

Financial Learning Experience E-Learning Courses

The Definitive Source for Firm Element Training

FINRA develops a wide range of e-learning courses for registered representatives, supervisors, operations staff, compliance personnel and other employees. These online courses uniquely blend FINRA's knowledge of securities rules and regulations with the industry's expertise on how those rules are practically applied on the job.

FINRA's e-learning courses lead users through common compliance situations and include scenarios and decision points that help users make sure they understand course content. They also include post-course examinations* to measure understanding of the material.

FINRA's e-learning courses are developed to provide your firm with an affordable and convenient source for Firm Element and other compliance training.

*Post-course examinations may not be mandatory for all users. Check with your training manager for specific requirements.

Table of Contents

Firm Element CE Course Descriptions	1
Purchase Courses and Library Subscriptions	11
Earn Certified Financial Planner™ (CFP®) Continuing Education (CE) Credits	11

- **2022 Annual Compliance Review**

EL-ELC271  | 0.5 CE Credits

This course aims to help learners understand registered persons' compliance obligations through scenarios based on real enforcement actions. The following obligations are highlighted in the 2022 edition:

- outside business activities;
- gifts and gratuities;
- fair prices and commissions;
- borrowing from customers;
- interacting with FINRA staff; and
- speaking up.

- **2023 AML Review (NEW)**

EL-ELC275  | 0.5 Credits

This course reviews the key anti-money laundering (AML) program rules and requirements. It also focuses on current AML trends and recognizing a wide range of red flags associated with suspicious activity.

Content includes:

- AML fundamentals
- Identifying fraud and cyber schemes
- Money mule schemes
- Pump-and-dump schemes
- Sanctions, anti-bribery and anti-corruption measures
- The consequences of failing to identify red flags of suspicious activity

- **2023 Annual Compliance Review**

EL-ELC273  | 0.5 CE Credits

This course aims to help learners understand registered persons' compliance obligations through scenarios based on real enforcement actions. The following obligations are highlighted in the 2023 edition:

- filing timely and accurate information;
- maintaining books and records;
- making business-related statements;
- avoiding unauthorized trading;
- interacting with FINRA staff; and
- speaking up.

- **2023 Annual Industry Priorities Review**

EL-ELC274 **CFP**[®] | 0.5 CE Credits

This course examines the findings, emerging risks and effective practices on select industry priorities. The topics in the 2023 edition include:

- trusted contact person;
- regulatory events reporting;
- private placements;
- communications with the public;
- best execution;
- market access;
- segregation of assets and customer protection; and
- portfolio margin and intraday trading.

- **2024 Annual AML (NEW)**

EL-ELC282 **CFP**[®] | 0.5 CE Credit

This course reviews basic anti-money laundering (AML) program requirements and established practices for creating and maintaining a robust AML program, with a focus on detecting and reporting suspicious activity. It also focuses on current industry trends and the consequences of failing to identify red flags of suspicious activity.

Content includes:

- AML fundamentals
- Identifying and reporting suspicious activity
- Fraud and cyber schemes
- ACATS fraud
- FinCEN's Customer Due Diligence Requirements (the CDD Rule)
- Sanctions, anti-bribery and anti-corruption

- **2024 Annual Compliance Review (NEW)**

EL-ELC280 **CFP**[®] | 0.5 CE Credit

This course aims to help learners understand registered persons' compliance obligations through scenarios based on real enforcement actions.

Content includes:

- Personal securities accounts and investments away from the firm
- Securities transactions away from the firm
- Markups, commissions and fees charged for services
- Handling customer complaints
- Cooperating with FINRA staff
- Speaking up

- **529 Savings Plans and ABLE Programs**

EL-ELC258 **CFP**[®] | 1.0 CE Credit

This course explains the unique characteristics and common costs associated with 529 savings plans and Achieving a Better Life (ABLE) programs. Participants are presented with scenarios that emphasize a registered representative's regulatory responsibilities when recommending these products to clients.

- **Adapting to a Hybrid Work Environment (NEW)**

EL-ELC279

This course prepares learners for working in a hybrid work environment, which includes working remotely and returning to an office setting. It also provides guidance on applying firm policies and procedures while working in each environment.

