

Professional Certifications

Windrose's supervised persons maintain professional designations, which required the following minimum requirements:

Chartered Alternative Investment Analyst (CAIA)

Issued By	Candidate must meet the following requirements:
Prerequisites	<ul style="list-style-type: none">• A bachelor's degree (or higher) from an accredited college or university and more than one year of business experience in the financial industry, or• Four years of experience in the financial industry.
Education Requirements	Candidate must complete the following: Self-study certification program requires the successful completion of the Level 1 and Level II examinations
Exam Type	Two CAIA Examinations
Continuing Education Requirements	Complete self-evaluation tool every three years

Certified Financial Planner™ (CFP®)

Issued By	Certified Financial Planner Board of Standards, Inc.
Prerequisites	Candidate must meet the following requirements: <ul style="list-style-type: none">• A bachelor's degree (or higher) from an accredited college or university, and• 3 years of full-time personal financial planning experience
Education Requirements	Candidate must complete a CFP®-board registered program, or hold one of the following: <ul style="list-style-type: none">• CPA• ChFC• Chartered Life Underwriter (CLU)• CFA• Ph.D. in business or economics• Doctor of Business Administration• Attorney's License
Exam Type	CFP® Certification Examination
Continuing Education Requirements	30 hours every 2 years

Certified Public Accountant (CPA)

Issued By	State Boards of Accountancy
Prerequisites	Candidate must meet the following requirements: <ul style="list-style-type: none">• Minimum experience levels (most states require at least one year of experience providing services that involve the use of accounting, attest, compilation, management advisory, financial advisory, tax or consulting skills, all of which must be achieved under the supervision of or verification by a CPA);• Successful passing of the Uniform CPA Examination
Education Requirements	At minimum, a college education (typically 150 credit hours with at least a baccalaureate degree and a concentration in accounting)
Exam Type	Uniform CPA Examination
Continuing Education Requirements	Completion of 40 hours of continuing professional education each year (or 80 hours over a two-year period) in order to maintain a CPA license

Chartered Financial Analyst (CFA)

Issued By	CFA Institute
Prerequisites	<ul style="list-style-type: none">• Undergraduate degree and 4 years of professional experience involving investment decision-making, or• 4 years qualified work experience (full time, but not necessarily investment related)
Education Requirements	Candidate must complete the following: <ul style="list-style-type: none">• Self-study program (250 hours of study for each of the 3 levels)
Exam Type	3 course exams
Continuing Education Requirements	None

Chartered Financial Consultant (ChFC)

Issued By	The American College
Prerequisites	Candidate must meet the following requirements: <ul style="list-style-type: none">• 3 years of full-time business experience within the five years preceding the awarding of the designation
Education Requirements	6 core and 2 elective courses
Exam Type	Final proctored exam for each course
Continuing Education Requirements	30 CE credits every 2 years

Chartered Life Underwriter (CLU)

Issued By	The American College
Prerequisites	Three Years of full-time business experience with five years preceding the awarding of the designation
Education Requirements	Five core and three elective courses, equivalent of 24 semester credit hours
Exam Type	Final closed-book, proctored exam for each course
Continuing Education Requirements	30 hours every 2 years

Accredited Estate Planner® (AEP®)

Issued By	National Association of Estate Planners & Councils
Prerequisites	Candidate must meet <u>all</u> of the following requirements: <ul style="list-style-type: none">• Must be an attorney (JD), accountant (CPA), insurance professional and financial planner (CLU/ChFC, CFP) or trust officer (CTFA)• Must be in good standing with their professional organization and not be subject to disciplinary investigation• Must have a minimum of 5 years' experience in estate planning in one or more of the prerequisite professions
Education Requirements	Candidate must complete the following: <ul style="list-style-type: none">• 2 graduate level courses administered by The American College or from another accredited graduate program as part of a master's or doctoral degree unless applicant has 15 or more years' experience as an estate planner
Exam Type	Final exam for each course. If self-study through The American College, must be taken at Pearson VUE testing centers, which are proctored.
Continuing Education Requirements	30 hours every 24 months, including 15 hours in estate planning. Re-certification required annually