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Foreside Investment Advisor
Online Training Courses

Course Catalog

Advanced Look at Insider Trading**Course No. 11196**

This course is intended for registered representatives, investment advisors, institutional representatives, traders, analysts and supervisors who have a well-rounded background in the issuance, distribution and risk-analysis of conventional securities. Those taking this course should already have an intermediate understanding of the securities markets and economic analysis. Insider trading is a term that is usually associated with illegal conduct. In reality, the term actually includes both legal and illegal conduct. The legal version is when corporate insiders, officers, directors and employees buy and sell stock in their own companies. When corporate insiders trade in their own securities, they must report their trades to the SEC. Illegal insider trading refers generally to buying or selling a security in breach of a fiduciary duty or other relationship of trust and confidence while in possession of material, nonpublic information about the security. This course covers the definition of insider trading, why insider trading is important, and insider trading rules. Individuals taking this course will also learn how to identify key terms related to insider trading, rules and regulations governing insider trading, and consequences of insider trading.

Estimated Completion Time: 20 minutes**Anti-Money Laundering Regulations and Red Flag Requirements for
U.S. Investment Advisors****Course No. 11043**

Anti-money laundering (AML) is a phrase used to describe the body of regulations to which financial institutions must adhere in order to detect and report money laundering activities. Although many AML regulations do not directly apply to investment advisors who are not also registered as a covered financial institution (broker-dealer, bank, credit union, etc.), many advisers find themselves at the front lines of AML responsibilities because of the relationships they have with their custodians; who are often required to comply with the entire body of AML regulations. This course will cover AML regulations and Red Flags of which investment advisors should be aware in their practice. Investment advisors are the custodian's eyes and ears on the ground in combating the nearly 1.5 trillion dollars that is estimated to be laundered annually.

Estimated Completion Time: 30 minutes**Conflicts of Interest and Investment Advisors****Course No. 11273**

This course discusses the most likely ways that conflicts arise for investment advisors and how to effectively manage and disclose them. Additionally, the course focuses on adhering to your firm's Code of Ethics and identifying any conflicts of interest pursuant to Rule 206(4)-7.

Estimated Completion Time: 20 minutes

Customer Data Protection**Course No. 11193**

This course is intended for retail representatives, institutional representatives, investment advisors, supervisors or any financial service industry professional interested in learning how industry rules apply to the use and supervision of customer data. Under SEC Rule 30 of Regulation S-P, member firms and other financial institutions are required to adopt written policies and procedures that address safeguards for the protection and disposal of customer records and information. Financial professionals need to know and follow firm policies and procedures for customer data protection. Failing to protect nonpublic personal information (NPI) subjects customers to identify theft. This course discusses ways in which client data can be compromised should you fail to recognize and implement security measures in your practice. Making certain to implement firm requirements with an ability to recognize and avert potential vulnerabilities will help ensure proprietary and customer data is not compromised.

Estimated Completion Time: 30 minutes**Financial Exploitation of Specified Adults & Customer Account Information****Course No. 11285**

This course focuses on industry guidelines designed to avoid and mitigate financial exploitation of seniors and other vulnerable adults.

Estimated Completion Time: 20 minutes**FINRA and SEC Examination Priorities for 2020****Course No. 12650**

It's the news we all wait for on pins and needles: FINRA and the SEC's annual examination priorities. While regulators are definitely focusing a majority of their attention on recurring issues, there are a handful of developing risks for firms to pay special attention to this year. In this course, we'll summarize the SEC and FINRA's recently released examination letters, discuss any changes to be expected in 2020 and provide strategies for preparing for an onsite examination

Estimated Completion Time: 20 minutes**Foreign Corrupt Practices Act****Course No. 11045**

This course is intended for advisors, their supervisors, compliance personnel and sales support staff that work with international securities or the trading of international securities. Congress enacted the Foreign Corrupt Practices Act (FCPA) to bring a halt to the bribery of foreign officials and to restore public confidence in the integrity of the American business system. This course will review the background that led to the introduction of the FCPA.

Estimated Completion Time: 25 minutes

Identity Theft Prevention and the Financial Services Industry**Course No. 11216**

This course is intended for anyone working in the financial services industry that may have contact with sensitive customer information. This course is beneficial for all firms, as training is required to comply with the Federal Trade Commission FACT Act Identity Theft Rules. This course examines the primary rules that protect customer information and the role that employees play in identifying identity theft red flags. Finally, the course uncovers the various methods used by hackers to steal customer identities.

Estimated Completion Time: 30 minutes**Information Security: Protecting You, Your Clients and Your Firm for the Investment Advisor****Course No. 10538**

Information Security plays an important role in our lives, both at home and at work. Its primary goal is preserving the confidentiality, integrity and availability of information and information systems. This course will cover the key principles to ensure employees do everything possible to maintain the integrity of confidential information at the firm.

Estimated Completion Time: 10 minutes**Insider Trading****Course No. 11276**

This course is intended for registered representatives, investment advisors, supervisors, sales associates, compliance administrators, new account managers and any financial service professional who is exposed to customers who may be corporate insiders or individuals who may possess material nonpublic information about their companies. This course reviews the background and scope of SEC anti-fraud standards prohibiting insider trading. Individuals will gain a thorough understanding of what is deemed illegal and legal insider trading. They will learn about the penalties imposed when violators are found guilty and who is harmed by illegal insider trading.

Estimated Completion Time: 20 minutes**Investment Advisor Code of Ethics****Course No. 9973**

This course provides an introduction to the basics of the Investment Adviser's Act and is intended for Investment Advisor's, Investment Advisor Representatives, and Certified Financial Planners. Also of interest and beneficial to financial service industry professionals is how the standards may be changing as well as the latest developments in law(s). The objective of this course is to provide an overview of various definitions and regulations to define what is required of a financial services professional who falls under the Investment Adviser Act.

