

# CSCP

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**CERTIFIED SECURITIES  
COMPLIANCE PROFESSIONAL**

Recertification Handbook & Application

# CSCP Recertification Handbook and Application

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### Recertification Coordinator Contact Information

For more information about your recertification application, please contact the Recertification Coordinator at [recertification@nscp.org](mailto:recertification@nscp.org).

## About NSCP Recertification

The purpose of the CSCP recertification process is to ensure that CSCP Professionals maintain and enhance their compliance expertise, and to offer the public a form of assurance that individuals practicing in a profession maintain their competence in that profession once certified. To that end, CSCP Professionals are required to earn continuing education credits through training, education and other professional development activities as outlined in this handbook.

### Continuing Education Credit Requirements

A total of 40 continuing education credits must be accumulated within a two-year cycle and the deadline for accumulating the required credits is based upon your original CSCP designation date or the end date of your most recent NSCP Membership. Use the worksheet provided in this guide to organize and tally your acceptable continuing education credits. Additional credits earned past the required 40 **cannot** be rolled over to the following cycle.

**NOTE: Applicants for recertification must have maintained an uninterrupted active NSCP membership over the 2-year period in order to recertify.**

### Documentation Required

Applicants do not need to submit the documentation evidencing their reported credits with the application. However, they are required to retain all original copies of their supporting documents for NSCP inspection should the applicant be chosen for a random audit as outlined below.

Evidence includes certificates of completion, copies of agendas with your signature and date included; CE reports from conferences other than NSCP as available; or published materials showing your authorship, participation or instructor status.

NSCP will provide a certificate of attendance for NSCP Conference sessions that are eligible for CE credit **IF** the applicant requested the certification at registration **AND** the applicant has scanned the QR session code for every CE eligible session attended. Certificates will be sent to attendees after the conference which the recertification applicant must retain.

If you are unsure what is acceptable evidence, contact the Recertification Coordinator by email at [recertification@nscp.org](mailto:recertification@nscp.org) for more information.

### Recertification Audit

The CSCP audit process has been created to ensure CSCP certified individuals have complied with their recertification requirements. During the recertification period, random audits will be conducted to ensure that applicants are ethically reporting CE credits, thereby safeguarding the integrity of the CSCP designation. If you are chosen for an audit of your credit report, you will need to provide the documentation to the Recertification Coordinator via email without delay.

### Recertification Deadlines and Fees

Early Application	\$200	Application and fee must be received no later than 90 days from your deadline.
Regular Application	\$250	Application and fee must be received no later than your deadline.
Late Application	\$300	Application and fee must be received no later than 90 days past your deadline.

### Waiver of Continuing Education Requirements

Requests for a waiver of the continuing education requirement due to extenuating circumstances are reviewed on a case-by-case basis. Written requests accompanied by supporting documentation should be directed to the Recertification Coordinator at [recertification@nscp.org](mailto:recertification@nscp.org).

### Forfeiture of Designation

Applicants who fail to comply with the provisions outlined in this recertification application will forfeit the CSCP designation and will not be able to use the designation under any circumstances.

### Restoration of Designation

Within two years of forfeiture, the candidate must submit a written request for reinstatement to the Recertification Coordinator via email, pay all fees in arrears including annual membership fees (as applicable), and obtain the required number of CE credits to reinstate the designation.

### Revocation of Credentials

The Recertification Coordinator is authorized to revoke, and shall revoke the CSCP designation of an individual who fails to comply with the standards of maintaining the CSCP recertification requirements and the NSCP Code of Ethics. Once the Recertification Coordinator has notified the Applicant that his or her certification has been revoked, the revocation is effective and the Applicant must cease using the CSCP designation.

### Appeals

The Applicant whose designation is subject to forfeiture or revocation under the standards outlined above may appeal to the Recertification Coordinator in writing via email. That decision may be appealed to the Executive Committee of the NSCP Board of Directors, and this decision will be final.