Content includes:

- Setting up a home office
- Gifts and entertainment policies
- Cybersecurity and protecting confidential information
- Returning to the office
- Applying firm policies and procedures in remote and office settings

- **Books and Records**

EL-ELC131  | 1.0 CE Credit

This course explains the obligations of registered persons to maintain records of actions undertaken in their capacity as representatives of the firm. Scenarios illustrate and reinforce compliance with recordkeeping and retention requirements when electronic media are involved.

- **Books and Records for Operations Professionals**

EL-ELC256  | 0.5 CE Credits

This course is designed to help operations professionals understand their books and records obligations when conducting firm business. Scenarios emphasize the importance of adhering to regulatory recordkeeping and retention requirements and firm-specific guidance.

- **Communications With the Public: Compliance Issues for Independent Registered Representatives**

EL-ELC212  | 0.5 CE Credits

This course covers concepts to help independent registered representatives understand what constitutes communication with the public and the regulations and obligations that these communications must comply with.

Content includes:

- Types of communications with the public
- Communications content standards
- Off-channel communications
- Approval, recordkeeping and filing requirements
- Scenarios that emphasize the importance of complying with communications with the public requirements when working with customers

- **Communications With the Public: Compliance Issues for Wholesalers**

EL-ELC211

This course covers concepts to help wholesalers understand what constitutes communication with the public as well as the regulations and obligations that apply. It also reminds wholesalers that, while their day-to-day business does not involve interaction with the retail customers, the communications the wholesalers created may end up in customers' hands.

Content includes:

- Types of communications with the public
- Communications content standards
- Approval, recordkeeping and filing requirements
- Scenarios to recognize the importance of reviewing communications before use

- **Communications With the Public: What Retail Staff Need to Know**

EL-ELC210 **CFP**[®] | 0.5 CE Credits

This course covers concepts to help registered representatives understand what constitutes communication with the public and the regulations and obligations that these communications must comply with.

Content includes:

- Types of communications with the public
- Communications content standards
- Off-channel communications
- Approval, recordkeeping and filing requirements
- Scenarios to recognize the importance of complying with communications with the public requirements when working with customers

- **Compliance Reminders for Supervisors**

EL-ELC266

This course uses scenarios to remind supervisors of their obligations when overseeing registered representatives. It covers several areas including reviews of correspondence, transactions, outside business activities, private securities transactions and Form U4 disclosures.

- **Conflicts of Interest**

EL-ELC242 **CFP**[®] | 0.5 CE Credits

This course highlights conflicts of interests that could arise between registered representatives, customers, and firms in the securities industry.

Content includes:

- How to identify conflicts of interests
- Understanding obligations when conflicts of interest arise
- Relevant rules and regulations
- Methods to mitigate and manage conflicts of interests

- **Corporate and Government Bonds: Regulatory Considerations**

EL-ELC226 **CFP**[®] | 1.0 CE Credit

This course examines different types of bonds, including corporate and government bonds such as Treasury, agency and government-sponsored enterprise (GSE) bonds. It reviews bond fundamentals, risks and regulatory concepts related to bond sales.

Content includes:

- Bonds characteristics and attributes
- Bonds pricing and yield
- SEC Regulation BI and suitability
- Regulatory issues when communicating with customers
- Trade reporting issues and compliance
- Investment risks associated with bonds

- **Customer Information Protection for Registered Representatives**

EL-ELC155 **CFP**® | 1.0 CE Credit

This course covers concepts to help registered representatives understand procedures for protecting confidential personal customer information and detecting possible breaches in information security.

Content Includes:

- SEC Regulation S-P and SEC Regulation S-ID
- What is personally identifiable information
- How information can become compromised
- Types of cyber threats and common scams
- Methods to safeguard personal customer information
- Red flags of compromised information

- **Customer Information Protection for Supervisors**

EL-ELC156

This course covers concepts to help supervisors implement firm procedures for protecting confidential personal customer information and detecting possible breaches in information security.

