial Planning, a self-paced online program that typically takes 12–18 months to complete.



“Differentiate your organization.”



Program Descriptions

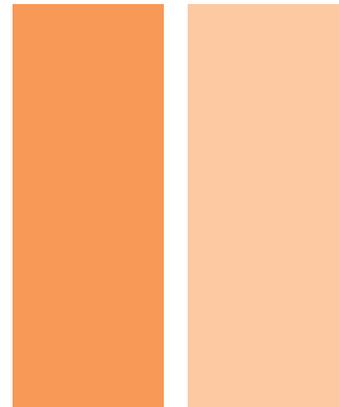
Accelerated Certificate in Financial Planning

The Accelerated Certificate in Financial Planning course offers a unique blend of self-study and classroom instruction to prepare financial services professionals to sit for the CFP® Certification Examination in just 9 months. The program consists of 6 modules, and there is required pre-study and a 3½-day or 4½-day class for each of the 6 modules. The program lasts 9 months and is divided into 6 classroom sessions with approximately 6 weeks of required pre-study before each class.

Online Certificate in Financial Planning

The Online Certificate in Financial Planning helps financial services professionals successfully complete the educational requirement and prepare for the exam in 12–18 months. The convenient online delivery makes it easy to fit financial planning instruction into the learner's schedule. The program consists of 6 online courses, each with 10 lessons. There is 1 quiz per lesson and an online final exam at the end of each course. The program also includes a simulation of the CFP® Certification Examination.

Course modules contain case-oriented examinations, web-based field trips, and opportunities for progress assessments through exams and other types of exercises.





Live Review Course

The Live Review Course is an intensive classroom review of the tested topics on the CFP® Certification Examination, and is designed to fully prepare students to sit for the examination. The program consists of 5 days of classroom instruction, pre-study material, and a classroom notebook.

Our program includes course materials designed and continuously updated by renowned financial planning expert Ken Zahn. Dearborn instructors are also Zahn certified.

Classroom Selling Skills Course

› Financial Life Planning

This class, written and developed by Mitch Anthony, focuses on tapping into the customer's desire to use their money to make a life rather than use their lives to make money. The course introduces the student to the financial life planning process and allows them to complete and discuss a number of the practice tools in a classroom setting. The goal of the class is to teach learners to help clients identify their life transitions, goals, and money principles and to align their financial decisions with their life goals.

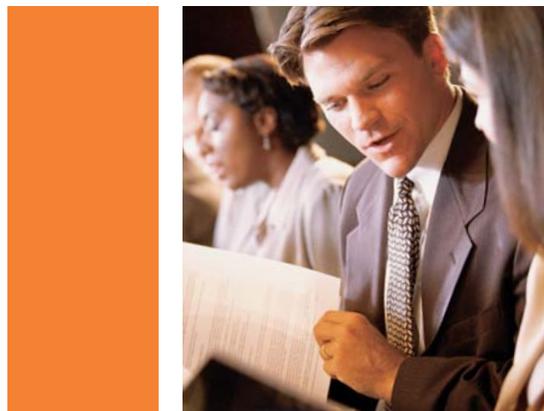
Ken Zahn, CFP®

- › Renowned financial planning educator and CFP® Certification Examination review expert
- › 19-year history of teaching CFP Board-Registered Programs
- › Facilitator of CFP® Certification Examination Live Review Courses since February, 1995—a total of 26 exam cycles



Mitch Anthony, best-selling author, founder, and president of Advisor Insights, Inc.

- › A recognized leader, author, and industry practitioner
- › Provided an estimated 2,500 presentations to corporations worldwide over the past 20 years on sales training and how to put the customer first





Why choose our Wealth Management Solution?

› **Leading content, faculty, and instructors**

The faculty team is led by Keith Fevurly and Ken Zahn, both renowned financial planning experts. Our instructors are CFP® certificants and financial professionals who are experienced, dedicated, and well-regarded for their insight into business and finance trends.