## Continuing Education Credit Worksheet

Applicant Name: \_\_\_\_\_

<b>1. NSCP Membership</b>	<b>Credits</b>	<b>Limit</b>	<b>Total</b>
Uninterrupted membership in NSCP. (REQUIRED)	5/yr.	10/cycle	
<b>2. Professional Experience</b>	<b>Credits</b>	<b>Limit</b>	<b>Total</b>
Full time professional experience in the field of financial services compliance and/or related field for either the public or private sector.	2/yr.	4/cycle	
<b>3. Completion of a Formal Educational Program of Study</b>	<b>Credits</b>	<b>Limit</b>	<b>Total</b>
3.1 Post-secondary course attended for credit including guided independent study and regular college or university courses taken in pursuit of a financial services or compliance related degree. All course work and final exams for the course must be completed by the recertification date.	10/yr.	20/cycle	
3.2 Complete another certification in financial services compliance or related field (such as FINRA CRCP, LLM, MSL, CFP, CFA etc.	5 each	10/cycle	
3.3 Obtain a securities license or insurance license.	4 each	8/cycle	
<b>4. NSCP Educational Conferences and Sponsored Events</b>	<b>Credits</b>	<b>Limit</b>	<b>Total</b>
4.1 Attendance at NSCP National or Spring Conference sessions that are CE eligible.	1 per 60 min.	Unlimited	
4.3 Participation in an NSCP Regulatory Interchange or NSCP sponsored event.	1 per 60 min.	Unlimited	
4.4 Participation in a NSCP webinar.	1 per 60 min.	Unlimited	
<b>5. NSCP Volunteer Activities</b>	<b>Credits</b>	<b>Limit</b>	<b>Total</b>
5.1 Chairperson of a NSCP Forum Industry call.	12/yr.	24/cycle	
5.2 Chairperson of an NSCP ad hoc working committee.	12/yr.	24/cycle	
5.3 Author/co-author of an original published <i>NSCP Currents</i> Article.	5 per article	Unlimited	
5.4 Speaker, panel participant or facilitator at a NSCP Conference session, regulatory interchange or webinar.	3 per panel	24/cycle	
5.5 Mentor Volunteer.	5/relationship	Unlimited	
5.6 Principal author of a comment letter submitted to a regulatory or legislative body on behalf of NSCP membership.	5 per letter	Unlimited	
<b>6. Other Educational Courses, Programs and Seminars</b>	<b>Credits</b>	<b>Limit</b>	<b>Total</b>
6.1 Attendance at a conference, workshop, seminar, or webinar on financial services compliance or related topic including ethics.	1 per 60 min.	Unlimited	
<b>7. Instruction, Speeches and Other Presentations</b>	<b>Credits</b>	<b>Limit</b>	<b>Total</b>
6.1 Instructor, speaker or panelist at an educational program, meeting or engagement directed to financial services compliance professionals.	2 per 60 min.	Unlimited	
6. Professional instructor at an accredited college or university for a course on the subject of financial services, compliance or another related topic.	6 per course	18 /cycle	
<b>8. Publication of Material</b>	<b>Credits</b>	<b>Limit</b>	<b>Total</b>
8.1 Author/co-author of an article on the subject of compliance topic for a peer-reviewed publication. <b>Republished articles do not count twice.</b>	2.5 each	10/cycle	
8.2 Author/co-author of a published book on the subject of compliance and/or related topics.	15 each	Unlimited	
8.3 Author of a chapter in a textbook, workbook or manual on a compliance or related topic.	3 each	Unlimited	
<b>Total Credits Earned</b>		<b>Grand Total</b>	

## Recertification Application and Payment Information

### Your Application Information (\* Indicates required field)

First Name*		Last Name/Surname*	
Company*		Job Title*	
Mailing Address (No P.O. Boxes)			
City*	State/province*	Zip/Postal Code*	Country*
Work Phone*		Alternate Phone	
Email Address*		Alternate Email Address	

### Payment Information

Payment of Recertification fees can be made by check, credit card, wire transfer or ACH debit.