Content Includes:

- SEC Regulation S-P and SEC Regulation S-ID
- What is personally identifiable information
- How information can become compromised
- Types of cyber threats and common scams
- Methods to safeguard personal customer information
- Red flags of compromised information

- **Cybersecurity – Supervisors: Understanding Your Role**

EL-ELC254

This course focuses on the necessity for cybersecurity controls in your day-to-day supervision of registered representatives, and includes a review of possible consequences of lapses. Cybersecurity-related scenarios are presented to help supervisors learn how to recognize and respond to cyber threats.

- **Cybersecurity: Understanding Your Role**

EL-ELC238 **CFP**® | 0.5 CE Credits

This course focuses on the necessity for cybersecurity controls in your day-to-day business. It will help you identify some of the cyber threats that can harm you, your customers, and your firm. The course will also help you better understand the rules and regulations that apply to cybersecurity.

Content includes:

- SEC Regulation S-P and SEC Regulation S-ID
- Creating response plans to cyberattacks
- Phishing, email hacking and other common scams
- Protection from cyberattack

- **Debt Mark-Ups**

EL-ELC143 **CFP**® | 0.5 CE Credits

This course covers rules and regulatory guidance surrounding the identification of prevailing market price and the factors to consider when determining mark-ups on transactions in debt securities.

- **Electronic Communications: What Independent Registered Representatives Need to Know**

EL-ELC216 **CFP**® | 0.5 CE Credits

This course is designed to help independent registered representatives understand the rules and regulations applicable to using social media and electronic communications for business purposes.

Content includes:

- Communications with the public regulations
- Using social media for business purposes
- Off-channel communications
- Supervision requirements
- Approval, recordkeeping and filing requirements

- **Electronic Communications: What Retail Staff Need to Know**

EL-ELC213 **CFP**® | 0.5 CE Credits

This course is designed to help retail registered representatives understand the rules and regulations applicable to using social media and other electronic communications for business purposes.

Content includes:

- Communications with the public regulations
- Using social media for business purposes
- Off-channel communications
- Supervision requirements
- Approval, recordkeeping and filing requirements

- **Electronic Communications: What Supervisors Need to Know**

EL-ELC214

This course is designed to help supervisors understand the rules and regulations applicable to using social media and electronic communications for business purposes and to make sure that the registered representatives whom they supervise comply with the rules.

- Communications with the public regulations
- Using social media for business purposes
- Off-channel communications
- Supervision requirements
- Approval, recordkeeping and filing requirements

- **Electronic Communications: What Wholesalers Need to Know**

EL-ELC215

This course is designed to help individuals working for wholesaler firms understand the rules and regulations applicable to electronic communications. This applies even if their day-to-day business does not involve interaction with customers because communications they created may end up in their hands.

Content includes:

- Communications with the public regulations
- Using social media for business purposes
- Off-channel communications
- Supervision requirements
- Approval, recordkeeping and filing requirements

- **Ethical Considerations for Institutional Sales Representatives**

EL-ELC173

This course covers six common ethical principles and selected decision-making models for institutional sales representatives to consider when facing ethical dilemmas. Scenarios demonstrate how these models can be practically applied to common ethical challenges faced by securities professionals.

Content includes:

- Model code of ethics and ethical principles
- Concise model for resolving ethical disputes
- Ethics checklist for making difficult decisions
- Analyzing a contemplated action
- Goal setting and outcome predicting model
- The newspaper test

- **Ethical Considerations for Operations Professionals**

EL-ELC172

This course covers six common ethical principles and selected decision-making models for operations professionals to consider when facing ethical dilemmas. Scenarios demonstrate how these models can be practically applied to common ethical challenges faced by securities professionals.

Content includes:

- Model code of ethics and ethical principles
- Concise model for resolving ethical disputes
- Ethics checklist for making difficult decisions
- Analyzing a contemplated action
- Goal setting and outcome predicting model
- The newspaper test

- **Ethical Considerations for Registered Representatives**

EL-ELC170

This course covers six common ethical principles and selected decision-making models for registered representatives to consider when facing ethical dilemmas. Scenarios demonstrate how these models can be practically applied to common ethical challenges faced by securities professionals.

