

# 2020 Schools Guide





– WHY CANNON –

---

Experience has taught us the inevitability and value of change. Yet the basic principle of our existence remains the same; Everyone deserves sound advice and exceptional service. It is our life's work to consult, design, develop, and instruct with this principle as our end goal.

## Our Purpose

We share our clients' belief that everyone deserves sound advice and exceptional service. We make a lasting, meaningful impact on society, improve the lives of those we touch, and promote positive change in the financial services industry.

## Our Mission

Our mission is to grow by understanding industry needs and delivering practical solutions that leverage the collective wisdom and creative power of a team of professionals passionately committed to helping our clients realize their goals.

## Our Values

We **build** meaningful, mutually beneficial relationships based upon a shared commitment to address real issues, produce real results, and deliver real value.

We **nurture** a vibrant environment where collaborative partnerships and supportive relationships thrive.

We continuously **improve** through a creative process incorporating contributions from engaged stakeholders and experts to develop innovative and practical solutions.

We work together to **realize** our shared vision of success as measured by enterprise value and the positive impact we have on our clients and each other.



## Individual Solutions

Cannon Schools offers dynamic, industry-forward instruction covering the areas of personal trust, trust audit, compliance, risk management, retirement planning, securities operations, investments, corporate trust, and sales and practice management.

## Enterprise Solutions

Cannon Enterprise solves business challenges by extending the deep technical expertise of our subject matter experts with our credentialed learning and design experts to develop a customized solution. We apply a disciplined approach, whereby we build the relationship, define the needs and challenges of the institution, solve pressing problems for today and tomorrow, and then plan for the future.

## Online

Cannon Online is a blend of the expertise of our instructors, the best practice of peer sharing and reinforcement of learn-by-doing experiences to create scalable long term learning environments. Programs are available as self-directed or community-propelled.

## Consulting & Design

Cannon Consulting looks deeply at the challenges in the critical facets of your business: strategic planning, processes, client experiences, knowledge and skill competencies, execution strategy, performance measurement, and evaluation. Your solution is tailored to your needs, your challenges, and your culture with respect to your privacy to help you develop a competitive edge.

## Estate Planning Teleconference

Cannon leverages our vast resources to broadcast a live monthly discussion by the foremost leading authorities in Wealth Management and Estate Planning topics. Professionals can connect and collaborate on relevant issues without the added expense of travel and accommodations, while earning Continuing Education and Learning credits to preserve their valuable business credentials.

## Designations

Cannon designations provide a framework which allows firms to align expert resources to client needs and expectations. We offer proprietary credentials, train to industry leading credentials in all areas of trust administration as well as design, develop, and deliver client specific credentials.

## Podcasts

Cannon podcasts inject motivational messages and thoughtful insights into the listener's routines. Cannon's host answers questions and brings proven leaders to the listening audience. Programs air weekly, bi-monthly, and monthly depending on the subject matter.



## – OUR LOCATIONS –

---

### Atlanta, GA

Long known as a top business city and the transportation hub of the Southeast, Atlanta boasts one of the fastest growing areas in the country. Atlanta also serves as the fall location for Cannon Schools. Classes are held at the AMA Executive Conference Center. Hartsfield-Jackson International Airport serves the Atlanta area and is a short ride from the conference center.

### Boston, MA

The setting of many of the U.S.'s most historic and revered events, Boston serves as host to one of Cannon Schools' summer sessions. Classes take place in the Photonics Center as well as the George Sherman Union on the Boston University campus. Meals will be served cafeteria-style in Warren Towers as well as the Photonics Center. Logan International Airport is served by most of the major airlines.

### Chicago, IL

The Windy City serves as host to Cannon's spring and summer two-day sessions. Students will attend classes at the Hilton/Chicago Magnificent Mile Suites, just one block from Chicago's famed Michigan Avenue. Chicago is served by both the Chicago O'Hare and Midway International Airports.

### Hilton Head, SC

The historic Harbour Town and Sea Pines Resort host Cannon's annual winter session. Classes and meals are held in the Harbour Town Golf Club;

just a short walk from the Harbour Town Villa Condominiums where students stay. The Hilton Head Island and Savannah/Hilton Head Airports are served by several major airlines.

### Malibu, CA

Quiet and picturesque, Pepperdine University is located in the Santa Monica Mountains overlooking the community of Malibu and the Pacific Ocean. Cannon activities take place on the Drescher Graduate Campus. Classes and meals take place in the School of Public Policy. The Los Angeles International Airport is served by nearly every major airline.

### South Bend, IN

Notably one of the most beautiful and historic college campuses in the U.S., the University of Notre Dame plays host to one of Cannon Schools' summer sessions. Classes are held in McKenna Hall, which is centrally located on campus and is a brief walk to the South Dining Hall and the Morris Inn. The South Bend International Airport is served by several major airlines.

### Online

Cannon Online™ blends two aspects of learning we know work; highly skilled subject matter experts and peer-to-peer feedback. Courses incorporate emerging technology to enhance our programs and expand their delivery. Students learn on their own, with a group of peers, or a combination of the two.



- USING THIS GUIDE -

## Finding the Right Course

### INTRODUCTORY



#### FUNDAMENTALS COURSES

- For those with less than 12 months experience
- Serves as an industry overview
- Introductory level courses

### INTERMEDIATE



#### I, II, III, & IV COURSES

- For those with at least 12 months experience
- Serves as a preparation for certification exams
- Intermediate to Advanced level courses
- Designed to be taken in sequence

### ADVANCED



#### ISSUES & UPDATES COURSES

- For those seeking Continuing Education credits
- Most current topics in area of study
- Advanced level courses



#### DESIGNATION TRACKS

Indicates classes that prepare students for certain designation exams.



#### CONTINUING EDUCATION CREDITS

Indicates classes that may qualify for CE credits.

*\*Because credit hours, filing procedures, and filing deadlines vary by discipline, and sometimes from state to state, if you wish to use a Cannon School for Continuing Education credit, please contact our Continuing Education Department at [cannonce@cannonfinancial.com](mailto:cannonce@cannonfinancial.com).*

# Cannon Trust Fundamentals

This course introduces the role of a fiduciary professional, the fiduciary industry overall, and the impact of decision making in the areas of trust and estate planning. Emphasis is placed not only on the various issues of the personal trust field, but also how the areas impact the decisions made in trust and estate planning.

## Cannon Trust Fundamentals

Business Terminology  
Legal Concepts and Overview  
Utilization of Trust Services  
Retirement and Estate Planning Instruments  
Operational Rules  
Rules for Estate Taxation  
Fundamental Fiduciary Responsibilities  
Investment Management Responsibilities and Structures  
Document Analysis  
Case Studies

## LOCATIONS

Malibu, CA

*\$3,025*

South Bend, IN

*\$2,585*

Cannon Online

*\$3,025*

## INSTRUCTORS

Daniel Smith

David C. Bell

Larry Divers

Jacqueline Riorden  
*Adjunct*

INTRODUCTORY



# Cannon Trust I, II, III

These courses are consistent in complexity and designed to build in content from one course to the next in personal trust administration. Students study areas of technical application of property law, tax law, trust instruments, fiduciary law and regulations, and estate planning and wealth management principles. For those seeking the CTFA™ designation, Cannon Trust I, II, III is our curriculum designed not only to educate you in the Personal Trust business, but also prepare you to sit for the CTFA™ exam. For those who need an introductory course in trust, consider personal trust fundamentals.

