

Part 2B of Form ADV: Firm Brochure

Item 1 Cover Page



ROBINSWOOD FINANCIAL

(425) 296-1611 • 3425 Carillon Point - Building 3000, 4th Floor - Kirkland, WA 98033
www.Robinswood.com

March 30,

Form ADV Part 2B
BROCHURE

This disclosure document provides information about the qualifications and business practices of Robinswood Financial LLC ("Robinswood"). If you have any questions about the contents of this brochure, please contact us at 425-296-1611. The information in this brochure has not been approved or verified by the United States Securities and Exchange Commission or by any state securities authority.

Additional information about Robinswood Financial, LLC is available on the SEC's website at www.adviserinfo.sec.gov.

Robinswood Financial LLC is a registered investment adviser. Registration with the United States Securities and Exchange Commission or any state securities authority does not imply a certain level of skill or training, and you should not choose an investment adviser solely on the basis of its status as a registered investment adviser. Please consider the information provided to you in oral and written communications to determine whether to hire or retain an investment adviser and to evaluate an investment adviser's qualifications and business practices.

Supervised Persons

Edward L. Ward
Chief Executive Officer
Robinswood Financial, LLC
3425 Carillon Point
Kirkland, WA 98033
P. 425.296.1611
February 28, 2023

This brochure supplement provides information about Edward L. Ward that supplements the Robinswood Financial brochure above. Please contact Edward L. Ward at 1.800.671.1153 if you did not receive a complete copy of Robinswood's brochure or if you have any questions about the contents of this supplement. Additional information about Edward L. Ward is available on the SEC's website at www.adviserinfo.sec.gov.

Item 2 - Educational Background and Business Experience

Edward L. Ward, CES®, CFS®

Year of birth: 1960

Formal education after high school:

Institute of Business and Finance: Masters program
California State University Major: Business Administration
Chabot College Major: Economics, Minor: Political Science
University of Sweden/Hvitfeldtska GM: International Relations

Business Background

2007 to present: Principal – Robinswood Financial, LLC
1999 to 2006: Wealth Manager – Merriman Capital Management, Inc.

Licenses and Professional Designations held:

CFS® Designation - Certified Fund Specialist -1998
CES® Designation – Certified Estate and Trust Specialist – 2008
BCE® Designation – Board Certified in Estate Planning -1998

For an explanation of the minimum qualifications required for designations, see Professional Designation Qualifications below.

Disciplinary Information

Robinswood is required to disclose all material facts regarding any legal or disciplinary events that would materially impact a client's evaluation of Edward L. Ward. No events have occurred that are applicable to this item.

Other Business Activities

Robinswood is required to disclose any outside business activities or occupation for compensation that could potentially create a conflict of interest with clients Edward L. Ward is not actively engaged in any such activities.

Additional Compensation

Edward L. Ward does not receive economic benefits for providing advisory services, other than the regular salary paid by Robinswood Financial, LLC.

Supervision

Edward L. Ward is Robinswood's Chief Executive Officer, and Chief Compliance Officer. He regularly reviews all suitability notes made by each Investment Advisor in regards to appropriately allocating client accounts according to the client's perceived risk tolerance and investment goals. Edward L. Ward can be reached at 1.800.671.1153.

Robert W. Guild
Investment Advisor Representative
Robinswood Financial, LLC.
3425 Carillon Point
Kirkland, WA 98033
425.296.1611
February 28, 2023

This brochure supplement provides information about Robert W Guild that supplements the Robinswood brochure above. Please contact Edward L. Ward at 1.800.671.1153 if you did not receive a complete copy of Robinswood's brochure or if you have any questions about the contents of this supplement. Additional information about Robert W. Guild is available on the SEC's website at www.adviserinfo.sec.gov.

Item 2 – Educational Background and Business Experience

Robert W. Guild, CLU®, ChFC®, CFS®,

Year of birth: 1955

Formal education after high school:

Institute of Business & Finance (1998) Designation: Certified Fund Specialist

The American College (1994 – 1996) Designations: Chartered Life Underwriter; Chartered Financial Consultant

Washington State University (1974 – 1978) Major: Business Administration

Business background:

2006 to present: Investment Advisor Representative / Investment Committee Member – Robinswood Financial, LLC.

2000 – 2006: Personal Financial Representative, Allstate Financial Services, Inc.

