



## LEADERS IN THE ESTATE PLANNING COMMUNITY

### ACCREDITED ESTATE PLANNER® DESIGNATION – *EXCELLENCE in ESTATE PLANNING THROUGH COLLABORATION*

The Accredited Estate Planner® (AEP®) designation is a graduate level, multi-disciplinary specialization in estate planning, obtained in addition to already recognized professional credentials within the various disciplines of estate planning. It is awarded by the National Association of Estate Planners & Councils (NAEPC) to recognize estate planning professionals who meet stringent requirements of experience, knowledge, education, professional reputation, and character, and who commit to the team concept of estate planning. As part of NAEPC's advocacy program, designation holders will be given priority in requests for referrals within each professional discipline that result from NAEPC promotion and advertising campaigns. In addition, NAEPC promotion and advertising will prominently feature the AEP® designation and the advantages of working with a professional who holds this special accreditation.

### QUALIFICATIONS & REQUIREMENTS FOR APPLICANTS WITH MINIMUM FIVE (5) YEARS OF EXPERIENCE

An **ACCREDITED ESTATE PLANNER®** applicant must meet **ALL** of the following requirements as established by the National Association of Estate Planners & Councils:

1. **Credential requirement.** To be eligible to be considered for the AEP® designation, the applicant must provide documentation of holding one or more of the following credentials and/or degrees in active status and good standing: Juris Doctor (JD) or active law license if practicing law; Accredited Trust Fiduciary Advisor (ATFA); Certified Public Accountant (CPA); Chartered Life Underwriter® (CLU®); Chartered Financial Consultant® (ChFC®); Certified Financial Planner® (CFP®); Chartered Financial Analyst (CFA); Certified Private Wealth Advisor® (CPWA®); Chartered Advisor in Philanthropy® (CAP®); Certified Specialist in Planned Giving (CSPG); or Certified Trust & Fiduciary Advisor (CTFA) in any jurisdiction of the United States of America. Applicants who hold the Master of Science in Financial Services (MSFS) through The American College meet the credential requirement. Lastly, applicants who hold a Master of Science in Taxation (MST) may meet the credential requirement; however, specific criteria pertain to this degree and must be pre-approved by NAEPC staff before submitting application.
2. **Professional discipline engaged in estate planning requirement.** The applicant must be presently and significantly engaged in “estate planning activities” as an attorney, an accountant, an insurance/financial planning professional, a philanthropic professional, or a trust professional

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**devoting at least a third of one's time to estate planning and estate planning related activities.** To assist in determining the percentage of time, please review the definition of estate planning below followed by a description of discrete activities determined by the NAEPC to be eligible and relevant activities for purposes of this application.

Estate planning encompasses the purposeful accumulation, conservation, preservation, and transfer of an estate by establishing clear goals and objectives through planning and implementation of an estate plan. The overall purpose of the estate planning process is to develop a plan that will promote and achieve the estate planning goals, values, and objectives of individuals and their families and to carry out their charitable goals, if any. Estate planning has come to include and mean lifetime planning that leads to creation, conservation, and transfer of assets. Estate planning should also facilitate the intended and orderly transfer of property at death, taking into consideration the family unit and the potential costs of different methods.

Qualifying estate planning activities for the AEP® designation include but are NOT limited to the following:

**1. Estates and Trusts – Planning and Administration**

- a. Designing, drafting, communicating (to internal partners, clients, or outside professionals), or implementing an estate plan.
- b. Leading clients through a discovery process to determine the ultimate purpose for their wealth and developing a plan to reach their (and their family's) purpose for it.
- c. Participating in the probate process.
- d. Administering estates and trusts and advising fiduciaries, beneficiaries, and other persons in the estate and administration process.
- e. Fiduciary litigation.

**2. Insurance in Estate Planning and Administration**

- a. Reviewing, communicating (to internal partners, clients, or outside professionals), or implementing the use of various insurance products (e.g., life, LTC, disability, annuities, property & casualty, etc.) that help meet the estate preservation and administration needs of a client and/or their family.

**3. Retirement Planning in Estate Planning and Administration**

- a. Designing, drafting, communicating (to internal partners, clients, or outside professionals), or implementing retirement plans that help meet the estate planning objectives of a client and/or their family.

**4. Taxation in Estate Planning and Administration**

- a. Designing, drafting, communicating (to internal partners, clients, or outside professionals), or implementing tax plans that help meet the estate preservation and administration needs of a client or their family.
- b. Advising on and/or preparing gift tax returns, estate tax returns, fiduciary income tax returns, fiduciary accountings, individual and partnership returns, etc.



5. **Asset Preservation and Planning in Estate Planning and Administration**
  - a. Designing, drafting, communicating (to internal partners, clients, or outside professionals), and/or implementing asset preservation plans that help meet the estate planning objectives of a client and/or their family.
6. **Educating Clients, Students, or Others in Estate Planning and Administration**
  - a. Teaching and/or moderating seminars, workshops, undergraduate or graduate level courses, and continuing education programs in estate planning and administration; estate, gift and/or generation-skipping taxes; or business succession planning that would qualify for the continuing education requirement to maintain the AEP® designation in active status.
7. **Philanthropy in Estate Planning and Administration**
  - a. Designing, drafting, communicating (to internal partners, clients, or outside professionals), and/or implementing philanthropic plans that help meet the estate and charitable planning objectives of a client and/or their family.