## Cannon Trust I

Overview of Trust Business  
Property Law; Principle and Income Law  
Fiduciary Income Taxation; Fiduciary Law  
U.S. Estate and Gift Taxation  
Investments (Economy and Equities)  
Estate and Trust Administration  
Types of Trusts

## Cannon Trust II

Foundations of Retirement Plans & Planning  
Estate Planning for Retirement Plans  
Income Tax Issues & Strategies  
Distribution Mechanisms; Advanced Trust Topics  
Advanced Marital Deduction Planning  
Generation Skipping Transfer Taxation  
Administrative Case (Applied Gift, Estate, GSTT, document analysis, property ownership)  
Investment Management (fixed income and investment companies)

## Cannon Trust III

Gift and Estate Tax Update  
Key Laws; Individual Income Tax  
Personal Finance & Insurance  
Investments (performance measurement)  
Advanced Generation Skipping  
Grantor Trust Rules  
Split Interest and Charitable Trusts  
Advanced Fiduciary Income Tax

## LOCATIONS

Hilton Head, SC  
\$3,495  
Malibu, CA  
\$3,025  
South Bend, IN  
\$2,585  
Boston, MA  
\$2,945  
Atlanta, GA  
\$2,585  
Cannon Online  
\$3,025

## INSTRUCTORS

Daniel A. Smith,  
*Curriculum Chair*  
Duane E. Lee, II  
Lawrence T. Divers  
Chuck Kind  
*Adjunct*  
Clint Bentz  
*Adjunct*  
Jacqueline Riorden  
*Adjunct*



# Cannon Trust Issues & Updates

This program is designed to keep fiduciary professionals in law, tax, administration, and investments apprised of current developments within the wealth management industry. Specific topics of discussion include ethics and ethical decision making, high risk areas of trust administration, special assets, and special needs trusts, tax and legal updates, court rulings, cutting edge new techniques, and reviews of tried and true strategies as well.

## Cannon Trust Issues & Updates

Hot Topics and Trends  
Estate Tax Developments  
Recent Fiduciary Case Law  
Retirement Plans and Estate Planning  
Investment Management Issues  
Ethics  
Non-Tax Issues

### Online Exclusives

#### Moving Beyond Alpha

a discerning review on how to build a thriving Goals-Based Wealth Management Practice through improved client communication and reporting

#### Embracing Change: Spousal Rollovers, Stretch Rules and the New Estate Tax Exemptions

an examination of the six retirement plans and IRA provisions created by the Tax Cuts and Jobs Act of 2017 and why inheritance rules for IRAs and QRPs are more important than ever

#### Digital Assets: Unpacking Where Life Decisions and Laws Convene

an exploration of this emerging area fraught with complexities and ambiguity

#### The Why, What, and How of Medicare

demystifying a program used by our most sizeable population group

## LOCATIONS

Chicago, IL

*\$1,570*

Cannon Online

*prices vary*

## INSTRUCTORS

Daniel A. Smith,  
*Curriculum Chair*

Duane E. Lee, II

Lawrence T. Divers

Jacquie Hart  
*Adjunct*





# Special Needs Trust

This course provides students a broader overall understanding of this highly specialized area within the overall Trust Industry. Students will gain insight into providing high quality care for affected beneficiaries while preserving opportunities to benefit from government programs that may provide them superior long-term protection.

## Special Needs Trust

Introduction to Special Needs Trusts  
Types and Definitions  
Taxation Issues and Planning  
Administrative Spending Rules  
Guardianship  
Social Security, Medicare, Medicaid  
Special Concerns for Special Beneficiaries  
Lifetime Protection Issues  
The ABLE Act  
Choices and Assurances at Death

### LOCATIONS

Chicago, IL  
*\$1,570*

### INSTRUCTORS

Jacqueline Riorden  
*Adjunct*

# Charitable Foundation Management

Understanding the complexities of these areas can be overwhelming to the professional charged with adhering to the laws and policies governing these entities. This course outlines the types of foundations available to clients as well as the technical expertise needed to navigate investment choices and fiduciary responsibilities.

## Charitable Foundation Management

Sector Overview  
Types of Foundations  
Gift & Estate Tax  
Investments  
Impact Investing  
Roundtable Discussion

### LOCATIONS

Chicago, IL  
*\$1,570*

### INSTRUCTORS

Jacquie Hart  
*Adjunct*

Myles McHale  
*Adjunct*



# Family Business Succession

This class is intended for business consultants, trust officers, and financial advisors who advise family businesses in succession planning. Students will gain a knowledge and understanding of family business owners, the unique dynamics of family businesses, and how to advise them as they plan for the

## Family Business Succession

Understanding and Managing the Family/Business Dynamic  
Understanding Generational Values and Communication  
Governance and Leadership Development Models  
Business Valuation  
Preparing the Senior Generation for Succession  
Preparing the Next Generation for Succession  
Natural Resource-based Businesses Challenges  
Estate Planning

### LOCATIONS

Chicago, IL  
*\$1,570*

### INSTRUCTORS

Daniel A. Smith  
Clinton J. Bentz,  
*Adjunct*

# Trust Tax Fundamentals

This course is designed for people who have responsibility for preparing and reviewing tax returns for simple, complex, grantor, and charitable trusts. Class time provides both comprehensive coverage of the relevant laws and regulations as well as practical hands on learning including case studies, quizzes, and examples to apply the knowledge gained during the class. This one-week course is divided into two parts, Fiduciary Tax Fundamentals (3-days) and Charitable Trust Tax Fundamentals (2-days).

## Fiduciary Tax Fundamentals

Understanding Trust Documents  
 Introduction to Trust Taxation  
 Grantor Trust Rules, Including Intentionally Defective Grantor Trusts  
 Planning with Grantor Trusts  
 Understanding and Determining Trust Accounting Income (TAI)  
 Understanding and Determining Distributable Net Income (DNI)  
 In-depth Discussion of How and When Capital Gains are Allocated to Beneficiaries  
 Complex Trust Issues/Elections  
 Estate/Death Administration Trusts  
 Income and Deductions in Respect of a Decedent (IRD/DRD)  
 Comprehensive Case Study

## Charitable Trust Tax Fundamentals

Charitable Giving Overview  
 Exempt Organizations  
 Supporting Organizations  
 Private Operating Foundations  
 Computing the Private Foundation Net Investment Income Tax  
 Excise (Penalty) Taxes  
 Unrelated Business Income  
 Filing Requirements  
 Private Foundation Case Study  
 Split-Interest Trusts  
 Charitable Remainder Trusts (CRT)  
 Charitable Lead Trusts (CLT)  
 Pooled Income Funds  
 Charitable Remainder Unitrust Case Study

## LOCATIONS

South Bend, IN  
 \$2,585

## INSTRUCTORS

Daniel A. Smith,  
 Clinton J. Bentz  
*Adjunct*



# Estate, Gift and Generation Skipping Tax Fundamentals

This class is designed for those who advise clients on estate and gift planning, or are responsible for preparing or reviewing gift, estate, and generation skipping transfer tax returns. You will gain an in-depth knowledge of how the gift, estate and generation skipping tax systems function and how they are related to each other.