Licenses and Professional Designations held:

CLU® Designation - Certified Life Underwriter -1996

ChFC® Designation – Chartered Financial Consultant –1996

CFS® Designation - Certified Fund Specialist -1998

For an explanation of the minimum qualifications required for designations, see Professional Designation Qualifications below.

Disciplinary Information

Robinswood is required to disclose all material facts regarding any legal or disciplinary events that would materially impact a client's evaluation of Robert W. Guild. No events have occurred that are applicable to this item.

Other Business Activities

Robinswood is required to disclose any outside business activities or occupation for compensation that could potentially create a conflict of interest with clients Robert W. Guild is not actively engaged in any such activities.

Additional Compensation

Robert W. Guild does not receive economic benefits for providing advisory services, other than the regular income earned through Robinswood Financial, LLC. for advice and account management.

Supervision

Robert W. Guild is supervised by Edward L Ward who reviews all suitability notes made by each Investment Advisor in regards to appropriately allocating client accounts according to the client's perceived risk tolerance and investment goals. Edward L. Ward is Robinswood's Chief Executive Officer and can be reached at 1.800.671.1153

Jeanne E. MacRae
Investment Advisor Representative
Robinswood Financial, LLC.
3425 Carillon Point
Kirkland, WA 98033
425.296.1611
February 28, 2023

This brochure supplement provides information about Jeanne E. Forrey that supplements the Robinswood brochure above. Please contact Edward L. Ward at 1.800.671.1153 if you did not receive a complete copy of Robinswood's brochure or if you have any questions about the contents of this supplement. Additional information about Jeanne E. MacRae is available on the SEC's website at www.adviserinfo.sec.gov

Educational Background and Business Experience

Jeanne E. MacRae, CFP®,
Year of birth: 1949

Formal education after high school:

City University, B.S. Business Administration
University of Minnesota
College of Great Falls

Business background:

2009-Present: Investment Advisor Representative / Investment Committee Member,
Robinswood Financial LLC.
2004-2009: Financial Advisor, Merrill Lynch & Co, Inc.
2000-2004: Financial Advisor, Wachovia Securities, Inc.

Licenses and Professional Designations held:

CFP® Designation - Certified Financial Planner -2004

For an explanation of the minimum qualifications required for designations, see Professional Designation Qualifications below.

Disciplinary Information

Robinswood is required to disclose all material facts regarding any legal or disciplinary events that would materially impact a client's evaluation of Jeanne E. MacRae. No events have occurred that are applicable to this item.

Other Business Activities

Robinswood is required to disclose any outside business activities or occupation for compensation that could potentially create a conflict of interest with clients. Jeanne E. MacRae is not actively engaged in any such activities.

Additional Compensation

Jeanne E. MacRae does not receive economic benefits for providing advisory services, other than the regular income earned through Robinswood Financial, LLC. for advice and account management.

Supervision

Jeanne E. MacRae is supervised by Edward L Ward who reviews all suitability notes made by each Investment Advisor in regards to appropriately allocating client accounts according to the client's perceived risk tolerance and investment goals. Edward L. Ward is Robinswood's Chief Executive Officer and can be reached at 1.800.671.1153

Robert D. MacRae**Investment Advisor** Representative

Robinswood Financial, LLC.

3425 Carillon Point

Kirkland, WA 98033

425.296.1611

February 28, 2023

This brochure supplement provides information about Robert D. MacRae that supplements the Robinswood brochure above. Please contact Edward L. Ward at 1.800.671.1153 if you did not receive a complete copy of Robinswood's brochure or if you have any questions about the contents of this supplement. Additional information about Robert D. MacRae is available on the SEC's website at www.adviserinfo.sec.gov.

Educational Background and Business Experience**Robert D. MacRae****Year of birth:** 1970**Formal education after high school:**

Bellevue Community College: Information Technology

City University: B.A. Management

Business background:

2017 - present: Investment Advisor Representative / Investment Committee Member - Robinswood Financial, LLC.

2013 – 2017: Technical Account Manager – VMware Inc.

2008 – 2013: Director of Services and Support – PivotLink Corp.

2006 – 2008: Project Manager – Moss Adams LLP

2003 – 2006: Business Analyst – Bartell Drugs

1988 – 2003: Pricing Manager – Safeway Inc.

Licenses and Professional Designations held:

CFP® Designation - Certified Financial Planner -2022

For an explanation of the minimum qualifications required for designations, see Professional Designation Qualifications below.

