



A.D. Banker & Company, LLC

Volume 6.0

Date of Publication: 2026

A.D. Banker & Company

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www.adbanker.com

APPROVED AND REGULATED BY THE KANSAS BOARD OF REGENTS

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SCHOOL INFORMATION

Owners and Officials

A.D. Banker & Company is a limited liability corporation owned by Career Certified, LLC.

Instructors

- David DeLapp - Life & Health / Series 6 / Series 63
- Brett Gross - SIE / Series 6 / Series 63
- John Haigh - SIE / Series 6 / Series 63 / Series 66 / Series 7
- Lawrence Hartman - SIE / Series 6 / Series 63
- Donna Ludewig - Life & Health / Property & Casualty / SIE / Series 6 / Series 63
- John McLean - Series 63
- Kenneth Quiat - SIE / Series 6 / Series 63 / Series 66 / Series 7
- Linda Tanner - Series 6 / Series 63
- Richard Victor - SIE / Series 6 / Series 63 / Series 7

Mission Statement

A.D. Banker & Company, L.L.C. offers the highest quality exam preparation coursework available in the marketplace. We define quality as intuitive for the learner, accurate and current content and manager supervisory tools that allow employers to monitor and measure their employee study progress.

Educational Objective

Master the necessary information to pass the corresponding licensing exam. Passing the licensing exam qualifies candidates for entry level sales and service positions within the insurance community.

Office Hours

Monday through Friday, 7:00am-6:30pm Central Time

Holidays and Dates of Importance

- New Year's Day (January 1)
- Memorial Day (last Monday of May)
- Juneteenth (June 19)
- Independence Day (July 4)
- Labor Day (first Monday of September)
- Thanksgiving (Last Thursday & Friday of November)
- Christmas Day (December 25)

Credit Hours/Course Descriptions

The goal of each program is to master the topics which are itemized in the examination provider exam content outline; then to successfully pass their corresponding licensing exam based upon those exam content outlines.

- a. **Life & Health (40 hrs*)** – General Insurance, Life Insurance Basics, Types of Policies and

Riders, Life Policy Provisions and Options, Annuities, Markets and Social Security, Federal Tax Considerations and Retirement Plans, Health Insurance Basics, healthcare Plans and Concepts, Disability Income, Senior Needs, Individual Policy Provisions, Group Health Insurance, State Insurance Laws

- b. **Life (20 hrs*)** – General Insurance, Life Insurance Basics, Types of Policies and Riders, Life Policy Provisions and Options, Annuities, Markets and Social Security, Federal Tax Considerations and Retirement Plans, State Insurance Laws
- c. **Health (20 hrs*)** – General Insurance, Health Insurance Basics, healthcare Plans and Concepts, Disability Income, Senior Needs, Individual Policy Provisions, Group Health Insurance, State Insurance Laws
- d. **Property & Casualty (40 hrs*)** – General Insurance, Property Basics, Casualty (Liability) Basics, Dwelling Policy, Homeowners Policy, Personal Auto Policy, Miscellaneous Personal Lines Coverage, Commercial Property Insurance, Commercial General Liability Coverage, Commercial Auto Coverage, Commercial Crime Part, Miscellaneous Commercial Policies, Businessowners Coverage Form, Workers' Compensation Insurance, State Insurance Laws
- e. **Personal Lines (20 hrs*)** – General Insurance, Property Basics, Casualty (Liability) Basics, Dwelling Policy, Homeowners Policy, Personal Auto Policy, Miscellaneous Personal Lines Coverage, State Insurance Laws
- f. **Adjuster (40 hrs*)** – General Insurance, Property Basics, Claims, Dwelling Policy, Homeowners Policy, Miscellaneous Personal Lines, Personal Auto Policy, Commercial Property and Multi Peril Insurance, Commercial Auto Coverage, Miscellaneous Commercial Policies, Businessowners Coverage Form, Workers' Compensation Insurance, State Insurance Laws
- g. **Series 6 (20 hrs*)** – A securities license entitling the holder to register as a limited representative and sell mutual funds, variable annuities and insurance premiums. Holders of the Series 6 license are not permitted to sell corporate or municipal securities, direct participation programs and options.
- h. **Series 63 (20 hrs*)** – A securities license entitling the holder to solicit orders for any type of security in a particular state. Securities agents must acquire the Series 63 license, in addition to a Series 7 or Series 6 license, in order to sell securities. To obtain a Series 63 license, the applicant must pass an exam to demonstrate knowledge of state securities acts and related rules and regulations, as well as knowledge of ethical practices and fiduciary obligations.
- i. **Series 65 (20 hrs*)** – Securities industry professionals seeking to charge a fee to provide investment advice as an investment adviser representative (IAR) are required by most state securities administrators to pass the Uniform Investment Adviser Law Exam, more commonly known as the Series 65 exam. This exam is developed by the North American Securities Association (NASAA) and administered by FINRA. Candidates looking to obtain a Series 65 license must demonstrate general knowledge of the state securities regulations, ethical business practices, fiduciary responsibilities, securities product knowledge and technical analysis. This course will deliver the content needed to