Content includes:

- Model code of ethics and ethical principles
- Concise model for resolving ethical disputes
- Ethics checklist for making difficult decisions
- Analyzing a contemplated action
- Goal setting and outcome predicting model
- The newspaper test

- **Ethical Considerations for Supervisors**

EL-ELC171

This course covers six common ethical principles and selected decision-making models for supervisors to consider when facing ethical dilemmas. Scenarios demonstrate how these models can be practically applied to common ethical challenges faced by securities professionals.

Content includes:

- Model code of ethics and ethical principles
- Concise model for resolving ethical disputes
- Ethics checklist for making difficult decisions
- Analyzing a contemplated action
- Goal setting and outcome predicting model
- The newspaper test

- **Ethical Decision Making**

EL-ELC270

This course instructs learners on the importance of acting ethically and what to do if they see unethical behavior in the workplace. It also explains how to recognize and mitigate ethical dilemmas in the financial industry through real world examples.

- **Exchange-Traded Products: Understanding Leveraged and Inverse ETPs**

EL-ELC179  | 0.5 CE Credits

This course explains exchange-traded products (ETPs), with a particular focus on leveraged and inverse ETPs. Activities describe how these products work and the factors that can affect the performance of these products, including the effect of compounding on daily reset.

Content includes:

- Types of ETPs
- Structure of ETPs
- How Leveraged and Inversed ETPs Work
- Focus on Short Term Performance
- Effects of Compounding Over Time
- Risk and Benefits of Non-Traditional ETPs

- **Financial Crimes**

EL-ELC262  | 1.0 CE Credit

This course is designed to help registered representatives (RRs) understand their responsibility to recognize red flags of several financial crimes, including money laundering, fraud, market manipulation, insider trading and cybercrimes. This course also explains how to escalate and report suspicious activities that might be indicative of financial crimes.

Content includes:

- Regulatory responsibilities of RRs
- Red flags of money laundering and terrorist financing
- Identifying fraudulent activity
- Insider trading
- Protection from cyber crimes

- **Financial Exploitation of Senior and Vulnerable Adults**

EL-ELC261  | 1.0 CE Credit

This course is designed to help registered representatives understand their responsibilities in protecting senior and vulnerable adult clients from financial exploitation. Scenarios demonstrate the importance of recognizing and escalating respective red flags, and highlight specific rules and regulations that can help registered representatives fulfill their responsibilities to safeguard their clients from financial abuse.

- **Fixed Income ETFs**

EL-ELC265 **CFP**® | 0.5 CE Credits

This course covers the underlying products and mechanics of exchange-traded funds (ETFs) to help learners understand fixed income ETFs. The course also highlights the advantages and disadvantages of investing in fixed income ETFs and provides guidelines to compare them to one another as well as to other products available on the market.

Content includes:

- Fixed income product basics
- Risk factors of fixed income products and ETFs
- ETF basics
- ETF creation and redemption
- Types of fixed income ETFs
- Leveraged and inverse ETFs

- **Fixed Income Suitability: Retail Sales Practices**

EL-ELC125 **CFP**® | 1.0 CE Credit

This course reviews fixed income product characteristics and risk factors, and illustrates the unique suitability considerations and regulatory subtleties associated with the sale of these securities.

- **Foreign Corrupt Practice Act: Avoiding Improper Payments**

EL-ELC110 **CFP**® | 0.5 CE Credits

In today's international business climate, securities professionals must understand and comply with regulations governing corruption and bribery in business practices around the globe. The course covers handling of indirect payments, interactions with intermediaries and government officials, recordkeeping and due diligence.

- **Form U4: A Tool for Transparency**

EL-ELC268 **CFP**® | 0.5 CE Credits

This course provides important reminders regarding the obligations that individuals have with Form U4 throughout different phases of their careers and proactive steps they can take to meet this obligation.

- **Gifts: Registered Representative Responsibilities**

EL-ELC165 **CFP**® | 0.5 CE Credits

This course presents regulatory requirements and industry compliance practices related to business gifts to help you understand your role as a registered representative in complying with FINRA rules.