3. **Experience requirement.** A minimum of five (5) years of experience actively engaged in estate planning and estate planning activities is required in one or more of the professional disciplines described above. **For applicants who have been actively engaged in estate planning for fifteen (15) years or more, you may opt out of the following education requirement.**

4. **Education requirement.** The National Association of Estate Planners & Councils (NAEPC) partners with The American College of Financial Services, King of Prussia, PA, as the primary provider of the education courses required to earn the AEP® designation. Applicants for the AEP® designation must successfully complete two graduate courses through the Richard D. Irwin Graduate School of The American College as follows:

**Required course:** MSFP 615 – Advanced Estate Management and Planned Giving (formerly GS 815 Advanced Estate Planning which will still be accepted to meet this requirement)

**One elective course selected from the following courses:**

MSFP 543 – Business Succession Strategies (formerly GS 838 Business Succession Planning which will still be accepted to meet this requirement)

MSFP 584 – Executive Compensation (formerly GS 842 Executive Compensation which will still be accepted as an elective)

MSFP 589 – Financial Statements and Business Valuation Analysis (formerly GS 803 which will still be accepted to meet this requirement)

CAP 539 – Planning for Impact in the Context of Family Wealth

CAP 549 – Charitable Giving Strategies

**For those individuals applying with the CAP® designation only**, in addition to MSFP 615 Advanced Estate Management and Planned Giving (formerly GS 815 Advanced Estate Planning) applicants must also take one of the following electives – MSFP 543 Business Succession Strategies (formerly GS 838 Business Succession Planning), MSFP 584 Executive Compensation (formerly GS 842), or MSFP 589 Financial Statements and Business Valuation Analysis (formerly GS 803) as courses earned toward

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securing the underlying “gateway” designation or degree do not qualify for the AEP® graduate coursework requirement.

There is no requirement that courses must be taken within any prescribed time period. As long as the applicant has kept current through continuing education, it does not matter when the graduate courses were originally completed.

For more details concerning the coursework offered through The American College, please visit <https://www.theamericancollege.edu/designations-degrees/AEP>.

The applicant must provide either a copy of the Official Grade Report (available for download through the student portal) or a transcript from The American College of Financial Services which can be requested as follows:

The American College of Financial Services  
630 Allendale Rd., Ste. 400  
King of Prussia, PA 19406  
610-526-1000  
[registrar@theamericancollege.edu](mailto:registrar@theamericancollege.edu)

**Alternative Equivalent Education Provided Through Other Colleges and Universities.** As an alternative to successfully completing two graduate level courses from the list referenced above through The American College, applicants may complete the graduate educational course requirements through other colleges, universities, and schools of law, provided such colleges, universities and schools of law, and the educational courses through such institutions, meet the following criteria:

**Academic Accreditation:** For graduate courses through a school of business that are part of an MBA degree, in general, or MBA degrees with a concentration in finance, financial planning, or insurance, we require graduate school of business accreditation by the Association to Advance Collegiate Schools of Business (AACSB) or the Accreditation Council for Business Schools and Programs (ACBSP). For graduate courses through a school of business (sometimes these programs are referred to as schools of accountancy) that are part of an MBA in accounting degree, or MS degrees in accounting or taxation, we require graduate accounting degree accreditation by the AACSB or the ACBSP. For graduate courses through a school or department of a college or university that are part of a MS or Ph.D. in financial planning or financial services degree, we require that the graduate or Ph.D. program be a Registered Program with the Certified Financial Planner™ Board of Standards. For any courses through a School of Law as part of an LL.M. or J.S.D. degree, we require accreditation by the American Bar Association of the law school.

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**Courses that Lead Towards a Graduate Level Degree.** Our second requirement is that any courses taken in estate planning and estate planning-related topics must be graduate level courses that are approved by the offering school, college or university as counting toward course credit for either a master's or doctoral degree. The course, or courses, can be either required courses or electives but must count toward the graduate degree. We are not requiring the applicant to complete the graduate degree; we are only requiring the applicant to take courses that would count toward a graduate degree. **Courses earned toward securing one of our underlying "gateway" designations or degrees do not qualify for the AEP® coursework requirement with the following exceptions.**

Applicants who earned qualifying coursework as part of a JD degree and who are applying for the designation under a different discipline, i.e., insurance and financial planning, for example, with another qualifying "gateway" credential such as the CFP® certification, may use such coursework to satisfy the graduate coursework requirement provided it meets the existing criteria for alternative coursework.

**Courses that are Similar to Current Courses Through The American College.** These courses in estate planning and estate planning related topics must be similar and equivalent to the courses we now approve through The American College. This is a twofold test. First, the course would have to be of the same length as The American College courses. That is, each course would have to be the equivalent of a graduate three-hour semester credit course, or the total number of hours earned must equal six hours of graduate level coursework. It is acceptable to have completed 2 three-hour semester courses or 3 two-hour semester courses. Second, the course content and material would have to be comparable to the current courses through The American College. Specifically, the coursework must be equivalent to that offered in MSFP 615 Advanced Estate Management and Planned Giving and that offered in one or more of the electives offered by The American College. Applicants must provide a copy of the official transcript and a detailed description/syllabus of the course(s). Applicant must have earned a letter grade of "B" or better for the course(s) to qualify.

