

2009 Course List – Institutional

Courses

- Affiliate Transactions**
- Anti-Money Laundering for Capital Markets
- Anti-Tying**
- Appropriateness Policy**
- Associate Investment Policy**
- Code of Ethics**
- Conflicts of Interest and Ethical Decision Making**
- Detection of Unauthorized Trading Activity
- Institutional Supervision (General, Sales, Trading, and Research)
- Regulation K**
- Research Compliance—Investment Banker**
- Research Compliance—Research Analyst**
- U.S. Treasury Auction Participation**
- Understanding the Organization’s Legal, Operational, and Regulatory Structure**

Knowledge BLOCK

- Anti-Bribery
- Communicating with Clients / E-Mail Use
- Conflicts of Interest—Institutional
- Privacy of Client Information
- Promoting High Ethical Standards

Planned Development: Knowledge Blocks & Notices

- Case Studies in AML
- Gifts and Entertainment**
- Insider Trading and Information Walls

** Custom course – outline only, online demo not available

