

CFC Voluntary Pre-Screening Questionnaire

The purpose of this Voluntary Pre-Screening Questionnaire is to assist potential Applicants for Certification (and their employers) in determining whether they meet the Candidate Fitness Standards of the Center for Financial Certifications. This questionnaire is for the convenience of the Applicant and/or their employer and should not be sent to the Center. The formal Application will ask similar questions that address the Candidate Fitness Standards.

Please review the Certification Policies and Standards of the Center for Financial Certifications, which include the Candidate Fitness Standards, and which can be found at www.FinCert.org.

An Applicant that does not meet the Candidate Fitness Standards will have their application denied, and all fees are non-refundable.

1. Applicant Personal Information.

First Name: _____ Last Name: _____

Employer Name: _____

Date Completed: _____

2. Candidate Fitness Standards. Answer the following questions honestly.

2.1 Conduct Preventing Certification.

Have you ever been convicted of a felony for theft, embezzlement, or other types of financial crime?

Yes No

Have you been convicted of a felony for any violent crime within the past five years?

Yes No

Have you ever had a financial professional license or certification revoked (unless the revocation is administrative in nature, i.e. failure to pay dues)?

Yes No

Have you filed two or more bankruptcies in your lifetime?

Yes No

If you answered "Yes" to any of the questions above, you do not meet the Candidate Fitness Standards. Your Application will be denied and you cannot become certified through the Center for Financial Certifications.

2.2 Conduct Necessitating Board Review.

Have you been convicted of ANY felony within the last 5 years?

Yes No

Have you ever had a non-financial professional license or certification revoked (unless the revocation is administrative in nature, i.e., failure to pay dues)?

Yes No

Have you ever had a financial professional license or certification suspended (unless the suspension is administrative in nature, i.e. failure to pay dues)?

Yes No

Have you had more than one judgment lien filed against you?

Yes No

Have you filed bankruptcy within the last 5 years?

Yes No

If you answered "Yes" to any of the questions in Part 2.2 above, you may not meet the Candidate Fitness Standards. Your Application may be denied and you may not be able to become certified through the Center for Financial Certifications.

It is highly recommended that you petition the Center for Financial Certifications to review your Candidate Fitness status prior to completing your Application in order to avoid forfeiting your entire Application and related fees, which are non-refundable and non-transferrable.

2.3 Other requirements for Certification.

Are you at least 18 years of age?

Yes No

Do you have at least a high school diploma, GED or equivalent?

Yes No

Do you have at least 6 months of experience in any of the following fields or combination thereof:

- | | |
|---|--|
| Banking | Social Service / Family Service Agency |
| Credit Union | Community Development |
| Consumer Finance / Lending | Employee Benefits |
| Mortgage Lending | Credit Bureaus |
| Insurance | Corporate Credit Department |
| Financial Advising / Planning / Investments | Collections |
| Student Financial Aid | Housing Counseling |
| Other Financial Services | Credit / Debt Counseling |
| Financial Education | Legal Services |
| K-12 / Postsecondary Education | Customer Service |
| Classroom Instruction / Adult Education | Other Relevant Experience |
| Social Work / Counseling | |

Yes No

If you answered "No" to any of the questions in Part 2.3 above, you do not meet the Candidate Fitness Standards. Your Application will be denied and you cannot become certified through the Center for Financial Certifications until you can answer "Yes" to all 3 questions in Part 2.3.