**Personal Financial Specialist (PFS) Certification Administered by the American Institute of CPAs (AICPA).** Actively licensed CPAs who meet the minimum 5 years of experience actively engaged in estate planning but not yet 15 years in the profession and who hold the PFS Certification administered by the AICPA will meet the graduate coursework requirement provided that the applicant was awarded the PFS on the basis of having successfully completed the required coursework and not on the basis of having earned the CFP® certification.

5. **Membership requirement.** AEP® applicants are required to be members of, and continuously maintain membership in, an affiliated local or regional estate planning council where such



membership is available. Where no affiliated local council membership is available, the applicant is required to continuously maintain an At-Large individual membership in the National Association of Estate Planners & Councils.

While it is the policy of NAEPC to require membership in the affiliated local or regional affiliated estate planning council where such membership is available, it is recognized that this membership may not always be available for all AEP® applicants due to: geographical location (within 50 miles or 60 minutes driving time); local affiliated estate planning council limits on the number of members from each discipline; unaffiliated local estate planning councils; or other local estate planning council membership criteria that prevent the AEP® applicant from belonging to an affiliated local estate planning council. If affiliated local estate planning council membership is not available for any of the foregoing reasons, then NAEPC requires that AEP® applicants obtain, and maintain, individual membership in NAEPC until such time as they can become a member of an affiliated local or regional estate planning council. Please note that it is the responsibility of the designee to reassess the availability of a local council on an annual basis. For a current list of affiliated councils, please visit the NAEPC website at [http://www.naepc.org/membership/find\\_council](http://www.naepc.org/membership/find_council). The current dues for the At-Large individual membership in the NAEPC are \$80.00 a year. The individual NAEPC membership dues are in addition to the annual dues for AEP® membership that is required to maintain, and use, the AEP® designation.

6. **Professional reputation and character requirement.** First, an applicant must continuously be in good standing with the applicant's employer, respective professional organizations, and licensing or regulatory authorities (e.g., State Bar Association for attorneys, etc.). Specifically, an applicant for the AEP® designation who has been the subject of a disciplinary investigation, arbitration, action or decision by (1) a governing board, commission or other entity for any professional designation or certification held by the applicant currently or in the past; (2) any state or federal regulatory authority; or (3) any court of law, for an act or omission that constitutes professional misconduct, whether ethical, civil or criminal, may not be awarded the AEP® designation until a minimum of five (5) years has elapsed following the resolution of the misconduct constituting the grounds for discipline. If the AEP® Committee deems the professional misconduct to have been particularly egregious, it may require the elapse of a period of time longer than five (5) years or it may issue a permanent bar to application. The Committee may, in its sole discretion, treat the presence of any past disciplinary action, no matter how slight, as sufficient grounds to deny an application for the AEP® designation.

Second, an applicant must provide three professional references. The applicant shall provide each individual referrer a copy of the Reference Form included in this application which may be returned to the applicant for submission or returned directly to the NAEPC. **Each reference form must be completed in its entirety in the referrer's own handwriting or by using his or her own electronic device. Forms completed by the applicant will not be accepted.** The professional references must



be from individuals who primarily practice in different professional disciplines from each other drawn from those that we recognize for the designation program. **Thus, three different disciplines are represented by the professional references.**

No reference may be from either (1) persons who work for the same company or firm as the applicant, or (2) who are related within the fourth degree of consanguinity to the applicant. Professional references must be from individuals with whom the applicant has worked on estate planning cases and assignments or individuals who are familiar with the applicant's professional capabilities and experience and who are currently engaged in estate planning. Professional disciplines are limited to attorneys, accountants, insurance/financial planning professionals, philanthropic professionals, and trust professionals.

Finally, in addition to the three (3) professional references, the applicant must secure a completed "Affiliated Local Estate Planning Council Membership Verification" Form signed by the administrator or an officer of the council of which the applicant is a member. As with the reference forms above, this form should also be completed in its entirety in the handwriting of the administrator or officer of the council or by using their electronic devices.

7. **Commitment to NAEPC Code of Ethics requirement.** The applicant must sign a declaration statement to continuously abide by the NAEPC Code of Ethics found within this application.
8. **Dedicated to team concept requirement.** The applicant must acknowledge a commitment to the team concept of estate planning as defined in the "Applicant Declarations" found within this application and sign the declaration statement.
9. **Continuing education requirement.** The applicant must satisfy a minimum of thirty (30) hours of continuing education during the previous twenty-four (24) months, of which at least fifteen (15) hours MUST have been in estate planning related topics. This requirement is mandated regardless of the applicant's state or underlying designation continuing education requirement. Applicants may be requested to produce documentation to substantiate any activity claimed.
10. **Annual dues and re-certification requirement.** Designation holders are required to continuously maintain annual membership to use the AEP® designation. Failure to maintain annual membership or failure to meet or comply with the recertification requirements described below will result in the revocation of the AEP® designation, until such time as the requirements are met, and will be communicated to the designee.



