

Financial Planning Program Entry Requirements at a Glance



Entry Requirements for First Time Candidates to Participate in Prudential's Fee-Based Financial Planning Program	Solicitor	Full Planner Status - Producers	Full Planner Status - Managers	Supervisory Status – Managers Only
Series 65, or Series 7 plus Series 66 Licenses	X	X	X	X
Financial Advisor PLN Curriculum	X	X	X	X
Introduction to Financial Planning 101 PLN Curriculum	X	X	X	X
Financial Planning Core - 201		X	X	X
Complete Week 52 ¹		X		
Provide Firm Management with Marketing Business Plan		X		
8 Solutions Quick Cases Approved ¹ (must include at least one goal; stand alone asset allocations do not qualify)		X		
Pass First Course Toward CFP [®] , ChFC [®] , RICP [®] or CLU [®]		X		
Attend Management Supervisory Sametime [®] Training: Register by Contacting Recruiting & Professional Development				X
Submit Executed Request to Participate Application to Relevant Home Office Areas for Approval – Must Attach Proof that All Applicable Requirements are Completed	X	X	X	X
Attend Face to Face Fee-Based Financial Planning School		X	X	

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¹Requirements are highly recommended but not required for:

- Junior Partner of a Gemini Senior Partner who is a Financial Planner, and
- Associate Producers hired by Financial Planners

Note that the entire Policy and Procedure to gain access to the Program with additional information is located in the Compliance Manual. This grid is not a substitute for the Policy and Procedure.

Offering financial planning and investment advisory services through Prudential Financial Planning Services (PFPS), a division of Pruco Securities, LLC (Pruco), pursuant to separate client agreement.