## LOCATIONS

South Bend, IN

*\$1,570*

## Estate, Gift and Generation Skipping Tax Fundamentals

### Overview

Transfer Taxes vs Income Taxes  
Unified Transfer Tax System  
Gift and Estate Tax Rate Schedules  
Annual Gift Tax Exclusion

### Portability

Impact of Portability Rules on Traditional Estate Plans  
Computing the Deceased Spouse Unused Exclusion (DSUE) Amount  
Making the Portability Election  
The Last Deceased Spouse Rule  
Using the Clayton QTIP with the Portability Election

### The Federal Gift Tax System (IRC Chapter 12)

Completed Gifts  
Gift Valuation and Splitting  
The Annual Gift Tax Exclusion  
Filing Requirements  
Basis of Gifted Property

### The Federal Estate Tax System (IRC Chapter 11)

Framework of the Federal Estate Tax  
Computing the Gross Estate  
Valuation of the Estate  
Estate Tax Deductions  
Filing Requirement

### Generation Skipping Transfer Tax

Overview  
Determining Skip and Non-skip Persons  
Computing the Inclusion Ratio  
Automatic Allocation Rules  
Taxable Events

## INSTRUCTORS

Daniel A. Smith,  
Clinton J. Bentz  
*Adjunct*



INTRODUCTORY



# Trust Taxation for Trust Officers

This class is intended for trust officers and trust administrators. Many of the actions and decisions you make as a trust officer or administrator have tax consequences for the trust and for your beneficiaries. Your tax department depends on you to understand and code these transactions correctly. This high-level, two-day course is designed to give you a basic understanding of the taxation of trusts, tax issues with trust funding and distributions, distributing capital gains to beneficiaries, generation skipping transfer tax, tax elections and much more.

## Trust Taxation for Trust Officers

- Overview of Trust Taxation
- Powers of Appointment
- Grantor Trust Rules
- Trust Accounting Income
- Distributable Net Income
- Taxation of Distributions
- Distributing Capital Gains
- Tax Elections for Complex Trusts
- Total Return Trusts
- The Taxation of Estates
- Generation Skipping Transfer Tax
- Tax Compliance Issues

## LOCATIONS

South Bend, IN  
*\$1,570*

## INSTRUCTORS

Daniel A. Smith,  
Clinton J. Bentz  
*Adjunct*



# Securities Operations I, II, III

The Securities Operations curriculum contains facts, explanations, diagrams and examples of how stocks, bonds, and derivatives are processed in the U.S. These courses not only explain how brokers process securities but also how brokers, banks, trust companies and investment managers do their jobs and how each works with the other. Students learn how securities are created and distributed through the OTC market, the Stock Exchange and the Alternative Trading Systems. In addition, students study the various firms that make up the industry's infrastructure (exchanges, clearinghouses and depositories), and the differentiating characteristics of the many types of instruments that are traded. Securities Operations I, II, III educates students in areas of trust operations and securities processing responsibilities thereby preparing you to sit for the CSOP™ exam.

## Securities Operations I

Securities Marketplace  
Financial Instruments  
Securities Lending  
Uniform Principal and Income Act  
Regulators and Regulations

## Securities Operations II

Personal Trust Products and Services  
Corporate Trust and Agency Services  
Trust Audit, Compliance, and Risk Management  
Investment Management Products and Services  
Valuing Hard-to-Value Assets

## Securities Operations III

Industry Facilities  
Mortgage-Backed Securities  
Asset-Backed Securities  
Auction Rate Securities  
Securities Processing  
Operations Management  
Global Custody  
Foreign/NRA Tax Withholding  
Securities Transfer SEC Rules  
Controls, Reconciliations, and Audit Practices and Procedures  
CSOP™ Exam Review

## LOCATIONS

Malibu, CA

*\$3,025*

South Bend, IN

*\$2,585*

Cannon Online

*\$3,025*

## INSTRUCTORS

Duane E. Lee, II

*Curriculum Chair*

Lawrence T. Divers

Michael Daly

*Adjunct*

Jeff Kropschot

*Adjunct*



INTERMEDIATE



# Securities Operations Issues & Updates

These courses are structured to keep operations professionals apprised of current developments within the industry. Students engage in course studies with leading Cannon experts as well as industry peers.

## *Online Exclusives*

### **Uniform Principal and Income Act: More than Just a Name Change**

a discussion of the next revision to The Uniform Principal and Income Act as it changes to the Uniform Fiduciary Income and Principal Act

### **Mortgage-backed Securities: Who knew it could be so easy?**

a look at the characteristics of one of the most complicated security types in the US marketplace

### **Getting in Line: Regulatory Examination Priorities (OCC, FRB & FDIC)**

an analysis of how these examination priorities will impact your policies, procedures and controls

### **Unique & Hard-to-Value Assets**

a study of assets not readily classified in traditional securities markets; how do you assign value, mitigate risk, and establish systematic protocols?

## **LOCATIONS**

Cannon Online

*prices vary*

## **INSTRUCTORS**

Duane E. Lee, II  
*Curriculum Chair*



ADVANCED





# Trust Audit, Compliance, & Risk Management I, II, III

The Trust Audit, Compliance, & Risk Management curriculum addresses the needs and requirements of trust audit and compliance professionals. Emphasis is on fiduciary regulation, oversight requirements, and performance impact. The curriculum serves at the forefront of the industry in areas of risk analysis approaches to auditing and the elements of a compliance/risk management program related fiduciary administration, investment management, and process services. Regulators and compliance professionals interact together learning to identify fiduciary risks, the significance of non-compliance, as well as how to recognize and effectively deal with trust audit and compliance issues. This unique environment serves to foster an atmosphere of partnership and understanding.

## Trust Audit, Compliance, & Risk Management I

Industry Overview  
Laws Regulations and Rules; Federal & State  
Property Law  
Personal Trust and Agency Administration

## Trust Audit, Compliance, & Risk Management II

Principles of Audit, Compliance, and Risk Management  
Brokerage Operations  
Insurance Products and Services  
Securities Marketplace  
Types of Securities  
Portfolio Management

## Trust Audit, Compliance, & Risk Management III

Retirement Plan Administration  
Assessment of Risk Management  
Securities Operations  
Regulatory Review  
Corporate Trust and Agency Services

### LOCATIONS

Hilton Head, SC  
\$3,495  
Malibu, CA  
\$3,025  
South Bend, IN  
\$2,585  
Boston, MA  
\$2,945  
Cannon Online  
\$3,025

### INSTRUCTORS

Duane E. Lee, II  
*Curriculum Chair*  
Lawrence T. Divers  
Clinton J. Bentz  
*Adjunct*  
Michael Daly  
*Adjunct*  
Jeff Kropschot  
*Adjunct*

### CFIRS®

Cannon offers a proprietary designation exam for individuals completing this curriculum of study; Certified Fiduciary Investment & Risk Management Specialist® (CFIRS®). CFIRS® is the industry's gold standard for professionals in this area.



# Trust Audit, Compliance, & Risk Management Issues & Updates

These courses are structured to keep trust audit and compliance professionals apprised of current developments within the industry. Given the nature of emerging issues and trends, exact coursework may vary.

## Trust Audit, Compliance, & Risk Management Issues & Updates

Hot Topics and Trends  
Regulatory Updates  
Trust Audit Committees  
Case Studies  
Roundtable Discussions

### Online Exclusives

#### Are you ready? The Cybersecurity Assessment Tool

Cyber-crime is on the rise; will your firm be ready to fight back?

#### Getting in Line: FINRA & SEC Examination & Regulatory Priorities

Review the FINRA and SEC issues that may impact your audit, compliance, and risk management processes.

#### The Emerging Uniform Directed Trust Act

Uniform law impacting the rapidly growing area of directed trust is still emerging.