On an annual basis, designation holders must certify or recertify by signing the recertification document in hardcopy or online that:

- (1) They are continuously engaged in estate planning activities in their professional discipline;
- (2) They are in good standing with their employer, respective professional organizations, and licensing or regulatory authorities and they are not currently, nor have they been during the past five (5) years, the subject of a disciplinary investigation, arbitration, action or decision by (1) a governing board, commission or other entity for any professional designation or certification that they hold or have held; (2) any state or federal regulatory authority; or (3) any court of law, for an act or omission that constitutes professional misconduct, whether ethical, civil, or criminal. Any affirmative responses must be addressed in writing and emailed to [admin@naepc.org](mailto:admin@naepc.org) for review prior to finalizing their recertification. Furthermore, the obligation to certify is ongoing during association with the NAEPC as an AEP® designee and includes reporting violations of one's professional responsibilities to the NAEPC. Failure to do so may result in a suspension for a specified period or revocation of the AEP® designation;
- (3) They maintain membership in an affiliated local or regional estate planning council where such membership is available (availability must be reassessed by designee for annual recertification); otherwise they must be an individual, At-Large member of the NAEPC and maintain that membership;
- (4) They have abided by and will continue to abide by the NAEPC Code of Ethics;
- (5) They are dedicated to the team concept of estate planning; and
- (6) They have currently satisfied the continuing education requirements of their designated professional discipline and have maintained a minimum of thirty (30) hours of continuing education during the prior two (2) years, of which **at least fifteen (15) hours were in estate planning related topics, to satisfy the AEP® designation continuing education requirement.**

11. **Annual audit of certification requirements.** On an annual basis, the AEP® Committee will determine the percentage of active designation holders to be audited. If an active designation holder is chosen for audit, a letter or email from the committee leadership will be included with the annual recertification documents requesting verification that the designation holder is in good standing with his or her employer, professional organizations, and licensing or regulatory authorities and that they are not currently, nor have they been during the past five (5) years, the subject of a disciplinary investigation, arbitration, action or decision by (1) a governing board, commission or other entity for any professional designation or certification that they hold or have held; (2) any state or federal regulatory authority; or (3) any court of law, for an act or omission that constitutes professional misconduct whether ethical, civil, or criminal. Any affirmative responses must be addressed in writing and emailed to [admin@naepc.org](mailto:admin@naepc.org) for review prior to finalizing the audit. The designee must also verify that the continuing education requirement of thirty (30) hours, fifteen (15) of which must have been in estate planning related topics, for the prior two (2) calendar years has been satisfied; and verification of membership from the appropriate affiliated local estate planning council of which the AEP® is a member. If the audited AEP® designee is not a member of an affiliated local estate planning council because there is not an affiliated council within 50 miles or 60 minutes driving time of his or her place of business or there is an affiliated council within this geographical area, but it is not available for membership, an appropriate explanation must be provided. It is the responsibility of each designee who is not a member of an affiliated local estate planning council to reassess this on an annual basis. Failure to comply with the audit request in a timely manner results in the designee being inactive and ineligible to use the designation or promote oneself as an AEP® until such time as the audit information has been submitted and approved by the NAEPC national office.



## CODE OF ETHICS

### Preamble

The National Association of Estate Planners and Councils (NAEPC) is dedicated to setting and promoting standards of excellence for professionals in estate planning.

Membership in the Association comes from one of three sources. The first source of member is one who joins the NAEPC through membership in an affiliated local council. The second source of member is an at-large member who joins the NAEPC as an individual due to the local council being unaffiliated. The third source of member is an at-large member, one who is unaffiliated with a local council, whether or not the local group is not an affiliated member of the NAEPC.

To those who meet its stringent admission standards, which include, among other things, significant prior experience in estate planning activities and material formal education in the subject matter, the NAEPC confers the Accredited Estate Planner® (AEP®) designation.

The NAEPC recognizes the importance of promulgating a code of behavior for members that emphasizes a team approach to estate planning, and relies upon the competency, knowledge, professionalism, integrity, objectivity, and responsibility of each person qualifying as a candidate for certification.

In fulfillment of this mission, the Association's Board of Directors has adopted this Code of Professional Responsibility, which embodies the professional behavior expected of all NAEPC members, and which is consistent with the Codes of Ethics of the other gateway professional designations under which a member must conduct himself/herself.

That is, the NAEPC recognizes that those who attain the AEP® designation already possess other professional designations, such as Attorney at Law, Certified Public Accountant, Chartered Life Underwriter®, Chartered Financial Consultant®, Certified Financial Planner®, and Certified Trust and Fiduciary Advisor. Each of those gateway designations imposes a Code of Ethics on its members. The NAEPC intends that its Code of Ethics be consistent with those Codes already imposed on its members when the AEP® title is conferred.



## Professional Responsibilities

A member of the NAEPC is required to conduct himself/herself at all times in the following manner:

1. To uphold the integrity and honor of the profession and to encourage respect for it. This involves promoting the continual development of the estate planning industry, as well as the member's respective specialization.
2. To be fair. This requires that a professional treat others as he/she would wish to be treated if in the other's position. It also means that a member shall disclose conflicts of interest in providing estate planning services.
3. A member shall continually improve his/her knowledge, skill, and competence throughout his/her working life.
4. To do the utmost to attain a distinguished record of professional service based upon diligence. This means that a professional must act with patience, timeliness, and consistency, and do so in a prompt and thorough manner in the service of others.
5. To support the established institutions and organizations concerned with the integrity of his/her profession.
6. To respect the confidentiality of any information entrusted to, or obtained in the course of, the member's business or professional activities.
7. To regulate himself or herself. That is, every member has a two-fold duty to abide by his/her other applicable professional codes of ethics, and to also facilitate the enforcement of this Code of Professional Responsibility. This also means expeditiously reporting breaches of professional responsibility, including one's own, to the NAEPC. The NAEPC assumes responsibility for diligently investigating each reported breach. Confirmed breaches will result in discipline by the Association, and can include dismissal for the most egregious offenses.
8. To comply with all laws and regulations, in particular as they relate to professional and business activities.
9. To cooperate with Association members, and other estate planning professionals, to enhance and maintain the estate planning profession's public image, and to work together to improve the quality of services rendered.