### Indicate the Fee Paid

Early Application: \$200 (Application and fee must be received 90 days before your deadline.)	Regular Application Fee: \$250 (Application and fee must be received no later than your deadline.)	Late Application: \$300 (Application and fee must be received no later than 90 days after your deadline.)
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Payments must be made at the time of renewal.

## Recertification Attestation

I hereby affirm that I have never been convicted of a felony or a crime of moral turpitude as defined by law. I understand I must confirm my compliance with the NSCP Code of Ethics and to maintain my membership in NSCP and the CSCP® designation.

I hereby certify that I have completed the required (a minimum of) 40 approved continuing education credit hours during this recertification period.

I understand that in the event my recertification is not approved, the recertification fee, less \$100 for administrative costs will be refunded to me.

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Electronic Signature

Date

## CSCP Recertification Policy

### Recertification Fee

Fees must be submitted by the deadlines indicated and are non-refundable. Recertification fees are subject to change without notice. Applicants who submit applications with the inappropriate payment amount will be invoiced the difference and will remain unprocessed until the amount is paid in full. Fees can be paid by credit card, wire transfer or by check made payable to NSCP. The applicant's name must appear on all payments made by check or wire.

### Recertification Cycle

The recertification cycle is the two-year period from the time an individual receives their certification or from the date of their most recent recertification. Please complete the online application [via the link in your email](#).

### Late Application Policy

After the Late Application deadline (90 days past your regular recertification date), the applicant must retake the CSCP examination to obtain/retain the CSCP designation. Exceptions will only be considered if they are due to documented extenuating circumstances as described below under the section labeled "Extensions" below.

### Extensions

Occasionally, extenuating circumstances—such as prolonged unemployment or serious illness of the applicant or a close family member (e.g. parent, spouse or child)—may prevent an individual from meeting the required 40 credits of continuing education over a two-year period. One-year extensions of the recertification deadline must be requested in writing in such circumstances. Examples of who may be eligible for an extension:

1. An applicant has been out of work for at least one year of the two-year recertification cycle due to being laid off or child birth/childcare.
2. An applicant has spent a significant amount of time caring for a seriously ill family member or who have suffered serious illness themselves.
3. An applicant on active duty in one of the armed forces has been deployed for at least a one-year assignment.

If the extension is approved, the recertification expiration date will be extended for one year allowing the applicant enough time to accumulate the necessary continuing education credits. At the end of that period, the applicant will be required to submit a completed recertification application form demonstrating that they have successfully met the continuing education requirements. The full recertification application fee is also due at that time. Upon successful recertification, the new two-year recertification cycle will begin.

To request an extension, the applicant must submit a written request for extension providing a description of the extenuating circumstance to [recertification@nscp.org](mailto:recertification@nscp.org). The request must be received by the Recertification Coordinator by the deadline date of the current recertification period.

### **Extension Non-Eligibility**

There are two instances where the applicant is not eligible for an extension for recertification: the applicant's NSCP membership has lapsed; or the applicant failed to submit a request for an extension on time.

### **Lapsed Certifications**

Members who do not submit an application within three months after their recertification will be considered no longer certified and must immediately cease using the CSCP designation. NSCP will notify members if their certification has lapsed, and will provide certification status to employers who request it. Once the designation expires, the holder must retake the current CSCP examination to become recertified.

### **Reminders and Application Submission**

Members should keep track of their recertification cycles and submit a completed application on or before their recertification deadline. As a professional courtesy, NSCP will send at least two reminder e-mails to all members before the end of their recertification cycles: one approximately six months before the expiration date and the other approximately three months before the recertification deadline.

**NSCP will send the reminders to the e-mail address on file; therefore, it is imperative to make sure you notify NSCP of any changes. Recertification cycles and submission requirements will not be changed because a member did not receive reminders that were sent to the address on file.**