#### Comparing Risks of Discretionary, Delegated, & Directed Trusts

Compliance and risk management see things differently, especially when it comes to the different types of trusts.

### LOCATIONS

Chicago, IL

*\$1,570*

Cannon Online

*prices vary*

### INSTRUCTORS

Duane E. Lee, II

*Curriculum Chair*



# ERISA Compliance & Risk Management

This course is designed to assist compliance, risk management, auditing professionals and retirement services professionals to determine the specific risks associated with the offerings in Retirement Services. Offering retirement plan products and services exposes financial institutions to a range of risk factors. The nature and scope of an institution's varying services determines which risks are present and the quantity of those risks. The course will focus on the following areas: compliance risk; operational risk; strategic risk and reputational risks, associated with

## ERISA Compliance & Risk Management

Review of Plan Types

Review of DOL'S Mandates under ERISA: Titles 1-4

Review of IRS Mandates under 401 (a) and subsections

The Primary Examination Areas of the DOL (16 specific concerns)

The Primary Examination Areas of the IRS (22)

Ideas Concerning Internal Evaluation of the Risks in the Retirement Services Area

## LOCATIONS

Chicago, IL

*\$1,570*

## INSTRUCTORS

Lawrence T. Divers

*Curriculum Chair*

# Fiduciary Investment Management I, II

The Fiduciary Investment Management curriculum addresses areas pertinent to investment products, investment management strategies, and portfolio management. Courses are designed to build in complexity and content from one to the next. A pioneer in fiduciary education, Cannon offers a proprietary designation for individuals completing this curriculum of study; Accredited Fiduciary Investment Manager® (AFIM®).

## Fiduciary Investment Management I

Securities Marketplace  
The Business Cycle  
Debt Securities  
Equity Securities  
Financial Statement Analysis  
Common Stock Analysis Value Line Investment Companies  
Exchange-Traded Fund Notes  
Real Estate Investment Trusts Investment Company  
Analysis Annuities  
Fiduciary Investment Principles Uniform Prudent Investors Act

## Fiduciary Investment Management II

Structured Products  
Investment Manager Fiduciary Practices  
GIPS  
Global Investing  
Dealing with Low-Cost Basis Assets  
ILIT  
Sector Investing  
Capture Ratio  
Alternatives: Commodities and Natural Resources Real Estate  
MPT  
Investing for Different Types of Trust  
Annuities  
Creating and Telling Your Investment Story Retirement  
Income Planning

## LOCATIONS

Hilton Head, SC

\$3,495

Cannon Online

\$3,025

## INSTRUCTORS

Duane E. Lee, II  
*Curriculum Chair*

Lawrence T. Divers



# Unique and Hard to Value Assets

This Cannon exclusive course is designed for trust professionals tasked with administering unique assets so that they may gain the knowledge and skills necessary to succeed. Students will learn best practices for administering residential and commercial real estate; farms and ranches (and other types of specialty real estate); privately-held operating business; mineral, oil and gas; loans and notes; tangible assets and collectibles; and private equity hedge funds and other alternative investments.

## Unique and Hard-to-Value Assets

Current Trust Industry Practices  
 Rules & Regulations, by Account Type (i.e. Custody, Directed Trust, Fiduciary etc.)  
 Administrative Best Practices (services to offer, documentation requirements)

- Traditional Real Estate
- Specialty Real Estate
- Minerals, Oil & Gas
- Privately-Owned Businesses
- Loans and Notes
- Life Insurance
- Tangible Assets & Collectibles
- Private Equity, Hedge Funds, Etc.

Valuation  
 Account Acceptance & Administration (including checklists)  
 Annual Review (Regulation 9) Considerations  
 Fee Considerations  
 Process and Account Remediation  
 Profit Opportunities

## LOCATIONS

South Bend, IN  
*\$2,585*

Cannon Online  
*prices vary*

## INSTRUCTORS

Duane E. Lee, II  
*Curriculum Chair*

Brad Davidson  
*Adjunct*

Clinton J. Bentz  
*Adjunct*

Michael Brohawn  
*Adjunct*

Michael Daly  
*Adjunct*

Richard Jacobs  
*Adjunct*

Robert Randone  
*Adjunct*

# Corporate Trust I, II, III

The Corporate Trust courses serve a unique and complex sector of financial services. Financial services for businesses and government services require a specialized skill set including both technical and sales acumen. The Certified Corporate Trust Specialist (CCTS™) designation is a must for professionals within this industry. This curriculum leads to this distinguished designation and can only be found through Cannon Schools.

## Corporate Trust I

Capital Markets  
Role of the Trustee  
Securities Laws and Trust Indenture Act  
Fundamentals of ABS and MBS  
Securities Subprime Crisis  
Municipal and Corporate Administration  
Account Acceptance Process  
Funds and Accounts  
Operations Functions; Investments  
Credit Enhancements  
Merger/Acquisition Case

## Corporate Trust II

Policies and Procedures; Audits  
Mortgage and Asset Backed Securities  
Tax Exempt Housing and Student Loan Disclosures  
Defaults and Bankruptcy  
Trust Indenture Act Procedures  
Default Risk Management  
Litigation and Depositions  
Operations; Arbitrage  
Fees and Pricing; Relationship Selling  
Risk Management Issues

## Corporate Trust III

Critical Issues and Updates  
Proprietary Mutual Funds  
Sales Tactics and Product Development  
Pricing Strategy, Mergers and Acquisitions  
Case Law Update, Risk Management Issues  
Industry Influencers  
Technology Use and Conversions Management  
Global Trustee Issues  
CCTS™ Review

## LOCATIONS

Hilton Head, SC

*\$3,495*

Boston, MA

*\$2,945*

Cannon Online

*\$3,025*

## INSTRUCTORS

Duane E. Lee, II  
*Curriculum Chair*

Michael Daly  
*Adjunct*

James Spiotto  
*Adjunct*



INTERMEDIATE



# Retirement Planning Services I, II, III, IV

The Retirement Plan Services curriculum addresses the responsibilities involved with fiduciary administration and client services of retirement plans and employee benefits. Retirement Plan Services I is considered fundamentals and is intended for those professionals new to this area. All other courses build in complexity from one class to the next leading toward the Certified Retirement Services Professional (CRSP™).

## Retirement Plan Services I

General Rules for Qualification  
Defined Benefit and Cash Balance Plans  
Money Purchase Plans  
Cross Tested/Age Weighted Plans  
Profit Sharing Plans  
401(k) Plans  
ESOP/Stock Bonus Plans  
IRA Plan Types  
Qualified Plans: Distributions and Loans

## Retirement Plan Services II

IRAs; General Retirement Plan Qualification Rules  
Defined Benefits  
401k Plans  
ADP/ACP Testing  
Allocation Workshop  
Investment Management

## Retirement Plan Services III

ERISA Fiduciary Rules  
Consequences of Breach  
OCC Examiner Procedures  
Choosing Funds and Investment Design Alternative Plan Designs  
Permitted Disparity  
Non-Qualified Plans  
Commingled Trust Funds

## Retirement Plan Services IV

Fiduciary Responsibility Overview 404(C)  
Documents and Reporting  
Loans, ESOPs  
Regulatory Bodies and Regulations Asset Allocation

### LOCATIONS

Malibu, CA  
\$3,025  
South Bend, IN  
\$2,585  
Boston, MA  
\$2,945  
Atlanta, GA  
\$2,585  
Cannon Online  
\$3,025

### INSTRUCTORS

Lawrence T. Divers  
*Curriculum Chair*  
Duane E. Lee, II



INTRODUCTORY



INTERMEDIATE



# IRA Professional School

This course is geared toward those professionals responsible for establishing or maintaining traditional and Roth IRAs and those responsible for advising clients on how to navigate the complex and ever-changing tax rules pertaining to these accounts. Upon completing this course, students are prepared to sit for the Certified IRA Services Professional (CISP™) exam.