Disciplinary Information

Robinswood is required to disclose all material facts regarding any legal or disciplinary events that would materially impact a client's evaluation of Robert D. MacRae. No events have occurred that are applicable to this item.

Other Business Activities

Robinswood is required to disclose any outside business activities or occupation for compensation that could potentially create a conflict of interest with clients. Robert D. MacRae is not actively engaged in any such activities.

Additional Compensation

Robert D. MacRae does not receive economic benefits for providing advisory services, other than the regular income earned through Robinswood Financial, LLC. for advice and account management.

Supervision

Robert D MacRae is supervised by Edward L Ward who reviews all suitability notes made by each Investment Advisor in regards to appropriately allocating client accounts according to the client's perceived risk tolerance and investment goals.

Edward L. Ward is Robinswood's Chief Executive Officer and can be reached at 1.800.671.1153

Christopher Wallace
Investment Advisor Representative
Robinswood Financial, LLC.
3425 Carillon Point
Kirkland, WA 98033
425.296.1611
March 31, 2024

This brochure supplement provides information about Christopher S. Wallace that supplements the Robinswood brochure above. Please contact Edward L. Ward at 1.800.671.1153 if you did not receive a complete copy of Robinswood's brochure or if you have any questions about the contents of this supplement. Additional information about Christopher Simon Wallace is available on the SEC's website at www.adviserinfo.sec.gov

Educational Background and Business Experience
Christopher S. Wallace,
Year of birth, 1991

Formal education after high school:

University Of Northwestern, St. Paul, Finance

Business Background

2022-2023: Charles Schwab
2021-2022: Fidelity
2020-2021: TD Ameritrade
2019-2020: E*Trade
2018-2019: RBC Wealth Management
2017-2018: U.S Bancorp

Licenses and Professional Designations held:

Series 66 - Uniform Combined State Law Exam

Series 7 - General Securities Representative Exam

SIE - Securities Industries Essentials Exam

For an explanation of the minimum qualifications required for designations, see Professional Designation Qualifications below.

Disciplinary Information

Robinswood is required to disclose all material facts regarding any legal or disciplinary events that would materially impact a client's evaluation of Robert W. Guild. No events have occurred that are applicable to this item.

Other Business Activities

Robinswood is required to disclose any outside business activities or occupation for compensation that could potentially create a conflict of interest with clients Christopher S. Wallace is not actively engaged in any such activities.

Additional Compensation

Christopher S. Wallace does not receive economic benefits for providing advisory services, other than the regular income earned through Robinswood Financial, LLC. for advice and account management.

Supervision

Christopher S. Wallace is supervised by Edward L Ward who reviews all suitability notes made by each Investment Advisor in regards to appropriately allocating client accounts according to the client's perceived risk tolerance and investment goals.

Edward L. Ward is Robinswood's Chief Executive Officer and can be reached at 1.800.671.1153

Professional Designation Qualifications

BOARD CERTIFIED IN ESTATE PLANNING® (BCE®)

The Board Certified in Estate Planning™, BCE® is a highly educated, experienced and qualified professional committed to the well-being of you, your family and your business. The BCE® can provide basic and advanced guidance on a wide range of actively and passively managed investments. With the help and knowledge of a BCE®, you can determine a client's goals, objectives and risks, the documents needed, ownership interests, special elections and post-mortem planning.

- **Education** – BCE® candidates must complete a comprehensive advanced program designed to educate the advisor on every aspect of property transfers during life and at death, taxation, risks, trusts and wills, drafting and estate plan and post-mortem planning.
- **Experience** – BCE® professionals must have a bachelor's degree or 2,000 hours of experience completed in the financial services industry prior to completing the BCE® course. As a result, BCE® practitioners possess extensive financial counseling skills in addition to estate planning skills.
- **Ethics** – All graduates must sign the IBF Code of Ethics and agree to adhere to the IBF Standards of Practice, both of which place client interests above those of the advisor and parent company. The BCE® advisor pledges to put your interests above all else, keep abreast of industry standards, new strategies and academic white papers. While conducting all activities with the highest standards of integrity and honesty, BCE® advisors perform investment services in a professional and economical manner offering advice only in areas of competence. The BCE® marks are in compliance with FINRA and IBF.
- **Ongoing Certification Requirements** – IBF's continuing education (CE) policy is an integral part of its commitment to the highest competency standards in the industry. Every BCE® advisor is required to regularly submit 30 hours of continuing education to maintain technical competence and fulfill ethical obligations.