› **Offered in partnership with Kaplan University, an accredited educational institution**

Kaplan University was originally established as the American Institute of Commerce in 1937. Throughout its history, Kaplan University, a regionally accredited institution, has provided ongoing professional education using a practical, real-world approach that has helped make it a leader in the field.

› **Blended programs offer an excellent learning experience**

The programs offer an innovative blend of online and classroom instruction and are designed for the professional learner. The curriculum focuses on building knowledge, comprehension, and real world experience through application, analysis, and case evaluation. Learners have the flexibility to study when and where they want.

› **Excellent student support to help students focus on their learning goals**

Instructors and a content team are available to answer content questions by phone or email. Students can contact our customer service representatives by email or telephone for technical and administrative questions.

Keith Fevurly, CFP®, MBA, JD, LLM

- › Executive Director for Kaplan University's Financial Planning Education Program
- › Educating financial planners for over 15 years
- › Business experience in private, public, and government organizations
- › Renowned financial planning educator and CFP® Certification review expert

› **Earn Continuing Education credits**

The Online Certificate in Financial Planning and Accelerated Certificate in Financial Planning are approved for continuing education by Certified Financial Planner Board of Standards, Inc., and the National Association of State Boards of Accountancy (NASBA).

› **Quick return on your investment**

The program can be completed in less than half the time of most other programs. This short completion time helps ensure a quick return on your education investment.





Wealth Management Program Services

Maximize the value of your learning investment

The wealth management offering is supported by web-based learning management and program implementation services that help ensure that you maximize the value of your learning investment.

Learning Management Services

The Learning Management Services enable organizations to streamline the implementation and management of numerous components: curriculum creation and management, program administration, and tracking and reporting. It is all online so you can readily access data and reports anytime, anywhere.

Curriculum Creation and Management Tools

We give organizations unmatched power and flexibility in curriculum design and management. Organizations can design the curriculum that best meets the needs of their varied business groups.

Unique features include:

- > a customized educational catalog that includes only the courses you specify;
- > Learning Management System (LMS) integration options that offer the flexibility to run courses on your LMS or Dearborn's Learning Manager;
- > ability to specify mandatory/ elective programs and completion deadlines;
- > automatic posting of course results; and
- > course updates.





Program Administration

Our system gives administrators a central control system. Keep track of a myriad of administrative details in a consolidated, centralized location. In addition, it is easy to use, available anytime, and access is secure.

Program administration tools provide:

- › secure access to all program information;
- › multi-level security options;
- › easy online ordering and fulfillment;
- › a single site for management of learner and company information;
- › discounts automatically applied to all transactions; and
- › management of transactions by cost center.

Tracking and Reporting Services

We offer online tracking and reporting services that enable administrators and learners to track program progress easily, in one place. Included in the administrative feature set is an extensive array of individual and organizational reports. These robust reports are available to monitor the status and progress of each learner so administrators can anticipate problems before they arise.

The systems provides:

- › reporting of all orders, enrollments, and certificates issued;
- › detailed course completion status; and
- › integration of other learning initiatives, such as firm element and insurance continuing education, into one set of reports.

“Grow your clients’ wealth and your assets under management.”



Program Implementation Services

Defining Success

As part of your program, our team of experts will work with you and your staff to define program success factors. Integrating these factors and associated criteria will help your organization measure and manage the return you are getting from your learning investment.

› **Expected results**

Increase assets on a firm and per client basis.

› **Employee knowledge**

Raise the bar in terms of today's sophisticated customer.

› **Time to execute**

Our diligence in managing the program will provide you with measurable results within your timeframe.

› **Tools to execute**

Top quality content. Flexibility of the program. Reports to measure progress.

› **Individual accountability**

Through our structured program and monitoring we keep you informed and keep your learners motivated and on track.

› **Management support**

Program management and technology.

› **Client acceptance and internal communications**

We communicate the program and can help develop your internal marketing plan for the success of the program.

› **Internal stakeholders**

You communicate significant events through the program with flyers, pamphlets, and electronic messages.