## IRA Professional School

Introduction  
Employer Plans (SEP & SIMPLE)  
Documentation and Maintenance Requirements  
Contributions  
Plan Portability  
Distributions  
Fees and Investments  
Retirement Plannin Considerations

## LOCATIONS

Cannon Online  
\$3,025

## INSTRUCTORS

Duane E. Lee, II  
*Curriculum Chair*





# Capitalizing on the Insurance Opportunity

This course focuses on building the comfort and confidence needed to discuss and solve for your clients Risk Management and Insurance needs. By changing the conversation from one around mortality and morbidity to one of economic impact around the issue, this course is about building conversational skills needed to introduce risk management and insurance discussions with clients. Advisors will outline the process necessary to address client's often overlooked risk management and insurance needs, opportunities, and concerns and engrain these routines into their practice.

## Capitalizing on the Insurance Opportunity

The Mindset of Advisors and Clients on Risk Management & Insurance Planning  
 Key Elements of Insurance Contracts (Understanding the products and how they work)  
 How Risk Management and Insurance Achieve and Protect Wealth Management Goals in

- Education Planning and Family Support
- Retirement
- Business Owner Protection
- Charitable Giving
- Legacy Planning & Wealth Transfer

Gaining the Appointment through an Efficiency Review  
 The PERIL Discovery Conversation  
 Determining a Client's Protection Gap (Insurance Needs/Gap Analysis)  
 Presenting Insurance as a Solution  
 Addressing Client Concerns  
 Creating Insurance Opportunities through the Annual Review Process

### LOCATIONS

Chicago, IL

\$1,570

### INSTRUCTORS

David C. Bell

Thomas J. (Jeff) Cobb



# Correction Proof Your Practice

Are your advisors prepared for a market correction? Through research and intensive, detailed conversations with advisors who weathered the last major correction with success, Cannon Financial Institute has created a roadmap and a toolkit to prepare advisors to deal effectively with any coming correction.

What is at risk? Advisor health and performance. According to the Journal of Financial Therapy, as many as 90% of advisors suffered symptoms similar to PTSD in the wake of the last market crash; a result of two factors. First, the relentlessness of negative conversations with clients who had sustained losses, and second, the losses suffered by the advisors themselves in income, AUM, and client relationships resulted in severe stress. This program allows you to proactively prepare your team, and therefore your clients, for any impending market declines.

## Correction Proof Your Practice

Demonstrate an understanding of the behavioral finance biases likely to affect clients in a downturn  
Learn to proactively contact clients when a correction occurs

Prepare for client conversations using a mnemonic – GROWTH

Apply appropriate interpersonal skills to reflect the best thinking given current realities

Grow your practices by prospecting during a market correction

Analyze your practice for vulnerability before a correction occurs

Protect yourself and your practice by employing effective stress management techniques

## LOCATIONS

Chicago, IL

\$1,570

Atlanta, GA

\$1,570

## INSTRUCTORS

Linda Eaton

INTRODUCTORY



# Certified Wealth Strategist® (CWS®)

The Certified Wealth Strategist®, exclusive to Cannon, is an application focused designation that aligns the needs of financial services firms, advisors, and consumers. The program incorporates three competencies required to be productive and effective as a wealth advisor: creating business routines, applying client interaction and relationship skills, and obtaining competency in the technical wealth management issues faced by the high net worth market. Participants achieve significant levels of mastery and business growth by integrating financial advice competency with the ability to deliver expertise from multiple real world perspectives.

## Certified Wealth Strategist®

Defining a Book of Business by Client Niche  
Identifying and Working with Centers of Influence  
Developing and Articulating a Personal Branding Message  
Crafting Skillful Conversations Focused on an Advisory Practice Model  
Application of Core Skills Required for Being Successful in Serving High Net Worth Clients  
Technical Review of the 13 Wealth Management Issues Case Studies  
Demonstration of Discovery and Client Presentation Skills

*\*Portions of this designation program may be available separately. Contact a Client Advisor for details.*

## LOCATIONS

Chicago, IL

\$5,560\*

Atlanta, GA

\$5,560\*

Cannon Online

\$5,560\*

## INSTRUCTORS

J. Phil Buchanan

David C. Bell

Linda Eaton

Thomas J. (Jeff) Cobb

Clark Brown

*Adjunct*



# Certificate in Behavioral Finance

## The “Behavior Gap”

Each year DALBAR publishes the Quantitative Analysis of Investor Behavior. It shows how individual investors consistently underperformed the actual investment they have owned. This phenomenon has been coined the “behavior gap.” This evidence stands in stark contrast to the expectations of classical economics, which is rooted in the notion that investors are inherently rational economic beings. But research in the field of behavioral economics has shown that investors are human beings, and not perfectly rational creatures. The reality is that investor’s personal beliefs and biases influence their decision making. And the results show up in DALBAR’s report each and every year.

## Become a Behavioral Coach

Do you advise clients with regard to their finances? Is your intent to truly help your clients make smart decisions about their wealth? If so, understanding how these biases work in the decision-making process is absolutely critical. In this workshop you will learn how to act as a Behavioral Coach by recognizing behavioral biases and appropriately intervening.

Upon successful completion of the program requirements, participants will be awarded a Certificate in Behavioral Finance from the Certified Wealth Strategist® Board of Directors.

## Certificate in Behavioral Finance

Identify Investor Behavioral Biases in Clients  
 Recognize Four Behavioral Investor Types  
 Apply Behavioral Finance to the Asset Allocation Process  
 Learn Coaching Techniques to use when Advising Your Clients  
 Learn how to brand and position yourself as a Behavioral Coach  
 Embed Behavioral coaching into your Client Acquisition Process and your Client Experience

## LOCATIONS

Chicago, IL  
*\$1,570*

## INSTRUCTORS

Clark Brown  
*Adjunct*

Michael M. Pompian  
*Adjunct*



# Call Center Foundations

The Call Center Foundations program is designed for advisors working in contact centers with inbound and outbound client engagement models. This fundamental course will provide advisors with an opportunity to collaborate with peers and leaders to learn the basic knowledge, skills, and practice management activities required to serve their clients and grow their business. Advisors will engage in this experience through eLearning, user-created videos, discussions, case studies, and skill assignments with their manager, peers, and experts.

## LOCATIONS

Cannon Online

*prices vary*

*Estimated completion  
time is 6 weeks*

# Sales and Practice Management Foundations

This fundamental course provides the basic knowledge, skills, and practice management activities required to serve affluent clients and grow business. Participants focus on topics such as understanding their firm's segmentation strategy, personal branding, pre-call planning, basic discovery and presentation techniques, listening, closing, and conducting a goals-based annual review.

A Cannon subject matter expert serves as an interactive coach while participants engage through eLearning, user-created videos, discussions, case studies, and skill assignments with their peers and managers. Select Wealth Management Issues and Conversation modules can be added based on the client segment served.