Estimated Completion Time: 28 minutes

Investment Advisor - Fiduciary Responsibilities**Course No. 10643**

As a fiduciary, an investment advisor maintains a special relationship of trust and confidence with clients. Understanding "fiduciary responsibility" is critical because it is at the core of being a good investment adviser. In a very practical sense, if an adviser and the adviser's employees understand the meaning of being a fiduciary and incorporate this understanding into daily business operations and decision-making, clients should be well served. This course will clarify the history, scope, and liability associated with the fiduciary responsibilities of an investment advisor.

Estimated Completion Time: 15 minutes**Online Identity Theft Scams****Course No. 11206**

This course is intended for registered representatives, investment advisors, supervisors or any financial service industry professional interested in learning more about how to prevent online identity theft and what they need to do to ensure that they and their clients are not a victim of this crime. Identity thieves are stealing information from unsuspecting consumers in a number of ways. This course will show individuals how to spot online identity theft scams targeting financial sector customers and how to avoid them.

Estimated Completion Time: 20 minutes**Personal Securities Transactions for Investment Advisors****Course No. 11279**

The SEC adopted certain rules under the Investment Adviser Codes of Ethics regulations. This course was developed to give an understanding of reportable transactions under the rules governing investment advisors.

Estimated Completion Time: 20 minutes**Phishing Awareness - The Human Factor of Security****Course No. 11280**

This course defines the term, "phishing", describes the goals and impacts of a phishing attack, describes phishing techniques and characteristics, and provides examples of phishing. This course also educates individuals on how to prevent phishing attacks.

Estimated Completion Time: 20 minutes

Political Contributions and Pay-to-Play for Investment Advisors**Course No. 10934**

In an effort to prevent and discourage fraudulent, deceptive and manipulative practices, the SEC must continue to adapt regulation to changing market conditions. This course provides an overview of the statues and amendments that have been made over the years to help discourage these types of practices. Additionally, the course provides definitions of related terms, clarifies exceptions to the rules and provides cases studies to help users to better understand the political contributions and pay-to-play rules.

Estimated Completion Time: 30 minutes**Privacy and Confidentiality for Investment Advisors****Course No. 11026**

Investment advisors should be up-to-date on the latest policies and procedures to keep client information private and confidential. This course provides an overview of the three portions of the Gramm-Leach-Bliley Act that apply to investment advisor privacy and confidentiality.

Estimated Completion Time: 30 minutes**Preventing Personal Identity Theft****Course No. 11474**

This course is intended for registered representatives, investment advisers, supervisors or any financial service industry professional interested in learning more about how to prevent personal identity theft and what they need to do to ensure that they and their clients are not a victim of this crime. Unfortunately, phishing is a growing way to steal someone's identity. And it's only one way. Identity thieves can take your personal information from your mailbox or your home. They can steal your wallet or purse or convince you to give out personal information. We all have to be on our guard. This course teaches you how.

Estimated Completion Time: 30 minutes**Regulation Best Interest (Reg BI) and Associated Materials****Course No. 11708**

On June 5, 2019 the SEC approved a package of new rules and interpretations designed to improve transparency for retail investors. Included in this package are Regulation Best Interest (Reg BI), New Form CRS Relationship Summary (Form CRS), the Investment Adviser Interpretation, and a Solely Incidental Interpretation. This course will cover each of these rules in depth along with potential scenarios that one could encounter.

Estimated Completion Time: 30 minutes

SECURE Act of 2019**Course No. 12670**

This course is an in-depth exploration of the provisions of the SECURE Act of 2019; the first major change to the United States tax code regarding retirement plans in over a decade. The Setting Every Community Up for Retirement Savings Act of 2019 has broad implications for financial advisors, banks, credit unions, IRA custodians, tax advisors, estate planners, plan sponsors, plan fiduciaries, employers and employees. All provisions of the Act are covered in this course.

Estimated Completion Time: 25 minutes**Security Best Practices for Remote Workers Amid COVID-19****Course No. 12752**

This course discusses the importance of security when working remotely and highlights some simple techniques that employees can employ to protect themselves while working from home. Additionally, we'll discuss the recent influx of phishing emails that have flooded inboxes since the COVID-19 outbreak and tips to avoid falling victim to a hazardous attack.

Estimated Completion Time: 15 minutes**Senior Safe Act Training****Course No. 11514**

On May 24, 2018, the Senior Safe Act became federal law. This law was enacted to address the growing number of cases of financial exploitation affecting seniors in the financial services industry. This course will provide an in-depth explanation of the Senior Safe Act including signs of diminishing mental capacity and financial exploitation, reporting responsibilities, training obligations, and additional rulings.

Estimated Completion Time: 45 minutes**Understanding the Office of Foreign Assets Control (OFAC)****Course No. 11296**

The Office of Foreign Assets Control (OFAC) is an agency of the United States Department of the Treasury under the authority of the Under Secretary of the Treasury for Terrorism and Financial Intelligence. OFAC administers and enforces economic and trade sanction programs based on U.S. foreign policy and national security goals. This course contains a review of regulatory information. Additionally, individuals will gain a better understanding of the purpose of OFAC, its sanction programs, the SDN list, IATs and penalties for OFAC violations.

Estimated Completion Time: 20 minutes**Whistleblower Rule Compliance****Course No. 11281**

This course provides background of the SEC's Whistleblower Incentive Program, highlights disciplinary and retaliation cases, and provides recommendations for preventing non-compliance with SEC Rule 21F-17.

Estimated Completion Time: 20 minutes