Content includes:

- Influencing or Rewarding Employees of Others (FINRA Rule 3220)
- Guidelines for gift giving
- Knowing and complying with firm policies
- Gift aggregation
- Recordkeeping requirements

- **Gifts: Understanding Compliance Responsibilities**

EL-ELC167 **CFP**® | 0.5 CE Credits

This course presents regulatory requirements and industry compliance practices related to business gifts to help you understand the role compliance staff in complying with and monitoring FINRA rules.

Content includes:

- Influencing or Rewarding Employees of Others (FINRA Rule 3220)
- Guidelines for gift giving
- Knowing and complying with firm policies
- Gift aggregation
- Recordkeeping requirements

- **Gifts: Understanding Supervisory Responsibilities**

EL-ELC166

This course presents regulatory requirements and industry compliance practices related to business gifts to help you understand the role of a supervisor in complying with and monitoring FINRA rules.

Content includes:

- Influencing or Rewarding Employees of Others (FINRA Rule 3220)
- Guidelines for gift giving
- Knowing and complying with firm policies
- Gift aggregation
- Recordkeeping requirements

- **Identifying and Escalating Customer Complaints**

EL-ELC269  | 0.5 CE Credits

This course will highlight the role that registered representatives (RRs) play in properly identifying and escalating customer complaints. In this context, the course will explore considerations related to identifying and escalating customer complaints and will then review scenarios that highlight some common errors in these areas, along with the potential ramifications for both RRs and firms. The course will also review what happens to a complaint once it is reported to FINRA and then delve into the greater framework of FINRA rules in order to understand the regulatory landscape in which these requirements take place.

- **Information Barriers: Protecting MNPI and Preventing Insider Trading**

EL-ELC264  | 0.5 CE Credits

This course is designed to help securities industry professionals understand information barriers relating to safeguarding material nonpublic information (MNPI) and preventing insider trading.

Content includes:

- Relevant laws and regulations
- Information barriers- Risks of information barrier failure
- Wall crossing procedures
- Restricted list and watch lists
- Risk control strategies

- **Insider Trading**

EL-ELC157  | 1.0 CE Credit

This course explains insider trading and the consequences of the intentional or inadvertent misuse of material, nonpublic information. Scenarios illustrate typical situations and emphasize the importance of maintaining confidentiality when in possession of material, nonpublic information.

- **Insider Trading: Understanding Your Responsibilities**

EL-ELC248 **CFP**[®] | 0.5 CE Credits

This course highlights specific rules and regulations that prohibit insider trading and provides registered representatives with examples of material, nonpublic information. Participants work through scenarios designed to help them identify possible or actual insider trading by their customers and others, and determine what reporting steps to take.

- **Municipal Bonds: Regulatory Considerations**

EL-ELC231 **CFP**[®] | 1.0 CE Credit

This course addresses some of the inherent risks associated with municipal bonds. It is designed to help you better understand risks, sales practice issues, rules and regulations related to these bonds.

- **Outside Business Activities**

EL-ELC132 **CFP**[®] | 1.0 CE Credit

This course covers regulations governing the treatment of outside business activities and reviews factors a registered representative should consider before participating in an outside business activity or conducting a private securities transaction.

- **Outside Business Activities for Independent Registered Representatives**

EL-ELC185 **CFP**[®] | 1.0 CE Credit

This course covers regulations governing the treatment of outside business activities and reviews factors an independent registered representative should consider before participating in an outside business activity or conducting a private securities transaction. Using real industry scenarios, this course illustrates how regulatory requirements for outside business activities apply to independent registered representatives.

- **Outside Business Activities for Wholesalers**

EL-ELC184

This course covers regulations governing the treatment of outside business activities and reviews factors registered wholesalers—who are required to know and follow FINRA rules as well as firm policies and procedures governing outside business activities—should consider before participating in an outside business activity or conducting a private securities transaction.

- **Penny Stock Sales**

EL-ELC160 **CFP**[®] | 1.5 CE Credits

This course explains the penny stock rules and a registered representative's sales practice obligations when recommending penny stocks.