## LOCATIONS

Cannon Online

*prices vary*

*Estimated completion  
time is 3 weeks*

## Call Center Foundations & Sales and Practice Management Foundations

Segmentation & Service  
Pre-Call Planning  
Branding Message & Value Proposition  
The Initial Contact  
Handling Client Concerns  
Active Listening  
Effective Discovery  
Presentation Skills  
Closing Skills  
Annual Review

## INSTRUCTORS

David C. Bell

Linda Eaton

Thomas J. (Jeff) Cobb

INTRODUCTORY





– INSTRUCTORS –

---

**David C. Bell** *CWS®*

**Executive Vice President**

David brings thirty years of practitioner expertise in global Comprehensive Wealth Management to his clients. He provides efficient and strategic insights into areas of practice management, client acquisition, growth and retention, as well as technical instruction. David approaches his client engagements as a vested partner. As a result, he is regarded as a life-long coach and mentor by his audiences.

---

**Linda Eaton** *CWS®*

**Executive Vice President**

Linda has devoted the better part of the last three decades to helping individuals and organizations improve their performance. She focuses much of her activity on helping client-facing advisors become measurably better at the relationship management aspects of their business. Linda believes that clients deserve their best advice and service possible and truly need advisors to help them achieve their goals.

---

**J. Phil Buchanan** *CFP®, CWS®*

**Chairman of the Board**

Phil serves as Executive Chairman of the Board for Cannon Financial Institute. Phil is a highly sought wealth management expert. He has worked with major financial services firms in North America and their subsidiaries abroad as a speaker, trainer, consultant, and coach. Phil delivers keynotes at industry gatherings, writes for industry publications, and is frequently interviewed by the media on wealth management.

---

**Duane E. Lee, II**

*CFIRS™, CSOP™, AIF®, AFIM®, CFP®*

**Executive Vice President**

Duane is a fiduciary services expert with over three decades in the financial services industry. He believes rules of engagement are not merely guidelines but valuable tools that when executed properly, drive increased shareholder value, employee performance and client satisfaction. Duane's extensive experience in the industry enables him to connect with students, so they are able to immediately convert the classroom experience to their daily responsibilities.

---

**Thomas J. (Jeff) Cobb**

*CFP®, CWS®, AIF®*

**Executive Vice President**

Jeff has a thorough understanding of the issues and challenges advisors face every day. His energy and passion are the foundation for connecting his seventeen years of personal experience with advisors at all stages in their career. Jeff's goal is for every financial professional to have the confidence, competence, and the framework necessary for their practice to continue to grow.

---

**Daniel A. Smith** *CFP®, CWS®*

**Executive Vice President**

Daniel specializes in sales and relationship management skills and their integration with the complexities of estate planning, estate taxation, charitable giving, and investment management issues. He is a frequent speaker at banks, trust companies, brokerage firms and other financial services companies nationwide. Daniel's consulting work includes computer-based learning solutions, private family wealth consultation, and expert witness services.

---

**Lawrence T. Divers**

*CRSP™, AIF®*

**Executive Vice President**

Larry brings a comprehensive knowledge of investments, retirement plans, and wealth management into each of his engagements, using his experience to adeptly convey complex ideas in a straightforward way. He is a prominent fiduciary consultant, advising and training across the financial services industry. The end result of his guidance is efficient, strategic and in-depth product, marketing and sales plans.

---



– INSTRUCTORS –

---

### Clinton Bentz *CPA*

#### Adjunct Instructor

Clint is both a Certified Public Accountant and a Certified Management Accountant. Clint regularly writes articles on succession and estate planning, timber taxation and trust taxation issues and is a popular speaker on these topics for both lay audiences and tax professionals.

---

### Clark D. Brown *CWS®*

#### Adjunct Instructor

Clark is a passionate advocate for advisors and the clients they serve. He has worked across every delivery channel providing consulting, training and coaching. Clark has spanned the globe in his work with Cannon both domestically and abroad.

---

### Michael Daly *CFIRS™, CSOP™*

#### Adjunct Instructor

Mike is the Director of Risk Management and Operations for Pohl Consulting and Training, Inc. He has over twenty-five years of experience in organizational effectiveness and enterprise improvement. Mike focuses much of his work in the areas of fiduciary risk management, administration, and operations.

---

### Brad Davidson

#### Adjunct Instructor

Brad Davidson is a recognized expert in valuing, administering and managing “unique assets”. He is founder of and a Principal with Spardata, a unique asset valuation firm and is Managing Partner of Unique Asset Partners LLC.

---

### Jacquie Hart *CTEA™, CIMA®*

#### Adjunct Instructor

Jacquie has three decades of experience in senior roles with both public and private companies and boards of directors. Her experience range includes financial services, consumer products, education, entertainment, healthcare, retail, technology, and philanthropy

---

### Chuck Kind *CTEA™, CFP®*

#### Adjunct Instructor

Chuck is a Senior Vice President and Sales Development Manager for National Sales for the Private Bank within Wells Fargo. He is helps develop high-impact sales training and tools to help Advisors reach their full potential in serving their clients and growing our business.

---

### Jeffrey Kropschot *CFIRS™, CTCP, IACCP*

#### Adjunct Instructor

Jeff spent ten years as a bank and trust examiner within state and federal agencies. He left the public sector in 1998 and spent ten years as the Chief Compliance Officer at A.G. Edwards Trust Company FSB, before joining Edward Jones Trust Company in 2008.

---

### Myles McHale *AIF®*

#### Adjunct Instructor

Myles is the Regional Managing Director for Private Wealth Management of U.S. Bank for South West Florida. He provides comprehensive wealth management strategies tailored to client specific needs including areas of Investment Management, Private Banking, Trust and Estate Services and Wealth Planning.

---

### Jacqueline Riorden

#### Adjunct Instructor

Jacqueline is a Fiduciary Officer with ESL Trust Services, LLC. Throughout her career she has focused on the areas of estate and trust planning and administration, Medicaid planning, Medicaid eligibility, special needs trust planning and administration, estate tax and fiduciary income tax.

---

### James Spiotto

#### Adjunct Instructor

James is a Managing Director of Chapman Strategic Advisors LLC. He engages in strategic and advocacy initiatives on topics of high interest to indenture trustees, bondholders, municipal market participants and investors in municipal securities and educational forum presentations on issues impacting these groups.

---



– ADDITIONAL OFFERINGS –

---

## Cannon Online

Our various online learning programs create an affordable way to bring Cannon subject matter experts to your computer.

### Essentials of Trust and Estate Planning

The estate planning process involves four major phases: creation, protection, preservation, and management of an estate. Estate planning may also be referred to as comprehensive wealth management. It is important to understand that these four steps are NOT exclusive of each other. This suite will provide you with the concepts and terminology you need to understand the process, the tax implications of the process, and common estate planning strategies executed during life and upon a client's death.

