



# APPLICATION FOR THE RFC DESIGNATION

Financial Planning Building  
2507 North Verity Parkway  
Post Office Box 42506  
Middletown, OH 45042-0506

**Phone: 800 532 9060**

	2005	2006
Annual Membership:	<b>\$100</b>	<b>\$150</b>
Application (one time)	<b>\$75</b>	<b>\$45</b>
Total First Year Fee:	<b>\$175</b>	<b>\$195</b>

INFORMATION PROVIDED	
	Registration Payment or Credit Card
	Education Information Completed
	License Information Completed
	RIA Information Completed
	Is the RFC Exam Required?
Approved by:	Date:

**E-mail: Director@IARFC.org**

Your Name: \_\_\_\_\_  
(Exactly as you want it to appear on your full-sized 16 x 20 RFC Membership Certificate, excluding degrees or other designations)

Mr.  Mrs.  Ms.  Other: \_\_\_\_\_ Your Preferred Salutation/Nickname (i.e. "Bill") \_\_\_\_\_

Check Enclosed \$ \_\_\_\_\_  Credit Card No. \_\_\_\_\_ Expires: \_\_\_\_\_

Name of Business: \_\_\_\_\_

Street: \_\_\_\_\_ Phone: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Code: \_\_\_\_\_ Fax: \_\_\_\_\_

Residence Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Code: \_\_\_\_\_ Res. Phone: \_\_\_\_\_

Birthdate: \_\_\_\_\_ ID / Soc. Sec. # \_\_\_\_\_ E-Mail: \_\_\_\_\_

IARFC Sponsor, if any: \_\_\_\_\_ Website URL: \_\_\_\_\_

### Your Educational Background (Since High School)

NAME AND ADDRESS OF INSTITUTION	LOCATION	FROM MO/YEAR	TO MO/YEAR	COURSE OR MAJOR	GRADUATE?	DEGREE

NASD Member Firm (if any): \_\_\_\_\_

Securities Licenses:  Series 7  Series 6, 22 or 62  Series 24  Series 27  Series 65  Other \_\_\_\_\_

Insurance Licenses:  Life  Health  Variable Contracts  Prop. & Casualty  Other \_\_\_\_\_

Affiliated with a SEC Registered Investment Advisor (RIA)? \_\_\_\_\_ Name of RIA: \_\_\_\_\_

Designations:  AAMS  AEP  CEP  CFA  CFP  ChFC  ChFE  CLU  CPA  CPA/PFS  CRFA  CSA  EA

FSS  JD/LLB  LLM  LUTCF  MBA  MS  MSFS  MSFM  Ph.D.  RFP  Other \_\_\_\_\_

Financial Services Education:  RFC Planning Process Course, held at: \_\_\_\_\_ Date Completed: \_\_\_\_\_

CFP Prep Course at: \_\_\_\_\_  Other Courses: \_\_\_\_\_

Financial Services Experience: Number of Years engaged as a practitioner in the field of financial planning:  Full time \_\_\_\_\_  Part time \_\_\_\_\_

Non-Licensed: If you have never obtained an insurance or securities license, please explain how you currently provide financial planning (RIA, etc.)

\_\_\_\_\_  
\_\_\_\_\_

*Please see the questions and signature requirements on the reverse side.*

PLEASE CUT

## QUESTIONS RELATING TO BUSINESS AND ETHICAL CONDUCT

- Have you ever been refused a surety bond or other form of employment security? ..... Yes  No
- Have you ever been denied or enjoined from selling or dealing in securities or from functioning as an Investment Advisor? ..... Yes  No
- Have you ever been arrested, indicted, or convicted for any felony or misdemeanor, except for minor traffic offenses? ..... Yes  No
- Have you ever been known personally by any other name, or have you ever conducted financial activities, conducted business or carried brokerage or bank accounts in any other name? ..... Yes  No
- Have you ever become insolvent, failed in business or compromised with creditors? If "Yes" – please provide the date, name and location of court, disposition, liabilities, and assets. .... Yes  No
- Have you ever had a license, permit, certificate, registration or membership denied, suspended, revoked or restricted, or have you had an application of such type ever withdrawn for cause? ..... Yes  No
- Have you ever been the subject of any order, judgement, decree or other sanction of a foreign court, foreign exchange, or have you ever been the subject of any action by a foreign or domestic governmental or regulatory agency? ..... Yes  No