## ACCREDITED ESTATE PLANNER® CHECK LIST

### INSTRUCTIONS TO APPLICANT

Please make sure that all the following materials are included when returning your application to the NAEPC National Office. Unless special circumstances are brought to the attention of the NAEPC National Office staff, all applicants must complete the application process providing all required information, including any transcripts, the three (3) professional references, and the affiliated local council membership verification form, if appropriate, within six (6) months of submitting the application form or the applicant will be required to re-apply and remit another non-refundable application fee. All applications undergo an administrative review prior to review by a national AEP® Review Committee that may, as part of the review, interview the applicant and/or the professional references. **Please allow approximately 6 to 8 weeks for processing and review of your application.** If you have any questions or need additional information, please call (866) 226-2224.

Please forward your completed packet with payment information to the mailing address below  
or submit via email to [admin@naepc.org](mailto:admin@naepc.org)

- \_\_\_\_\_ Completed Application (pgs. 12 - 22), including Application Declarations Page (pg. 17)
- \_\_\_\_\_ Copy of Official Grade Report or transcript from The American College of Financial Services or other qualified educational institution
- \_\_\_\_\_ The names and addresses of the three professional references (pg. 18) unless completed reference forms are included with the application
- \_\_\_\_\_ Three reference forms requested by the applicant which may be returned to the applicant or submitted directly to the NAEPC under separate cover (pg. 19)
- \_\_\_\_\_ Affiliated Local Council Membership Verification Form (pg. 20), **or** \$80.00 Individual NAEPC membership dues
- \_\_\_\_\_ Fees
  - \_\_\_\_\_ \$350.00 Application Fee (**non-refundable**)
  - \_\_\_\_\_ \$200.00 Yearly Dues (to be submitted with application)
  - \_\_\_\_\_ \$80.00 Individual At-Large NAEPC Membership Dues (if required as noted on P. 16)

All checks should be made payable to NAEPC ~ OR ~ Payment can be made by American Express, Discover, MasterCard, or VISA ~ Please use the secure payment portal at <https://www.naepc.org/products/product/5> to pay by credit card when emailing your application to [admin@naepc.org](mailto:admin@naepc.org)

**COMMENTS and/or CREDIT CARD INFORMATION if sending application via USPS (Credit Card Number; Expiration Date; Billing Zip Code, and Signature)**

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**ALL REQUIRED FORMS ARE INCLUDED IN THIS PACKET – APPLICATION PROCESS TAKES 6 – 8 WEEKS**

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## APPLICATION

### **FOR DESIGNATION AS AN ACCREDITED ESTATE PLANNER®**

#### **PERSONAL INFORMATION (Please print or type)**

Name \_\_\_\_\_

Date of Birth \_\_\_\_\_

Professional Designation(s) / Degree(s) \_\_\_\_\_

Name of Firm or Organization \_\_\_\_\_

Title \_\_\_\_\_

Business Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

Telephone Number \_\_\_\_\_ Cell Number \_\_\_\_\_

Email Address \_\_\_\_\_

Website Address for listing on NAEPC Website \_\_\_\_\_

Home Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

Home Telephone Number \_\_\_\_\_

Alternative Email Address \_\_\_\_\_

How did you learn of the AEP® Designation?  Council  Designee (please provide name and email address)

The American College  NAEPC Website  Other



IN A FEW SENTENCES, PLEASE SHARE WHY YOU ARE APPLYING FOR THE AEP® DESIGNATION  
AND WHAT IT MEANS TO YOU

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PROFESSIONAL CREDENTIALS

My professional license(s) / designation(s) (listed below) are currently in effect and in good standing:

ATFA (Student Identification Number, if available) \_\_\_\_\_ Year Attained \_\_\_\_\_

CPA Certificate Number \_\_\_\_\_ by State of \_\_\_\_\_ Year Issued \_\_\_\_\_

State Bar License Number \_\_\_\_\_ by State of \_\_\_\_\_ Year Issued \_\_\_\_\_

CLU® (Student Identification Number, if available) \_\_\_\_\_ Year Attained \_\_\_\_\_

ChFC® (Student Identification Number, if available) \_\_\_\_\_ Year Attained \_\_\_\_\_

CFP® Identification Number \_\_\_\_\_ Year Attained \_\_\_\_\_

CFA (Charter Number, if available) \_\_\_\_\_ Year Attained \_\_\_\_\_

CTFA Identification Number \_\_\_\_\_ Year Attained \_\_\_\_\_

CPWA® Identification Number \_\_\_\_\_ Year Attained \_\_\_\_\_

CAP® (Student Identification Number, if available) \_\_\_\_\_ Year Attained \_\_\_\_\_  
(Applying with CAP® ONLY requires completion of MSFP 615 Advanced Estate Management and Planned Giving. Applicants must also take one of the following electives – MSFP 543 Business Succession Strategies, MSFP 584 Executive Compensation, or MSFP 589 Financial Statements and Business Valuation Analysis as courses earned toward securing the underlying “gateway” designation or degree do not qualify for the AEP® graduate coursework requirement.)