### Wealth Management Collection

This collection helps those serving the high-net worth market comprehensively serve their clients. Each course in this collection includes:

- A pdf study guide of technical content
- A 30-question exam to demonstrate mastery of the technical concepts
- Approximately 1 hour of contextual audio content
- A video-based lesson of conversational discovery skills

### SkillBuilder Video Collection

This entire collection of 22 video lessons will provide you with sample scripting and helpful tips that will assist in growing your advisory business. This collection includes videos that provide talking points and sample scripting related to:

- Annual Client Reviews
- Asking Questions with a Purpose
- Branding to Prospects & Current Clients
- Build Your Client Experience
- Conduct Great Client Meetings
- Creating Fact, Concern, & Consequence Questions
- Discovering Values Around Wealth
- Educating Referral Sources
- Insurance Discovery & Demonstration
- Gap Analysis
- Introductions from Business Partners
- Investment Discovery & Demonstration
- Manage a Large Book
- Pre-Call Planning for Client Meetings
- Pre-Planned Presentations
- Qualifying Conversations
- Relationship Review
- Retirement Discovery & Demonstration





## Books

Cannon's publications serve as navigation tools throughout the ever-changing financial services industry. These guides contain thought-provoking material in financial laws, codes and techniques. They will assist you in the classroom or serve as an ongoing reference throughout your career.

### **Concepts for Professionals**

This book is a complete library of essential financial concepts. *Concepts for Professionals* gives you a tool at your fingertips to better facilitate your clients understanding of current financial issues.

### **The Tools & Techniques of Estate Planning**

This publication is a tactical guide to everything you need to know about estate planning. Filled with benchmark case studies and legal dispositions, this book takes an extensive look into the tools and techniques needed to better advise your clients.

### **The Tools & Techniques of Investment Planning**

Discover investment strategies for clients with a current understanding of the "How's" and "Why's." This book will be valuable in increasing your responsiveness through comprehensive, technically relevant answers that are quickly found and reflect current regulations.

### **The Tools & Techniques of Employee Benefit and Retirement Planning**

Written by experts Stephan Leimberg and John McFadden, *The Tools & Techniques of Employee Benefit and Retirement Planning* remains a practical, time-saving resource filled with up-to-date guidance and is the key for your successful employee benefit and retirement planning.

### **The Tools & Techniques of Trust Planning**

In contrast to academic trust publications that focus on the ramifications of various trust terms and deep case law analysis, this new resource provides a refreshing alternative in the form of a succinctly written collection of chapters on trending topics in trust planning.

### **Principles of Estate Planning**

This publication covers all aspects of estate planning, from basic principles of property transfers to complex financial techniques that can be used to deal with a wide variety of client circumstances. Gain an understanding of the concepts that are critical for achieving important professional designations as well as building a successful practice with real-world examples of common estate planning problems.



## - ADDITIONAL OFFERINGS -

---

### Audio

Cannon's digital audio programs help you navigate prevalent issues, learn a great deal, and manage your valuable time between client meetings or during your commute.

#### **Growing Your Business - Audio Series**

*Growing Your Business* is the key to attracting and serving high net worth clients. This audio series takes a systematic approach to transform Financial Advisors into Wealth Management Advisors. Learn to significantly grow your business by gathering a larger percentage of your current clients' assets, retaining those assets for a longer period of time, and attracting wealthier clients. In addition, learn how to work with your clients' other advisors, and acquire powerful techniques for interviewing, surfacing, and communicating complex and sophisticated financial issues to the high net worth individual.

#### **13 Wealth Management Issues - Audio Series**

Financial services professionals must be prepared to discuss the financial areas of greatest importance to both clients and prospects. Cannon has researched these areas and identified *The 13 Wealth Management Issues*. Learn to surface opportunities, recommend solutions, and know when and how to introduce an expert.

#### **Concepts & Analyses of Trusts & Estate Planning - Audio Series**

Cannon's audio series, *Concepts & Analyses of Trusts & Estate Planning*, is designed to clear the common misperceptions regarding trust and estate planning. This program consists of six programs featuring Cannon's instructors with over seven hours of valuable

information. Each program outlines, presents, and analyzes key Trust & Estate Planning rules and concepts in a "Rules and Issues Lecture" section. This is followed by "Key Questions and Conversation" between the program facilitators, highlighting and discussing specific areas of ambiguity or common misperceptions and directing the listener to the appropriate conclusion.

### Podcasts

#### **Monday Morning Mojo**



Start each week with a motivational and inspirational message from Cannon's Executive Chairman, Phil Buchanan.

---

#### **The Cannon Curve**



Listen to our podcast series featuring industry leaders talking with Cannon's Executive Chairman, Phil Buchanan.

---

#### **First Friday Feedback**



A monthly podcast hosted by Cannon's Executive Chairman Phil Buchanan, dedicated to answering the questions posed by listeners of sister podcasts, Monday Morning Mojo and The Cannon Curve.



- DESIGNATIONS & CONTINUING EDUCATION -

Designation	Abbr.	Designation Authority	Education Options	Exam Administrator	Cannon Exclusive
Certified Fiduciary & Investment Risk Specialist®	<b>CFIRS®</b>	CFI	Trust Audit, Compliance, & Risk Management School (formerly FIRM I, II, III)	CFI or approved proctor (must be college or university)	✓
Certified Wealth Strategist®	<b>CWS®</b>	CFI	Sales and Practice Management School (CWS® I, II)	CFI	✓
Certified Trust & Financial Advisor™	<b>CTFA™</b>	ABA	Personal Trust School (TR I, II, III)	ABA or approved proctor (CFI is approved at all Cannon Trust III locations)	
Certified Securities Operations Professional™	<b>CSOP™</b>	ABA	Securities Operations School (SO I, II, III)	ABA or approved proctor (CFI is approved at all SO III locations)	
Certified Retirement Services Professional™	<b>CRSP™</b>	ABA	Retirement Plan Services School (RPS I, II, III, IV)	ABA or approved proctor (CFI is approved at all RPS IV locations)	
Certified IRA Services Professional™	<b>CISP™</b>	ABA	IRA Professional School	ABA or approved proctor (CFI is approved at IRA school location)	
Certified Corporate Trust Specialist™	<b>CCTS™</b>	ABA	Corporate Trust School (CT I, II, III)	ABA or approved proctor (CFI is approved at CT III location)	
Accredited Fiduciary Investment Manager®	<b>AFIM®</b>	CFI	Investment Management School (IM I, II)	CFI	✓



### **ABA Professional Certifications**

ABA Professional Certifications is dedicated to promoting the highest standards of performance and ethics within the financial services industry.

### **ENROLLED AGENTS**

Cannon is designated as a qualified education sponsor by the IRS and can offer Continuing Education credit to Enrolled Agents. Cannon's agreement with the IRS's Office of Professional Responsibility is that Cannon will meet the requirements of 31 Code of Federal Regulations, Section 10.6(g), covering maintenance of attendance records, retention of program outlines, qualifications of instructors, and length of class hours. This agreement does not constitute an endorsement by the IRS as to the quality of the programs or their contribution to the professional competence of the enrolled individual.

### **CFP®, CERTIFIED FINANCIAL**

**PLANNER™** are certification marks owned by the Certified Financial Planner Board of Standards, Inc. These marks are awarded to individuals who successfully complete the CFP® Board's initial and ongoing certification requirements.

### **CFP® Board CE Quality Partner**

As a CE Quality Partner, Cannon Financial Institute has demonstrated a commitment to developing continuing education ("CE") programs that meet a high set of standards outlined by the CFP® Board. To achieve and maintain status as a CE Quality Partner, Cannon agreed to have a random number of self-study and live programs reviewed against a rigorous evaluation rubric developed by the CFP® Board's Council on Education. Cannon is one of only nine CE Sponsors listed on the CFP® Board's website as a CE Quality Partner, and is authorized to identify itself as such on its program materials.