CERTIFIED FINANCIAL PLANNER™ (CFP®)

The Certified Financial Planner™, CFP® and federally registered CFP (with flame design) marks (collectively, the "CFP® marks") are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. ("CFP Board").

The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification. It is recognized in the United States and a number of other countries for its (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) ethical requirements that govern professional engagements with clients. Currently, more than 62,000 individuals have obtained CFP® certification in the United States.

- **Education** – Complete an advanced college-level course of study addressing the financial planning subject areas that CFP Board's studies have determined as necessary for the competent and professional delivery of financial planning services, and attain a Bachelor's Degree from a regionally accredited United States college or university (or its equivalent from a foreign university).

CFP Board's financial planning subject areas include insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning;

- **Experience** – Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year);
- **Ethics** – Agree to be bound by CFP Board's Standards of Professional Conduct, a set of documents outlining the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements in order to maintain the right to continue to use the CFP® marks:

Renew an agreement to be bound by the Standards of Professional Conduct. The Standards prominently require that CFP® professionals provide financial planning services at a fiduciary standard of care. This means CFP® professionals must provide financial planning services in the best interests of their clients.

CFP® professionals who fail to comply with the above standards and requirements may be subject to CFP Board's enforcement process, which could result in suspension or permanent revocation of their CFP® certification.

- **Ongoing Certification Requirements** – Complete 30 hours of continuing education hours every two years, including two hours on the Code of Ethics and other parts of the Standards of Professional Conduct, to maintain competence and keep up with developments in the financial planning field;

CHARTERED FINANCIAL CONSULTANT® (ChFC®)

The Chartered Financial Consultant® (ChFC) designation program focuses on the comprehensive financial planning process as an organized way to collect and analyze information on a client's total financial situation; to identify and establish specific financial goals; and to formulate, implement, and monitor a comprehensive plan to achieve those goals.

- **Education** – Chartered Financial Consultants® must successfully complete eight courses on all aspects of financial planning from The American College. Courses include: financial planning, income taxation, investments, and estate and retirement planning. Additional electives are chosen from such topics as macroeconomics, financial decisions for retirement, and executive compensation.
- **Ongoing Certification Requirements** – ChFC®s are required to earn 30 hours of continuing education credit every two years.
- **Experience** – have at least three years of full-time business experience, and agree to comply with The American College Code of Ethics and Procedures.
- **Ethics** – ChFC® designees must meet experience requirements and adhere to continuing education and ethical standards, and agree to comply with The American College Code of Ethics and Procedures.

CERTIFIED FUND SPECIALIST® (CFS®)

The Certified Fund Specialist™, CFS® is a highly educated, experienced and qualified professional committed to the well-being of you, your family and your business. The CFS® can provide basic and advanced guidance on a wide range of actively and passively managed investments. With the help and knowledge of a CFS®, you can determine your risk level, set realistic goals, design an appropriate portfolio, minimize taxes and protect your estate.

- **Education** – CFS® candidates must complete a comprehensive advanced program designed to educate the advisor on every aspect of modern portfolio theory (MPT), mutual funds, ETFs, REITs, UITs, EANs, CEFs, asset rebalancing and taxation.
- **Experience** – CFS® professionals must have a bachelor's degree or 2,000 hours of experience completed in the financial services industry prior to completing the CFS® course. As a result, CFS® practitioners possess extensive financial counseling skills in addition to advanced portfolio construction techniques.
- **Ethics** – All graduates must sign the IBF Code of Ethics and agree to adhere to the IBF Standards of Practice, both of which place client interests above those of the advisor and parent company.

The CFS® advisor pledges to put your interests above all else, keep abreast of industry standards, new strategies and academic white papers. While conducting all activities with the highest standards of integrity and honesty, CFS® advisors perform investment services in a professional and economical manner offering advice only in areas of competence. The CFS® marks are in compliance with FINRA and IBF.

- **Ongoing Certification Requirements** – IBF's continuing education (CE) policy is an integral part of its commitment to the highest competency standards in the industry. Every CFS® advisor is required to regularly submit 30 hours of continuing education to maintain technical competence and fulfill ethical obligations.