CSPG Identification Number \_\_\_\_\_ Year Attained \_\_\_\_\_

MSFS (Student Identification Number, if available) \_\_\_\_\_ Year Attained \_\_\_\_\_

MST (Student Identification Number, if available) \_\_\_\_\_ Year Attained \_\_\_\_\_  
(Specific criteria required; must be pre-approved before applying)

I am subject to FINRA regulation\* and hold the following License(s) \_\_\_\_\_  
(\*Please note that any disclosure event included in the FINRA report will be reviewed and may require explanation or clarification by the applicant)



#### PROFESSIONAL DISCIPLINE

I am presently engaged in "estate planning activities" **primarily** (check only one primary discipline) as:

An accountant       , an attorney       , an insurance/financial planning professional       ,  
a philanthropic professional       , or a trust professional       .

#### EXPERIENCE REQUIREMENT

I have the required experience in estate planning activities in one of the aforementioned disciplines and have devoted a **minimum of one-third** of my professional time to the estate planning activities (practice, educational activities, etc.) for the total number of years provided below. (Please refer to the definition of estate planning and estate planning activities on page 2 when answering these questions.)

Please provide the total number of years in which you have been actively engaged in estate planning noting that a **minimum of 5 years is required to be eligible to apply for this designation:**       

#### EMPLOYMENT HISTORY

Please provide the following information in the space below or, if you prefer, you may attach your resume provided it contains all of the information requested, including the % of time you are currently and have devoted to estate planning for the total number of years provided above:

Place of Employment	Position and Title	Start and End Dates	% of Time Devoted to Estate Planning (see definition on page 2)



In addition, please provide specific information detailing the types of estate planning activities that you have been engaged in, including, but not limited to, estate, gift and/or generation skipping taxes; types of trusts employed; charitable planning techniques; insurance and financial planning instruments; and business succession planning with a chronological timeline. **NOTE: In the interest of confidentiality, please do not include client names or company names of yourself or those you have counseled or any information that could reasonably identify those involved.**

**Please use another sheet if necessary**

## EDUCATION REQUIREMENT

I have completed the courses checked below:

***Required course:***

\_\_\_\_\_ MSFP 615 – Advanced Estate Management and Planned Giving (formerly GS 815 Advanced Estate Planning which will still be accepted to meet this requirement)

***One elective course selected from the following courses:***

MSFP 543 – Business Succession Strategies (formerly GS 838 Business Succession Planning which will still be accepted to meet this requirement)

MSFP 584 – Executive Compensation (formerly GS 842 Executive Compensation which will still be accepted to meet this requirement)

MSFP 589 – Financial Statements and Business Valuation Analysis (formerly GS 803 which will still be accepted to meet this requirement)

CAP 539 – Planning for Impact in the Context of Family Wealth

CAP 549 – Charitable Giving Strategies

Applicants must provide either a copy of an Official Grade Report or transcript from The American College of Financial Services; please **do not** include an Unofficial Grade Summary.



***OR***

\_\_\_\_ I have completed graduate coursework in estate planning and estate planning activities as part of a master's or doctoral program, earning a "B" letter grade or better and have provided a copy of an official transcript and detailed course description (Please see Alternative Equivalent Education section beginning on Page 3). This includes relevant coursework taken as part of a JD provided the applicant is applying with another of the qualifying credentials and is NOT applying under the discipline of attorney.

***OR***

\_\_\_\_ I hold an active CPA license as well as the PFS certification administered by the AICPA which was awarded on the basis of having successfully completed the required coursework and not on the basis of having earned the CFP® certification.

**MEMBERSHIP REQUIREMENT**

1. I am a member, in good standing, of the \_\_\_\_\_ Estate Planning Council which is \_\_\_\_\_ or is **NOT** \_\_\_\_\_ affiliated with the NAEPC.  
If your council is **not affiliated** with NAEPC, please complete Number 2 and see footnote below.
2. I am not a member of an **affiliated** estate planning council because\*  
(Examples: geographic restrictions, restrictions on membership, etc.)  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\*If you are not a member of an affiliated Council for the reason/s outlined above, please include \$80.00 for Individual NAEPC membership dues in your remittance.



## APPLICANT DECLARATIONS

*I certify that I am in good standing with my employer, professional organizations, and licensing or regulatory authorities. I further certify that I am not currently, nor have I been for the past five (5) years, the subject of a disciplinary investigation, arbitration, action or decision by (1) a governing board, commission or other entity for any professional designation or certification that I hold or have held; (2) any state or federal regulatory authority; or (3) any court of law, for an act or omission that constitutes professional misconduct, whether ethical, civil or criminal. Any affirmative responses must be addressed in writing and emailed to [admin@naepc.org](mailto:admin@naepc.org) for review prior to finalizing your designation application. This obligation to certify is ongoing during your association with the NAEPC as an AEP® designee and is required as part of the annual recertification process for active designees to maintain the designation.*