successfully complete the examination requirements. Testable topics covered in this course include: Federal and state securities regulations, state registration of broker-dealers, agents, investment advisers and investment adviser representatives, ethical guidelines and business practices, prohibited practices, administration of the Uniform Securities Act, evaluating of customers and risks, customer accounts, securities markets, types of security products, economics and fundamental analysis, methods for evaluating securities and securities trading strategies.

- j. **Series 66 (40 hrs*)** – Securities industry professionals seeking to transact securities business as both a securities agent and investment adviser representative must register with the state securities administrator (in most states) and are required to pass the Uniform Combined State Law Exam, more commonly known as the Series 66 exam. This exam was developed by the North American Securities Administrators Association (NASAA) and administered by FINRA. Series 66 is a combination exam that may be taken as an alternative to both the Series 63 and Series 65. The FINRA Series 7 exam is a corequisite that must be successfully completed in addition to the Series 66 exam before a candidate can apply to register with a state. There is no required order in which these exams must be taken as long as both are successfully completed. Candidates looking to obtain a Series 66 license must have entry-level knowledge of the state securities regulations, ethical business practices, fiduciary responsibilities, securities product knowledge and technical analysis. This course will deliver the content needed to successfully complete the Series 66 examination requirements.
- k. **SIE (Securities Industry Essentials) (24 Hrs*)** – Effective October 1, 2018, securities industry professionals holding a securities representative-level license are qualified to sell specific securities products, depending on which license is held, a Series 6 or a Series 7. As part of the process of becoming securities licensed, all candidates must pass both the Securities Industry Essentials (SIE) exam and a representative-level top off exam. The SIE exam measures entry-level knowledge of basic securities industry concepts. SIE exam candidates must have a basic understanding of markets, securities products and their risks, securities trading, customer accounts, prohibited activities and the regulatory framework. This course will deliver the content needed to successfully complete the examination requirements.
- l. **Series 7 (40 hrs*)** – A securities license that qualifies a candidate to solicit, purchase and/or sell all securities products, including corporate securities, municipal fund securities, options, direct participation programs, investment company products and variable annuities, and government securities.

*Kansas does not require education hours to take the state exams for insurance or securities exams. The hours listed for each line of study is a recommended amount of time to study to be prepared for the exams.

Admissions / Enrollment Process

To enroll, applicants must:

- Enroll for courses at www.adbanker.com or by calling 1-800-866-2468
- All enrollments are accepted.

Tuition and Fee Policy

Tuition and fees may be paid by credit card (Visa, MasterCard, Discover or American Express), check or money order. All fees must be paid in full in order to receive access to online courses or for items to be shipped. Course fees below are the base prices. For other package pricing, see the website (www.adbanker.com).

Schedule of Fees

Tuition and fees may be paid by credit card (Visa, MasterCard, Discover or American Express), check or money order.

	<u>Web Class</u>	<u>Online</u>	<u>Self-Study</u>
Life & Health	\$164.90	\$169.95	\$79.95
Life	\$144.90	\$169.95	\$79.95
Health	\$144.90	\$169.95	\$79.95
Property & Casualty	\$164.90	\$169.95	\$79.95
Personal Lines	\$164.90	\$169.95	\$79.95
Adjuster		\$254.00	
Series 6	\$144.90	\$129.95	\$79.95
Series 63	\$104.90	\$69.95	\$49.95
Series 65	\$174.90	\$159.95	\$79.95
Series 66	\$174.90	\$159.95	\$79.95
SIE	\$164.90	\$139.95	\$79.95
Series 7	\$164.90	\$149.95	\$79.95

Cancellation and Refund Policy

Refunds for online products must be requested within 72 hours of purchase. Online access will be terminated upon refund request. No more than one chapter can be accessed to be eligible for a refund.