CERTIFIED ESTATE AND TRUST SPECIALIST® (CES®)

The Certified Estate and Trust Specialist™, CES® is a highly educated, experienced and qualified professional committed to the well-being of you, your family and your business. The CES® can provide basic and advanced guidance on a wide range of actively and passively managed investments. With the help and knowledge of a CES®, you can determine a client's goals, objectives and risks, the documents needed, ownership interests, special elections and post-mortem planning.

- **Education** – CES® candidates must complete a comprehensive advanced program designed to educate the advisor on every aspect of property transfers during life and at death, taxation, risks, trusts and wills, drafting and estate plan and post-mortem planning.
- **Experience** – CES® professionals must have a bachelor's degree or 2,000 hours of experience completed in the financial services industry prior to completing the CES® course. As a result, CES® practitioners possess extensive financial counseling skills in addition to estate planning skills.

- **Ethics** – All graduates must sign the IBF Code of Ethics and agree to adhere to the IBF Standards of Practice, both of which place client interests above those of the advisor and parent company. The CES® advisor pledges to put your interests above all else, keep abreast of industry standards, new strategies and academic white papers. While conducting all activities with the highest standards of integrity and honesty, CES® advisors perform investment services in a professional and economical manner offering advice only in areas of competence. The CES® marks are in compliance with FINRA and IBF.

- **Ongoing Certification Requirements** – IBF's continuing education (CE) policy is an integral part of its commitment to the highest competency standards in the industry. Every CFS® advisor is required to regularly submit 30 hours of continuing education to maintain technical competence and fulfill ethical obligations.

CHARTERED RETIREMENT PLANNING COUNSELOR™ (CRPC®)

The Chartered Retirement Planning Counselor™, CRPC® and federally registered CRPC marks are professional certification marks granted in the United States by The College for Financial Planning.

The CRPC® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CRPC® certification. Individuals who hold the CRPC® designation have completed a course of study encompassing pre- and post-retirement needs, asset management, estate planning and the entire retirement planning process using models and techniques from real client situations.

Additionally, individuals must pass an end-of-course examination that tests their ability to synthesize complex concepts and apply theoretical concepts to real-life situations.

- **Education** – The year-long educational program for each designation encompasses specific content covering both theory and practical application. The curriculum is developed by the College's highly esteemed faculty with input from the country's top investment and financial firms giving students the benefit of applying their learning to real-world situations and cases. As a regionally-accredited institution of higher learning, the College applies rigorous pedagogical principles to all its curricula. The College for Financial Planning, with more than 37 years of financial services education expertise, is the most established and experienced provider of financial planning education in the industry.

- **Experience** – individuals must complete a three-month long internship program in which they obtain verification from their immediate supervisor or employer documenting their mastery of a set of basic financial planning-related skills.

- **Ethics** – After successful completion of the end-of-course examination, individuals apply for authorization to use the designation. The application includes:

- **Adherence to Standards of Professional Conduct.** The Standards of Professional Conduct establishes minimum standards of acceptable professional conduct for persons authorized to use the Registered Marks.
- **Self-Disclosure.** Applicants must disclose any criminal, civil, self-regulatory organization, or governmental agency inquiry, investigation, or proceeding relating to their professional or business conduct. Conferment of the designation is contingent upon the College for Financial Planning's review of matters either self-disclosed or which are discovered by the College that are required to be disclosed.
- **Adherence to Terms and Conditions.** The Terms and Conditions outline designees' rights to use the College's Marks and acknowledges the rights of the College to protect the Marks from unauthorized use by individuals or entities.

- **Ongoing Certification Requirements** – Following initial conferment of one of the College for Financial Planning's professional designations, authorization for continued use of the credential must be renewed every two years by completing 16-hours of continuing education, reaffirming compliance with the Standards of Professional Conduct, Terms and Conditions and complying with self-disclosure requirements.

The College monitors its designees' compliance with the designation requirements and standards. Any alleged violations are subject to disciplinary procedures.

CHARTERED LIFE UNDERWRITER® (CLU®)

The Chartered Life Underwriter™, CLU designation provides professionals with an extensive understanding of estate planning and wealth transfer. The CLU®, provides professionals with the information necessary to provide advice to individuals, families and business owners. The CLU® curriculum focuses on applied estate planning, insurance laws and taxes, and applications of insurance.