*I agree to continuously abide by the NAEPC Code of Ethics, a copy of which is included with this application, the NAEPC Mission Statement, and the NAEPC Vision Statement, all of which can be found by visiting the NAEPC website at [www.naepc.org](http://www.naepc.org).*

*I hereby acknowledge that estate planning is a highly complex, multi-disciplinary activity and, as such, I will seek to understand the interactions and interdependencies between and among the professionals on the team in support of the team concept of estate planning and agree to abide by such concept while holding the designation of ACCREDITED ESTATE PLANNER®. I further acknowledge that actions I take in my own professional discipline may have different consequences over the short and long run and in different parts of the estate planning process, so I will also work toward a high-level of communication, cooperation, and coordination with the goal of a successful professional collaboration in service to the client.*

*I certify that I have satisfied a minimum of thirty (30) hours of continuing education during the previous twenty-four (24) months, of which at least fifteen (15) hours have been in estate planning related topics. I also understand that I may be required to produce documentation substantiating any activity for which I claim credit.*

*I authorize the NAEPC to contact any person whom I have named as a reference and to contact my applicable licensing or regulatory authorities regarding my credentials, and I authorize such persons or authorities to respond to any inquiry.*

*Further, I agree, upon receiving the designation of ACCREDITED ESTATE PLANNER®, to maintain membership in an affiliated estate planning council where such membership is available, or as an At-Large Member of the National Association of Estate Planners & Councils, and to abide by any continuing education and recertification requirements for ACCREDITED ESTATE PLANNER® designees. I agree to promptly supply third-party verification or information from which third-party verification may be obtained regarding any of the foregoing, if I am one of the designees randomly selected for audit. Furthermore, I understand that, if I do not comply with the above requirements, I am ineligible to use the AEP® designation or represent myself as an ACCREDITED ESTATE PLANNER®. I agree and acknowledge that, if I use the AEP® designation after my right to do so has been rightfully terminated by the NAEPC, then I may be subject to injunctive relief through the courts of such jurisdiction wherein (1) the NAEPC then has its administrative offices, (2) the NAEPC is incorporated, or (3) the then current President of the NAEPC resides. I further agree and acknowledge that I shall be liable for all costs, including attorney fees, incurred by the NAEPC in obtaining such injunctive relief.*

*I hereby certify that the information in this application is true and correct to the best of my knowledge and belief. If any of the above statements is determined to be false, or if I do not, in fact, meet the aforementioned requirements, I agree to surrender any certificate that may have been awarded and promptly cease to represent or advertise myself as an ACCREDITED ESTATE PLANNER®.*

NAME (Please print or type) \_\_\_\_\_

Signature \_\_\_\_\_ Date \_\_\_\_\_



**I HAVE REQUESTED PROFESSIONAL REFERENCES FROM THE FOLLOWING:**  
**(IF YOU HAVE SUBMITTED THE THREE COMPLETED PROFESSIONAL REFERENCES WITH YOUR APPLICATION, YOU DO NOT NEED TO INCLUDE THIS FORM)**

NAME: \_\_\_\_\_

FIRM: \_\_\_\_\_

ADDRESS: \_\_\_\_\_

CITY, STATE & ZIP: \_\_\_\_\_

PHONE: \_\_\_\_\_ EMAIL ADDRESS: \_\_\_\_\_

PRIMARY PROFESSIONAL DISCIPLINE: \_\_\_\_\_

~

NAME: \_\_\_\_\_

FIRM: \_\_\_\_\_

ADDRESS: \_\_\_\_\_

CITY, STATE & ZIP: \_\_\_\_\_

PHONE: \_\_\_\_\_ EMAIL ADDRESS: \_\_\_\_\_

PRIMARY PROFESSIONAL DISCIPLINE: \_\_\_\_\_

~

NAME: \_\_\_\_\_

FIRM: \_\_\_\_\_

ADDRESS: \_\_\_\_\_

CITY, STATE & ZIP: \_\_\_\_\_

PHONE: \_\_\_\_\_ EMAIL ADDRESS: \_\_\_\_\_

PRIMARY PROFESSIONAL DISCIPLINE: \_\_\_\_\_

**NATIONAL ASSOCIATION OF ESTATE PLANNERS & COUNCILS**

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2001 CROCKER RD., SUITE 510 WESTLAKE, OH 44145  
(866) 226-2224 · NAEPC.ORG · ADMIN@NAEPC.ORG



## **REFERENCE FORM** **FOR DESIGNATION AS AN ACCREDITED ESTATE PLANNER®**

### **PLEASE PRINT OR TYPE**

\_\_\_\_\_ is an applicant for the AEP® designation and has selected you as a reference. Your response to this inquiry is very much appreciated and will be held in the strictest confidence. **Please note that as a referrer you may not be related to the applicant or work with the same firm or an affiliated entity as the applicant and you must be engaged in estate planning. Please note that you may be contacted by the review committee for clarification or additional information about the applicant. Thank you for your time and participation.**

### **INSTRUCTIONS FOR COMPLETING THIS FORM**

1. Use this form for your response **which must be completed in its entirety by you personally.**
2. Base your responses only on the work performed by the applicant with which you are personally familiar.
3. Either return this form to the applicant or email, fax, or send by US Mail directly to the NAEPC at:  
NAEPC ~ 2001 Crocker Rd., Ste. 510, Westlake, OH 44145