**IF THE ANSWER TO ANY OF THE ABOVE QUESTIONS IS "YES", PLEASE ATTACH A WRITTEN EXPLANATION.**

### THE FOLLOWING SHOULD BE READ VERY CAREFULLY BY THE APPLICANT

1. I hereby certify that I have read and understand the foregoing statements and that my responses are true and complete to the best of my knowledge.
2. I hereby apply for IARFC registration and, in consideration of my application, I submit myself to the jurisdiction of such organization and hereby verify that I agree to abide by all the provisions of the bylaws and regulations of the organization as they are and may be amended; and I agree to comply with all such requirements and penalties and limitations, subject to right of appeal as provided by law, and I agree that any decision as to the result of any examination(s) that I may be required to pass or annual CE requirements will be accepted by me as final.
3. I further agree that neither the association nor its officers, employees, and others acting on its behalf, shall be liable to me for action taken or omitted to be taken in official capacity or in the scope of employment, except as otherwise provided in the statutes, bylaws, or the association's rules and regulations.
4. I authorize the organization to make available to any federal, state or municipal agency, or any securities or commodities industry self-regulatory organization, any information they may have concerning me or to request confirmation of my status, and I release those organizations, employees and agents, from any and all liability of whatever nature by reason of furnishing such information.
5. I further agree that any part of the information contained in this application and any subsequent documents in my IARFC registration file may be divulged to interested parties as part of the referral system maintained by the Association for the benefit of members and the public.
6. I hereby certify that I have a sound record of business integrity with no suspension or revocation of any professional licenses, and I hereby subscribe to the IARFC Code of Ethics, a copy of which I have read and understand.
7. It is agreed and understood that any material misrepresentation of facts or information given in this or subsequent application or renewal will be cause for immediate revocation of membership and all its privileges, without refund of any dues or fees paid.
8. I agree to maintain proficiency in my work by completing a minimum of forty (40) units per year of continuing education in the field of financial planning and counseling - which can include subjects relating to practice management or financial product application.
9. As an applicant for registration, I understand and agree that my registration with the IARFC will not become effective until submission of all required documentation in proper order and upon written acceptance by the IARFC.
10. I understand that all IARFC certificates remain the property of the Association and must be destroyed or returned to the Association at my expense should my membership or the right to display the designation and certificate be suspended, revoked or terminated for any reason.
11. I understand that continuation of the RFC designation requires 40 hours of CE, which will not commence until the first of the following calendar year.

SIGNATURE OF THE APPLICANT	DATE	SIGNATURE OF A
WITNESS		

How did you learn about the RFC:  Website  E-Mail  Direct Mail  Referral  Conference  Other \_\_\_\_\_

Please recommend an associate or colleague for RFC: \_\_\_\_\_

**IMPORTANT:** Evidence of license, diploma or similar documents may be requested. **However, you need not submit evidence with your application.**

1. Applicant must have earned a baccalaureate or graduate degree, with strong emphasis on subjects relating to economics, accounting, business, statistics, finance, investments, and similar studies, **OR** one of the following degrees or professional designations: AAMS, AEP, CEP, CFA, CFP, ChFC, ChFE, CLU, CPA, CPA/PFS, EA, FSS, LUTCF, MSFS, MS, MBA, RFP, JD, LLB, LLM, Ph.D. or completed a CFP equivalent or IARFC approved college curriculum at an accredited college or university. If one of the above has not been completed, RFC qualifying examination and educational programs are available.
2. Application must have met licensing requirements for securities and life & health insurance **OR**
3. Applicants who are fee-only planners or advisors, or who work within a financial institution and are not licensed to sell products, must submit RIA affiliation information **OR** a short written explanation of how they deliver services to clients.

**NOTE:** Licensing requirements are solely to establish an applicant's proficiency where financial advisors should be knowledgeable. It is not required that an RFC sell a product or maintain licenses or other designations. The Association is compensation neutral - regarding fees, commissions, salary or bonus.