› **Supporting business processes**

We can customize elements in the program to specifically reflect your unique internal methodology and culture by wrapping training around other internal programs.

› **Role/job alignments to use new skills**

We design the program to properly align the appropriate technological concepts and skills with the level of your learners and their customers.





Customer Needs Analysis

Our team of experts has more than 50 years of collective experience in developing top quality, effective learning programs. The first step in the process is to work collaboratively with you to define program success factors and desired results. We then analyze the current situation and identify gaps. Our subject matter experts distill collected information to work in partnership with our instructional design and technology teams to create a needs analysis that addresses the unique needs and goals of your organization.

Job Function-Specific Training Recommendation

The needs analysis forms the foundation for your training recommendation. We will provide a plan that identifies goals and program recommendations by learner groups. Our in-house experts, supported by Dearborn's excellent learning and industry resources, formulate appropriate course topics, content, and course design to satisfy your business objectives and training needs. The program also includes individual study calendars that help learners proactively manage program milestones to ensure successful completion.

Marketing and Communication

Dearborn's full service marketing team is available to help develop and implement an integrated marketing and communication plan designed to focus on initial launch activities, build momentum throughout the life of the program, and ensure program adoption.

Our capabilities include:

- > strategizing with customers about their programs, objectives, and target markets to develop plans to meet the needs of each business group;
- > developing a communication plan to educate users about your programs;
- > creating customizable, co-branded promotional pieces like welcome letters, postcards, brochures, and envelope stuffers to increase program awareness; and
- > implementing usage-building programs which encourage agents or representatives to take advantage of the benefits of your wealth management program.

Are you maximizing the value of your Wealth Management program?
Call 1-800-824-8742 today for more information.



Learner and Company Support Resources

› **Dedicated Account Teams**

Dearborn customers are partnered with a dedicated account team with representatives from our sales, operations, and support divisions. These teams help ensure that customers receive quality solutions tailored to their needs and excellent customer support.

› **Program Managers**

The Program Management group consults with client stakeholders in defining business needs and program strategies. The Program Managers are responsible for overall customer project management including the details of contracts and coordination of all internal Dearborn resources required for successful implementation.

Working with your Dearborn Account Representative, Program Managers oversee all aspects of the setup to ensure a smooth and seamless launch of your training solution. The team also shares industry best practices and helps you develop effective marketing programs.

› **Experienced Faculty**

Dearborn's faculty collectively has over a century of experience creating and delivering learning programs for financial services organizations and professionals. Ken Zahn and Keith Fevurly, both renowned financial planning experts, assure cutting edge quality content and instructor presentation.

Our instructors are CFP® certificants and financial professionals who are experienced, dedicated, and well-regarded for their insight into business and finance trends. We ensure that each member of the team has a deep understanding of the nuances and requirements of the industry.

› **National Customer Care Center**

We support our corporate customers and students with a national customer care center open Monday through Friday from 7:00 am to 7:00 pm CT. Dearborn's client services specialists are rigorously trained so they are well-versed in products and related materials and can make knowledgeable recommendations based on your individual needs. We can also provide several multilingual specialists.