### **PLEASE ANSWER THE FOLLOWING QUESTIONS:**

1. How long have you known the applicant? \_\_\_\_\_
2. Please describe the services provided by the applicant in estate planning in which the applicant participated with you as a member of an estate planning team. \_\_\_\_\_  
\_\_\_\_\_
3. Does the applicant perform in a professional manner?  Yes  No
4. To the best of your knowledge, how long has the applicant been involved in estate planning? **Please check the space preceding appropriate response**  
 5 - 10 years  10 - 15 years  15 - 20 years  20+ years  I don't know
5. Do you recommend this individual for the AEP® designation?  Yes  No
6. Please state why you feel the applicant deserves to be awarded the AEP® designation. \_\_\_\_\_  
\_\_\_\_\_

YOUR NAME \_\_\_\_\_

YOUR **PRIMARY PROFESSION:** **Please check the space preceding the name of your primary discipline**

Attorney  Accountant  Insurance/Financial planning Professional  Philanthropic Professional  
 Trust Professional

**Please check the space preceding any of the following designations that you hold:**

JD  CPA  CLU®  ChFC®  CFA  CFP®  CPWA®  CTFA  CAP®  CSPG  ATFA  AEP®

ARE YOU RELATED TO THE APPLICANT?  Yes  No If yes, how related? \_\_\_\_\_

ARE YOU ENGAGED IN ESTATE PLANNING?  Yes  No

NAME OF YOUR FIRM OR ORGANIZATION \_\_\_\_\_

IS YOUR FIRM AFFILIATED WITH THE APPLICANT'S FIRM?  Yes  No If yes, please explain: \_\_\_\_\_

ADDRESS \_\_\_\_\_

CITY, STATE, ZIP \_\_\_\_\_

TELEPHONE NO. \_\_\_\_\_ EMAIL ADDRESS \_\_\_\_\_

SIGNATURE \_\_\_\_\_ DATE \_\_\_\_\_

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## **AFFILIATED ESTATE PLANNING COUNCIL MEMBERSHIP VERIFICATION** **for AEP® APPLICANT**

### ***PLEASE PRINT OR TYPE***

\_\_\_\_\_ is an applicant for designation as an **ACCREDITED ESTATE PLANNER®**. Our guidelines require membership in a local council **affiliated** with NAEPC and completion of this form is, therefore, necessary to complete the AEP® application process. Your response to this inquiry is very much appreciated and will be held in the strictest confidence.

### ***INSTRUCTIONS FOR COMPLETING THIS FORM***

1. Use this form for your response.
2. Base your responses on information known to you or to the best of your information and belief.
3. Either return this form to the applicant or email, fax, or send by US Mail directly to the NAEPC at:  
NAEPC ~ 2001 Crocker Rd., Ste. 510, Westlake, OH 44145

### ***PLEASE ANSWER THE FOLLOWING QUESTIONS:***

1. Is the applicant a member in good standing of your Council?  
\_\_\_\_ Yes      \_\_\_\_ No
2. If "Yes", under which discipline is the membership held? *Please check the space preceding the discipline*  
\_\_\_\_ Accountant      \_\_\_\_ Attorney      \_\_\_\_ Insurance/Financial Planning Professional  
\_\_\_\_ Philanthropic Professional      \_\_\_\_ Trust Professional      \_\_\_\_ Other (Please specify \_\_\_\_\_)
3. Estimate the number of years the applicant has been a member of your local council: \_\_\_\_\_

NAME OF COUNCIL \_\_\_\_\_

ADDRESS \_\_\_\_\_

CITY, STATE, ZIP \_\_\_\_\_

PHONE \_\_\_\_\_ EMAIL \_\_\_\_\_

NAME OF COUNCIL ADMINISTRATOR OR COUNCIL OFFICER \_\_\_\_\_

SIGNATURE \_\_\_\_\_

DATE \_\_\_\_\_



*Please note that the information requested on Pages 21 and 22 is discretionary and will not be used to disqualify an applicant from consideration should you leave any or all of these sections blank.*

## PUBLICATIONS AND SPEAKING ENGAGEMENTS

*You may be interested to know that we publish the **NAEPC Journal of Estate & Tax Planning** three times a year in an electronic format and invite you to consider submitting an article for publication. For more information, please visit <https://www.naepcjournal.org/>.*

Please provide a listing of articles or materials that you have authored with publication name and year along with any speaking engagements indicating the topic of the speaking engagement, the group spoken to, the location and the date, if any:

## HONORS AND PROFESSIONAL AWARDS

Please provide a listing of any honors or awards which you have received because of your professional or civic activities indicating the name of each organization bestowing the honor or award, if any:

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#### MEMBERSHIP IN PROFESSIONAL AND CIVIC ORGANIZATIONS AND ASSOCIATIONS

Please list any professional organizations and associations of which you are a member, including any leadership positions, and dates of membership, if any:

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#### DIVERSITY, EQUITY & INCLUSION

NAEPC is committed to creating momentum and cultivating a foundation for growth in the number and type of diverse voices within the association's leadership, membership, and programming, as well as that of the councils affiliated with NAEPC, the profession as a whole, and various disciplines represented within. As we work to gather this information and make progress toward becoming a more diverse organization, do you have attributes representing diversity or experiences within your professional pathway that would assist the committee in learning more about you? If so, please describe anything that you feel comfortable sharing:

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