### **CPAs**

Cannon Financial Institute is registered with the National Association of State Boards of Accountancy (NASBA) as a sponsor of continuing professional education on the National Registry of CPE Sponsors. State boards of accountancy have final authority on the acceptance of individual courses for CPE credit. Complaints regarding registered sponsors may be addressed to the National Registry of CPE Sponsors, 150 Fourth Avenue North, Suite 700, Nashville, TN, 37219-2417 or by visiting the website: [www.nasba.org](http://www.nasba.org).

### **CWS®, CFIRS®, AFIM®**

Cannon Financial Institutes' certification programs require an extended course of study and ongoing Continuing Education. Cannon Financial Institute owns the marks, CWS®, Certified Wealth Strategist®, CFIRS®, Certified Fiduciary Investment Risk Management Specialist®, and AFIM® Accredited Investment Fiduciary®, which it awards to individuals who successfully complete the appropriate program and receive satisfactory scores on final exams and Capstone Projects.



## Registration

Each student should register prior to the beginning of the school they are attending. Students may register for classes by phone, fax, email, or internet. Early registration is encouraged in order to allow for adequate materials, classroom space, and housing (where applicable). Additionally, class locations and offerings may change based on participation.

## Payment

Payment is expected thirty days prior to class. Cannon Financial Institute offers invoicing, and accepts credit cards, ACH, and corporate checks.

## Check-in

**Campus Locations:** On-site registration runs from 2:00pm-6:00pm Sunday afternoon. General information and study materials are distributed during this time. Every effort should be made to attend this important time.

**City Locations:** On-site registration runs from 7:30am–8:00am Monday morning. General information and study materials are distributed at this time.

## Orientation

**Campus Locations:** A required orientation takes place Sunday evening during dinner. General guidelines, introduction of the Cannon faculty and staff, as well as an overview of the week's classes will be given at this time.

## The Cannon Office

**Campus Locations:** Cannon maintains an office while on campus for Schools. The Cannon Schools staff is available throughout the day for various needs of students and faculty. The specific location is provided during Orientation.

**City Locations:** Cannon staff is accessible by email and phone throughout the day. In addition, staff members circulate throughout the classrooms to address your concerns and special requests.

## Graduation

Graduation is a long standing tradition for Cannon students at our campus locations. This is a time for recognition of outstanding achievements and significant milestones. The certificates and plaques awarded at these ceremonies adorn office walls throughout financial institutions across the country and the world.

# Master Schedule

For tuition rates or more information, please contact  
a Cannon Client Advisor at **706-353-3346** or visit  
**[www.cannonfinancial.com](http://www.cannonfinancial.com)**.

OPEN

## 2020 Cannon Schools Schedule

Hilton Head, SC  
Sea Pines

Pepperdine  
University  
Malibu, CA

University of  
Notre Dame  
South Bend, IN

### PERSONAL TRUST SCHOOLS (CTFA™)

Cannon Trust Fundamentals		May 10 - 16	July 19 - 25
Cannon Trust School I	Feb 2 - 8	May 17 - 23	July 19 - 25
Cannon Trust School II	Feb 2 - 8	May 17 - 23	July 26 - Aug 1
Cannon Trust School III	Feb 2 - 8	May 17 - 23	July 26 - Aug 1
Cannon Trust School Issues & Updates			
Special Needs Trusts			
Charitable Foundation Management			
Family Business Succession			

### TAX SCHOOLS

Trust Tax Fundamentals			July 19 -25
Trust Taxation for Trust Officers			July 27 - 28
Estate, Gift & Generation Skipping Tax Fundamentals			July 30 - 31

### SECURITIES OPERATIONS SCHOOLS (CSOP™)

Securities Operations I		May 17 - 23	July 26 - Aug 1
Securities Operations II		May 17 - 23	July 26 - Aug 1
Securities Operations III		May 17 - 23	July 26 - Aug 1
Securities Operations Issues & Updates			

### TRUST AUDIT, COMPLIANCE & RISK MANAGEMENT SCHOOLS (CFIRS®)

Trust Audit, Compliance & Risk Management I	Jan 26 - Feb 1	May 10 - 16	July 19 -25
Trust Audit, Compliance & Risk Management II	Jan 26 - Feb 1	May 10 - 16	July 19 -25
Trust Audit, Compliance & Risk Management III	Jan 26 - Feb 1	May 10 - 16	July 19 -25
Trust Audit, Compliance & Risk Management Issues & Updates			
ERISA Compliance			

### INVESTMENT SCHOOLS (AFIM®)

Fiduciary Investment Management I			
Fiduciary Investment Management II	Jan 26 - Feb 1		
Unique and Hard To Value Assets			July 26 - Aug 1

### CORPORATE TRUST SCHOOLS (CCTS™)

Corporate Trust I			
Corporate Trust II			
Corporate Trust III	Feb 2 - 8		

### RETIREMENT PLANNING SCHOOLS (CRSP™)

Retirement Plan Services I - Fundamentals			
Retirement Plan Services II		May 10 - 16	
Retirement Plan Services III			July 26 - Aug 1
Retirement Plan Services IV			
IRA Professional School			

### RELATIONSHIP MANAGEMENT SCHOOLS

Correction Proof Your Practice			
Capitalizing on the Insurance Opportunity			
Certified Wealth Strategist® I			
Sales and Practice Management			
Certified Wealth Strategist® II			
Mastering Client Engagement			
Certificate in Behavioral Finance			

of ie IN	Boston University Boston, MA	Chicago, IL Hilton	Atlanta, GA AMA	Online Campus
5				Begins Feb 21 & Aug 17
5	Aug 9 - 15		Sept 27 - Oct 3	Begins Feb 24 & Aug 31
j 1	Aug 9 - 15		Sept 27 - Oct 3	Begins Feb 24 & Aug 31
j 1	Aug 9 - 15		Sept 27 - Oct 3	
		Aug 24 - 25		Available Now
		Aug 24 - 25		
		Aug 24 - 25		
		Aug 24 - 25		
5				
8				
1				
j 1				Begins Sept 28 <sup>th</sup>
j 1				Begins Sept 28 <sup>th</sup>
j 1				
				Available Now
5	Aug 9 - 15			Begins Feb. 14 <sup>th</sup>
5				Begins Feb. 14 <sup>th</sup>
5				Begins Feb. 14 <sup>th</sup>
		Aug 24 - 25		Available Now
		Aug 24 - 25		
				Begins Sept 27 <sup>th</sup>
j 1				
				Begins Feb. 14 <sup>th</sup>
	Aug 9 - 15			
				Begins March 2 <sup>nd</sup>
j 1				
			Sept 27 - Oct 3	
	Aug 9 - 15			
		April 27 - 28	Sept 28 - 29	
		Aug 24 - 25		
		April 27-28 & Aug 24-25	Sept 28 - 29	Available Now
		April 27-28 & Aug 24-25	Sept 28 - 29	Available Now
		April 27-28 & Aug 24-25	Sept 28 - 29	
		April 27-28 & Aug 24-25	Sept 28 - 29	
		Aug 24 - 25		



FROM THE FIELD

“There’s more to Cannon  
Schools than just the  
education. Cannon is also  
about connecting with others  
in your field, sharing stories  
and making new friends.”

-Jennifer S.,  
First National Bank



CANNON<sup>®</sup>  
FINANCIAL INSTITUTE

For more information or to enroll in our courses,  
visit [www.cannonfinancial.com](http://www.cannonfinancial.com) or contact us at:

CANNON FINANCIAL INSTITUTE  
649-4 S. Milledge Avenue  
Athens, GA 30605  
706.353.3346