Content includes:

- Applicable SEC and FINRA rules
- SEC Regulation BI and suitability
- Due diligence and recommendations
- How to identify fraud and red flags
- Reporting suspicious activity
- Customer protection

- **Privacy Considerations: Conducting Business With Institutional Clients**

EL-ELC198

This course addresses two distinct privacy considerations that institutional sales representatives may encounter in their day-to-day business activities: the importance of protecting private client information and the need to maintain confidentiality when suspicious activity is encountered. Activities and case studies provide opportunities to explore and reinforce how to apply core concepts.

- **Private Placements: Conducting Reasonable Investigations for Regulation D Offerings**

EL-ELC186

This course covers the use of private placements as a source of capital and sales practices pertaining to these products. It highlights the duty to conduct reasonable investigations concerning SEC Regulation D offerings and red flags of abuses that can occur in these offerings.

Content includes:

- Exemptions under Reg D
- Duty to conduct due diligence of the issuer and its securities
- Investigating issuers and offerings
- Red flags of suspicious activity
- Preparing a private placement memorandum
- Sales practice obligations

- **Prohibited Conduct in Customer Relationships**

EL-ELC272 **CFP**[®] | 0.5 CE Credits

This course aims to provide a high-level awareness of certain prohibited practices surrounding customer relationships. The course addresses a wide range of job functions and registrations by taking a thematic approach to identifying and analyzing certain prohibited practices related to fair dealing with customers, particularly surrounding:

- unauthorized account activity;
- excessive trading and churning;
- communications standards; and
- misuse of material nonpublic information (MNPI).

- **Real Estate Investment Trusts (REITs): Regulatory Considerations**

EL-ELC234 **CFP**[®] | 1.0 CE Credit

This course is designed to help you better understand risks, sales practice issues, rules and regulations related to Real Estate Investment Trusts (REITs). It addresses some of the features and benefits of these products, as well as the regulatory implications that apply when selling them.

- **Regulation Best Interest (Reg BI) Compliance for Registered Representatives and Their Supervisors**

EL-ELC263  | 1.0 CE Credit

This course is intended to provide information on the obligations of SEC Regulation BI to registered representatives and their supervisors while closely reviewing the text of the rule.

Content includes:

- When SEC Reg BI applies
- The component obligations of Reg BI
- Maintaining compliance with Reg BI

- **Retail Branch Office Supervision: Compliance With Regulations**

EL-ELC126

This course covers supervisory responsibilities to reinforce industry practices and control procedures, including monitoring, coaching, and managing registered representatives at a branch office.

Content includes:

- Hiring and supervising staff
- SEC Regulation BI and the supervision of recommendations
- Correspondence and communications review
- Identifying and escalating red flags
- Consequences of failing to adequately supervise

- **Retail Branch Office Supervision: Understanding Supervisory Responsibilities**

EL-ELC127

This course covers the regulatory and compliance obligations of retail branch office managers and supervisors. Scenarios address hiring practices, monitoring of sales activity and communications, and delegation—and the consequences of not fulfilling supervisory obligations.

- **Retail Supervision: Sales to Senior Investors**

EL-ELC139

This course covers the supervisory obligations of retail broker-dealers working with senior investors. These obligations include analysing recommendations to senior investors and products geared toward these individuals. Scenarios also highlight the supervisory challenges relating to sales seminars and senior designations.

Content includes:

- Defining a supervisor's role
- SEC Regulation BI and recommendations to senior investors
- Reviewing account activity
- Communications with the public and communications review
- Recognizing the importance of fulfilling supervisory obligations

- **Securities Regulation Fundamentals**

EL-ELC284

This course reviews major legislation that shapes the structure of U.S. securities regulation and the regulators who create and enforce these rules. The course also works to describe the mission and

jurisdiction of these regulators and helps learners distinguish between different types of investment professionals in the securities industry.

Content includes:

- Federal and state regulators that govern the securities sector
- The mission and jurisdiction of regulators in the securities industry
- Self-regulatory organizations (SROs), including security exchanges, FINRA and the MSRB
- Distinguish between participants in the securities markets

- **Senior Investor Issues: Financial Exploitation**

[EL-ELC247](#) **CFP** | 0.5 CE Credits

This course reminds registered representatives that fulfilling their regulatory obligations can help to protect senior investors from financial exploitation. Participants are presented with scenarios to help them learn how to detect situations or “red flags” that might indicate a senior client is being financially exploited.

