

Courses

Key Topics

Anti-Bribery: This Knowledge Block provides participants with an overview of anti-bribery laws, including the Foreign Corrupt Practices Act and the Anti-Terrorism, Crime and Security Act. *(Format: Knowledge Block, Length: 20 Minutes**)*

- Applicable Laws
- Anti-Bribery Provisions
- Penalties
- Enforcement Activity
- Assessment

Anti-Tying: This course provides participants with a general understanding of the laws and restrictions that affect the ability of a federally regulated bank and its affiliates to bundle or otherwise cross-market their products and services, or to condition pricing or fee discounts on those products or services. *(Format: Course, Length: 55 Minutes**)*

- Anti-tying Statute
- Prohibited and Permissible Conduct
- Exceptions to the General Rule
- Case Studies

Anti-Money Laundering: This course provides participants with a working knowledge of the fundamental concepts related to money laundering in the financial industry. The course highlights key terms, regulatory requirements, Know Your Customer and customer identification policies, and reporting requirements. *(Format: Course, Length: 55 Minutes)*

- Regulatory Environment
- Enforcement
- Customer Identification
- Recordkeeping Requirements
- Activity Monitoring and Reporting
- Assessment

Conflicts of Interest and Ethical Decision Making: This course is designed to instill in participants an awareness of ethical decision-making issues and conflicts of interest and to provide guidance regarding the identification, management and resolution of ethical decisions and conflicts of interest. *(Format: Course, Length: 60 Minutes**)*

- Ethical Decision-Making
- Gifts and Entertainment
- Doing Business with Family Members
- Outside Activities
- Implied Reciprocal Relationships
- Case Studies

Corporate Code of Ethics: This course provides participants with an understanding of the guidelines for employee conduct and the basic principles of corporate conduct as set forth in the institution's Code of Ethics. This course is highly customized to reflect the institution's Code of Ethics and to address issues relevant to the institution's businesses. *(Format: Course, Length: 60 Minutes**)*

- Ethical and Professional Conduct
- Conflicts of Interest
- Confidentiality
- Use and Ownership of Corporate Assets
- Compliance with Laws, Regulations and Policy
- Assessment

Employee Investment Policy: This course educates participants on the Employee Investment Policy, including the impact of the Information Wall Policy on employee investments and the relevant requirements for public and private side employees. *(Format: Course, Length: 60 Minutes**)*

- Information Walls and Inside Information
- Employee Investment Policy
- Requirements by Business Group
- Principal Investing
- Assessment

Understanding the Organization's Legal, Operational, and Regulatory Structure: The course provides participants with an overview of the institution's operational and compliance structures and its primary legal entities. In addition, the course describes the principal domestic and international regulators that oversee financial institutions and identifies current regulatory issues with significant business impact based on the firm's structure. *(Format: Course, Length: 60 Minutes**)*

- Legal Structure
- Operational Structure
- Compliance and Risk Management Reporting Structure
- Regulators – U.S. and International
- Key Regulatory Issues
- Assessment

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Communicating with Clients and Colleagues: This Knowledge Block provides a general awareness of the legal, regulatory, and firm policy considerations related to communicating with clients and colleagues, with emphasis on e-mail and other forms of electronic communications. *(Format: Knowledge Block, Length: 20 Minutes)*

- Privacy, Retention, and Security
- Using E-Mail
- Discovery
- Enforcement Actions
- Content Considerations
- Deleting Communications
- Attorney-Client Privilege
- Best Practice Considerations
- Support and Additional Information
- Assessment

E-Mail Use: This Knowledge Block provides participants with an awareness of the critical issues involved when using e-mail. *(Format: Knowledge Block, Length: 20 Minutes)*

- Surveillance
- Privacy Considerations
- Attorney-Client Privilege
- Content Considerations
- Correspondence and Sales Material
- Client Complaints
- Delivery of Documents and Information
- Communications Outside of the Office
- Instant Messaging
- Case Study

Conflicts of Interest: This Knowledge Block provides participants with an enhanced awareness of potential conflicts of interest that can arise in their everyday activities. It also provides guidance for identifying and dealing ethically and effectively with potential conflicts of interest. *(Format: Short Course, Length: 40 Minutes)*

- Identifying Conflicts of Interest
- Common Areas of Conflict
- Resolving Conflicts of interest
- Case Study

Privacy of Client Information: This Knowledge Block provides participants with an understanding of their responsibilities associated with maintaining the privacy of confidential client information. *(Format: Knowledge Block, Length: 20 Minutes)*

- Regulation S-P
- Duty of Confidentiality
- Responsibilities
- Assessment

Insider Trading: This Knowledge Block provides participants with an understanding of the activities that constitute insider trading and how to avoid them. *(Planned Development – Knowledge Block, Length: 20 Minutes)*

- Information Walls
- Watch and Restricted Lists
- Personal Financial Conduct/Trading Restrictions
- Penalties
- Case Study

Gifts and Entertainment: This Knowledge Block provides participants with an understanding of the firm's guidelines and policies with respect to gifts and entertainment given to or received from clients, vendors, or other third parties. *(Planned Development – Knowledge Block, Length: 20 Minutes**)*

- Gift Guidelines
 - Entertainment Guidelines
 - Political Contributions
 - Foreign Corrupt Practices Act
 - Charitable Contributions
 - Case Study
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*** Custom course – outline only, online demo not available*