• **Education** – CLU ® : Topics for required courses include insurance and financial planning, life insurance law, estate planning, and planning for business owners and professionals. Elective courses include such advanced topics as income taxes, group benefits, retirement planning, and health insurance.

• **Experience** – CLU ® Chartered life underwriters often will already possess degrees from accredited universities that have to do with various aspects of finances in general. In addition, CLUs tend to have successfully worked in positions that involve a great deal of financial expertise. Because the completed courses that are necessary to become a chartered life underwriter are comprehensive in nature, the CLU will have expertise in all sorts of aspects of estate and financial planning, financial management, general economics, employee benefit package structuring, and corporation tax protocols.

• **Ethics** – The graduate ethics pledge: “In all my professional relationships, I pledge myself to the following rule of ethical conduct: I shall, in light of all conditions surrounding those I serve, which I shall make every conscientious effort to ascertain and understand, render that service which, in the same circumstances, I would apply to myself.”

CERTIFIED DIVORCE FINANCIAL ANALYST™ (CDFA™)

The Certified Divorce Financial Analyst™, CDFA™ designation is a professional certification granted by the Institute for Divorce Financial Analysts. The certification is a voluntary certification; no federal or state law or regulation requires financial planner to hold CDFA™ certification. It is recognized in United States and Canada. There are more than 5000 professionals in the US and Canada as Certified Divorce Financial Analyst® (CDFA™) professionals.

Education - The participant must complete a series of self-study course modules and pass an exam for each of the four modules with a minimum score of 70% for each one and be in good standing with their Broker Dealer (if applicable) and the FINRA/SEC or other licensing or regulatory agency. The four modules are:

- Financial and Legal Issues of Divorce
- Advanced Financial Issues of Divorce
- Tax Issues of Divorce
- Working as a CDFA: Case Studies.

Experience - A minimum of three years' experience as a financial professional, accountant, or matrimonial lawyer. The Institute for Divorce Financial Analysts (IDFA™) is the premier national organization dedicated to the certification, education and promotion of the use of financial professionals in the divorce arena.

Founded in 1993, IDFA provides specialized training to accounting, financial, and legal professionals in the field of pre-divorce financial planning. The Institute provides comprehensive training using a variety of knowledge and skill-building techniques.

Behavioral Finance Advisor™ (BFA™)

The Behavioral Finance Advisor help clients negotiate the psychological and mechanical aspects of their finances. An advisor with BFA™ training understands the psychology of money, so they can better address it during the planning process. They utilize available tools to understand clients' natural hard-wired – responses to market fluctuations and their approach to any financial decision. A behavioral financial advisor is trained on the elements of psychology and neuroscience that can drive those beliefs and behaviors and uncover observations that their clients may not realize or articulate.

*Education- Completion of two courses of study provided by Kaplan University that covers various aspects of behavior, bias reaction, brain chemistry, cognitive response, loss aversion, and other psychological drivers that impact investors financial decisions. Upon completion of study, candidates must pass a proctored, closed book, final exam.

*Ongoing Certification Requirements- BFA's are to renew certification every two years by completing 20 hours of continuing education for Certified Financial Planners, chartered financial consultants or the American College's PACE program.

Certified Plan Fiduciary Advisor™ (CPFA™)

The Certified Plan Fiduciary Advisor (CPFA™) credential – Is administered by the National Association of Plan Advisors. Advisors with this certification demonstrate knowledge, expertise and commitment to working with retirement plans. Plan advisors who earn their CPFA demonstrate the expertise required to act as a plan fiduciary or help plan fiduciaries manage their roles and responsibilities. Candidates must complete the NAPA CPFA™ exam and agree to abide by the American Retirement Association (ARA) Code of Professional Conduct.

*Education- successful candidates begin studying several months before an examination date to allow sufficient time to cover all the material to the proper extent to include Fiduciary Management under ERISA, ERISA Plan Management 1, ERISA Plan Investment Management, and ERISA Plan Management 2.

*Ongoing Certification Requirements- NAPA CPFA™ designation holders must complete ten (10) hours of Continuing Education (“CE”) each calendar year following the calendar year the NAPA CPFA™ designation is earned covering relevant topics: Retirement Plan Legislative and Regulatory Updates, Nonqualified Plans, Qualified Plan Features and Administration, Fiduciary Responsibilities, Retirement Plan Employer and Participant Communications, Retirement Plan Products, and Retirement Plan Sales Process