Refunds for webinars and classes must be requested 48 hours prior to the webinar/class start date. Webinars and classes not cancelled or not attended will be billed and the student provided with a six-month window to attend.

Shipping/handling fees are non-refundable.

Refund requests can be requested by email (adbhelp@adbanker.com) or by contacting Customer Care at 800-866-2468.

Materials must be returned in new condition (unmarked and suitable for resale) within 15 days to: A.D. Banker & Company, Attn: Returns, 7311 W 132nd St #180, Overland Park, KS 66213
Allow for 2-3 weeks for processing.

Guarantee Policy

We offer a guarantee to refund the cost of your materials, if you don't pass the state exam on the first attempt. If you do not pass the state licensing exam within 3 days after scoring an 80% on our Guarantee Exam, send us a copy of your state exam results, and we will refund the cost of your materials. The Guarantee Exam can be found online on the student dashboard.

To qualify for reimbursement:

- Within 3 days prior to your state exam, take and score 80% or greater on the Guarantee Exam
- The Guarantee Exam, when taken, must correspond with your scheduled state exam.
- The Guarantee Exam may be taken only once to determine qualification.
- The Guarantee Exam must be completed without exiting; if exited, the attempt cannot be rejoined.
- Email a copy of the failing exam score report to adbcurriculum@adbanker.com within 14 days of exam date.

Satisfactory Progress Standards for Academics & Attendance

Online attendance policy – our online courses do not have an attendance policy. Candidates have 60 days to complete their online course. If not completed within 60 days, candidates may renew their course for additional 30 days by paying a \$39.95 renewal fee. If the course is not completed after the 30-day extension, candidates may purchase another 60 days at the original price. Renewals or extensions have no impact on cumulative work performed. All completed work and exams (chapter, comprehensive and certification exams) to date are retained and forward.

Certificate

Kansas does not require a *Certificate of Completion* to be issued to students completing courses.

Student Services

We do not offer placement assistance. Most students are referred to us by their employer or prospective employer. Our mission is to provide the desired and needed training and return the student to the employer who referred them to us. We do not guarantee employment after the completion of our courses.

Credit Transfer/ Credit for Previous Training

There is no transferring of credits. There is no credit for previous training.

SCHOOL POLICIES

Tardiness

We have no policy for tardiness.

Leave of Absense (LOA) Policy

We have no policy regarding absences.

Termination

We do not terminate enrollments.

Make-Up Work

We have no policy for make-up work.

Student Conduct Policy

The student who is enrolled in the course must not allow anyone else to complete any portion of the course requirements.

Privacy Policy / Student Rights

Student personal records/information are stored in a secure database, accessible only to A.D. Banker & Company employees and is not revealed to any person at any time. Student performance information is available only to the student and their sponsoring employer upon written requests from the employee or employer. For more details, refer to privacy policy on our website at: <http://adbanker.com/privacyPolicy.aspx>. Students may access their personal, performance and progress information at any time by logging onto their online account and reviewing their current status. Each student maintains a confidential username and password for access.

Student Grievance Policy/Procedure

Students aggrieved by action of the school or personnel of the school should attempt to resolve these problems with appropriate school officials. Grievances should be in writing and directed to: A.D. Banker & Company, Attn: Compliance Manager, 7311 W 132nd St #180, Overland Park, KS 66213. Students will receive a written response and offer of resolution within 7 days. The student's employer may be consulted in determining the resolution. The student may file an appeal with the Compliance Manager. The case will then be considered by appropriate members of the administrative staff. Should this procedure fail, (and if the allegation asserts that the school has violated a Kansas law), students may contact the Kansas Board of Regents, 1000 SW Jackson #520, Topeka, KS 66612-1368, by phone 785-430-4240 or online at https://www.kansasregents.gov/academic_affairs/private_out_of_state/complaint_process

Governing Authorities

Kansas Board of Regents
1000 SW Jackson #520
Topeka, KS 66612-1368
785-430-4240
www.kansasregents.gov

Kansas Insurance Department
420 SW 9th Street
Topeka, KS 66612-1678
785-296-3071
www.ksinsurance.org