CFMPartners

# 2010 Course List – Retail

## 529 College Savings Plans

- 529 College Savings Plans: Suitability
- Supervision of 529 College Savings Plans
- Understanding 529 College Savings Plans

## Alternative Investments

- Alternative Investments: Sales Practices and Disclosures*
- Structured Products**
- Understanding Hedge Funds

## AML

- Anti-Money Laundering – Canada
- Anti-Money Laundering – UK
- Anti-Money Laundering for Broker-Dealers*
- Anti-Money Laundering for Card Services**
- Anti-Money Laundering for Insurance
- Anti-Money Laundering for Supervisors
- Customer Identification Programs
- Identifying Suspicious Activity

## Annuities & Insurance

- 1035 Exchanges
- Equity Indexed Annuities
- Introduction to Annuities
- Life Insurance Policies: Basics*
- Life Insurance Strategies for High Net Worth Clients*
- Reviewing 1035 Exchanges
- Supervising Variable Annuities
- Understanding Fixed Annuities
- Understanding Variable Annuities*
- Variable Annuities: Sales Practices and Disclosures
- Variable Annuities: Selling to Seniors
- Variable Annuities: Suitability

## Asset Allocation

- Introduction to Asset Allocation
- Portfolio Monitoring and Review

## Compliance

- Anti-Bribery: FCPA
- Communicating with Clients and Colleagues
- Communications with the Public*
- Fundamental Suitability Concepts
- Insider Trading and Information Walls
- Introduction to Anti-Tying**
- Outside Business Activities and Private Securities Transactions
- Privacy of Client Information
- Regulatory Reporting Requirements
- Selling to Seniors

## Ethics

- Code of Ethics**
- Conflicts of Interest – Retail
- Conflicts of Interest – Supervisors
- Outside Business Activities and Private Securities Transactions **

## Equities

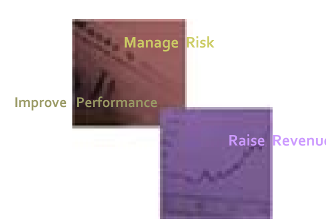
- Fundamentals of Initial Public Offerings
- Restricted and Control Stock
- Techniques for Managing Concentrated Stock Positions *

## Fixed Income

- Fixed Income: Sales Practices and Disclosures*
- Supervising Fixed Income Sales
- Understanding Fixed Income Securities*

## Investment Companies

- Exchange Traded Funds*
- Fundamentals of Closed-End Funds
- Fundamentals of Unit Investment Trusts
- Introduction to Mutual Funds
- Market Timing and Late Trading for Representatives
- Market Timing and Late Trading for Supervisory Personnel




* Accepted by the CFP Board for CE Credit
** Custom Course – outline only, online demo not available
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# 2010 Course List – Retail (Cont.)

## Investment Companies (Cont.)

- Mutual Funds: Sales Practices and Disclosures*
- Specialized ETFs
- Supervising Mutual Fund Sales*

## Sales Effectiveness

- Effective Profiling Techniques
- Explaining Financial Concepts to Clients
- Retirement Planning Process
- The Consultative Investment Sales Process

## Suitability

- 529 College Savings Plans: Suitability ♦
- Alternative Investments: Sales Practices and Disclosures
- Fixed Income: Sales Practices and Disclosures
- Fundamental Suitability Concepts
- Mutual Funds: Sales Practices and Disclosures
- Promoting Compliant Sales Practices ♦
- Reviewing 1035 Exchanges
- Reviewing and Approving New Account Documentation
- Selling to Seniors♦
- Supervising Mutual Fund Sales
- Supervising Variable Annuity Sales
- Supervision of 529 College Savings Plans ♦
- Variable Annuities: Selling to Seniors
- Variable Annuities: Suitability

## Supervision

- Anti-Money Laundering for Supervisors
- Conducting an Effective Branch Examination**
- Conflicts of Interest for Supervisors ♦
- Effective Supervision in a Changing Environment
- Heightened Supervision
- Market Timing and Late Trading for Supervisory Personnel ♦
- Promoting Compliant Sales Practices ♦

## Supervision (Cont.)

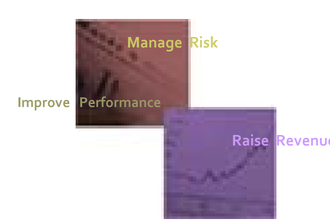
- Promoting High Ethical Standards ♦
- Remote Office Supervision ♦
- Reviewing 1035 Exchanges
- Reviewing and Approving Account Documentation
- Supervising Fixed Income Sales
- Supervising Investment Activity in a Bank Broker-Dealer ♦
- Supervising Mutual Fund Sales
- Supervising Variable Annuity Sales
- Supervision of 529 College Savings Plan Sales ♦
- Supervisory Oversight of Communications with the Public

## Trusts

- Charitable Trusts and Private Foundations*
- Introduction to Personal Trusts

## Planned Development

- Case Studies in AML ♦
- Corporate Insiders and Trading Restrictions
- Employee Investment Policy ♦**
- Fundamental Estate Planning Concepts
- Gifts and Entertainment ♦**
- Investment Advisory Programs and Services**
- Operations Supervision and Internal Controls: Disbursements
- Options: Hedging Strategies
- Responsibilities of Investment Advisors**
- Supervising Alternative Investment Sales
- Supervising Producing Managers ♦**
- Target Date Funds
- The Investment Advisory Process**
- Understanding Employee Stock Options
- Understanding Managed Futures
- Understanding Options
- Understanding Private Equity Investments

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