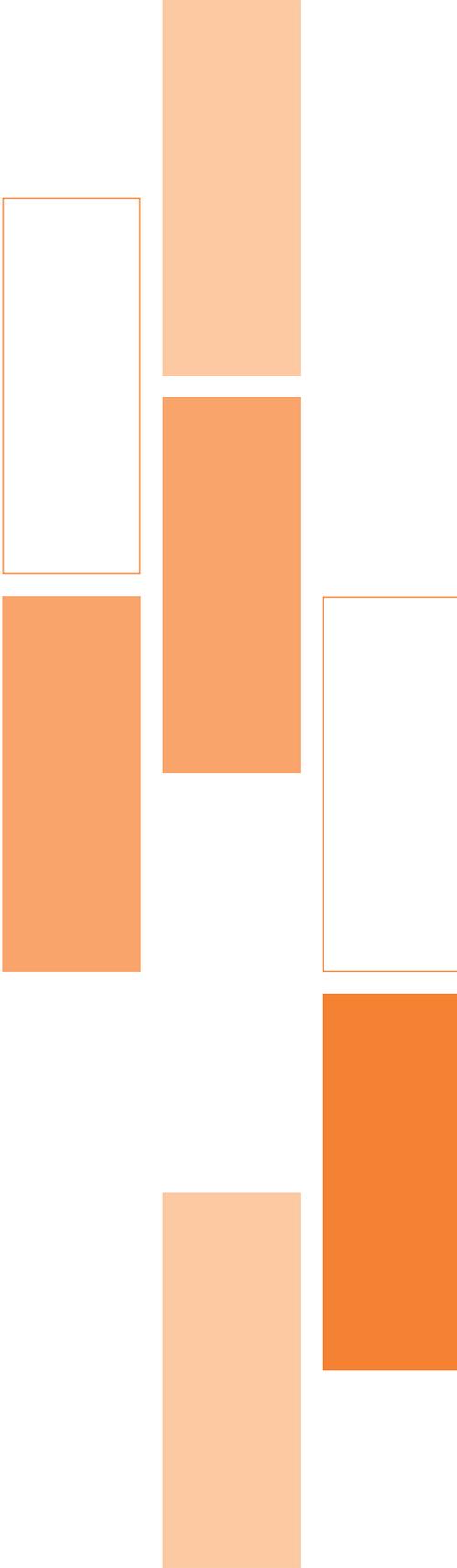
› **Nationwide Classroom Network**

Dearborn's nationwide classroom network is centered around 8 regional offices, each of which is dedicated to ensuring a quality educational experience for every student. Each of our regions has a dedicated local staff to support student needs; clean, professional facilities with the latest student amenities; and experienced instructors who both teach and mentor students. Our programs are developed with national best-practices standards, so students can be assured they receive consistent, quality training wherever they take a class.



Tuition

Corporate and individual programs are available. Call 1-800-824-8742 today.



Dearborn

Dearborn, a Kaplan Professional Company, is a leading provider of integrated learning and compliance solutions to the financial services industry. Dearborn offers a comprehensive library of courses designed to meet regulator-mandated requirements; professional development programs for certificates and designations, finance, selling skills, and business management; and enterprise learning management and compliance services.

For more than 80 years, Dearborn has worked with top insurance companies, securities firms, and banks to offer quality solutions that maximize investments in learning, boost productivity, and minimize risk.

Kaplan University

Kaplan University was originally the American Institute of Commerce, founded in 1937. The University is a regionally accredited institution with more than 60 years of experience offering top-quality educational programs in a variety of areas, including business, case management, information technology, financial planning, life care planning, forensic nursing, legal nurse consulting, criminal justice, and paralegal studies.

Through the changing times, the institution has achieved its goals and recognition in professional education by keeping abreast of workplace needs, utilizing innovative teaching methods, and providing a myriad of educational resources.

As part of the Kaplan, Inc. family of companies, Kaplan University continues to provide students and graduates with the benefit of the fine tradition of this esteemed institution.

Kaplan University is owned by the Kaplan Higher Education Corporation, a division of Kaplan, Inc., a wholly owned subsidiary of The Washington Post Company.

Dearborn[™]
Financial Services
A Kaplan Professional Company



¹ Certified Financial Planner Board of Standards Inc. owns the marks CFP®, CERTIFIED FINANCIAL PLANNER™ and  which it awards to individuals who successfully complete initial and ongoing certification requirements.

Kaplan University does not certify individuals to use the CFP®, CERTIFIED FINANCIAL PLANNER™ and  certification marks. CFP certification is granted only by Certified Financial Planner Board of Standards Inc. to those persons who, in addition to completing an educational requirement such as this CFP Board-Registered Program, have met its ethics, experience, and examination requirements.

² Dearborn Financial Services and Kaplan University are a review course provider for the CFP® Certification Examination administered by Certified Financial Planner Board of Standards Inc. CFP Board does not endorse any review course or receive financial remuneration from review course providers.