- **Supervision: FINRA Rules 3110, 3120, 3150 and 3170**

[EL-ELC236](#)

This course demonstrates the key requirements of FINRA's supervision rules, and the specific obligations of firms and associated persons under those rules.

- **Supervision: Obligations for Firms With Institutional Clients**

[EL-ELC116](#)

This course covers the regulatory and compliance obligations of supervisors at firms servicing institutional customers.

Content includes:

- Training and maintaining qualified staff
- How to review and monitor business
- Follow-up and escalation procedures
- Documentation of supervisory tasks
- Delegation of supervisory tasks

- **Supervision: Obligations When Monitoring Sales and Trading**

[EL-ELC202](#)

This course reviews a supervisor's obligations to manage their broker-dealer's risk by ensuring that the customer's best interests are looked after while meeting production and operational goals. These obligations include identifying required areas of supervision, meeting supervisory obligations and understanding the potential consequences of failing to carry out supervisory responsibilities.

Content includes:

- Monitoring accounts for suspicious trading activity
- Supervising transactions for compliance with SEC Regulation BI
- Form CRS requirements
- Reviewing accounts for excessive trading and churning

- **Treasury Securities**

EL-ELC267 **CFP**[®] | 0.5 CE Credits

This course provides learners with an in-depth analysis of Treasury securities, a cornerstone of fixed-income markets. It is designed to help learners differentiate between several types of Treasury securities, describe their markets, and understand common trading strategies featuring these products.

- **Understanding Alternative Mutual Funds**

EL-ELC251 **CFP**[®] | 0.5 CE Credits

This course explains the unique characteristics and associated risks of alternative mutual funds. Participants are presented with scenarios designed to emphasize the complexity of alternative mutual funds and the importance of performing a thorough suitability analysis when recommending these products.

Content includes:

- Characteristics of alternative mutual funds
- SEC Regulation BI and suitability
- Strategies of alternative mutual funds
- Risks and investments considerations

- **Understanding Commodity Futures-Linked Securities**

EL-ELC 181 **CFP**[®] | 0.5 CE Credits

This course explains commodity futures-linked securities and the factors that can affect the performance of these products.

- **Understanding Retail Structured Products**

EL-ELC174 **CFP**[®] | 0.5 CE Credits

This course explains the basics of retail structured products as an investment class. It also describes the features of some of their more common forms and related risks associated with them.

- **Understanding Social Media for Retail Registered Representatives**

EL-ELC217 **CFP**[®] | 0.5 CE Credits

This course is designed to help registered representatives understand the rules and regulations applicable to using social media websites and how to comply with them.

- Types of communications and applicable content standards
- Approval, recordkeeping and filing requirements
- Interactive and static content on social media sites
- Third-party posts
- Off-channel communications
- Special considerations when using social media

Purchase Courses and Library Subscriptions

▶ Are you already using FINRA e-learning courses for your firm's training program?

If you identify a new course that you want to take or that you want to assign to an employee at your firm, visit www.finra.org/events-training/flex.

▶ Are you new to FINRA e-learning courses?

FINRA's e-learning courses offer affordable compliance solutions for firmwide Firm Element training and targeted training on specific issues. Visit www.finra.org/events-training/flex to learn more about available courses and library subscriptions, and for links to third-party Firm Element training vendors where you can purchase them.

Earn Certified Financial Planner™ (CFP®) Continuing Education (CE) Credits

FINRA's e-learning library includes several courses that are eligible for Certified Financial Planner™ (CFP®) continuing education (CE) credits. All courses are intermediate level of complexity, and are eligible for between 0.5 and 2.0 CE credits.

CFP All CFP-eligible courses are noted with an icon throughout this catalog.

Visit www.finra.org/events-training/flex for more information.



Investor protection. Market integrity.

1700 K Street, NW
Washington, DC 20006
www.finra.org

© 2024 FINRA. All rights reserved.
CCSD-10653 – 05/24