



FIRE SOLUTIONS FIRM ELEMENT CE SUITE OF COURSES ADDRESSING REGULATORY ELEMENT CE (S101 AND S106)

Each quarter and at year end, the CE Counsel produces a Regulatory Element results report which compares firm scores against industry averages. These reports should be incorporated into a firms' annual Firm Element CE Needs Analysis to determine if a low score indicates a training need. Representatives who attend and take their Regulatory Element CE at a proctored site, are tested on the five general categories listed below.

The following is a list of FIRE Solutions courses that cover the topics listed in FINRA's Regulatory Element CE Outline. This list should be used to select Firm Element CE courses that will refresh and update a representatives knowledge of the rules related to the Regulatory Element CE categories.

Although these courses are used for Firm Element credit, there is no Regulatory Element credit given for attending these courses.

COMMUNICATIONS WITH THE PUBLIC

- Communications with the Public
- Electronic Communications
- Sales Practices for Seniors
- Soliciting New Accounts
- FINRA Course – Communications with the Public: An introduction to compliance Issues

SUITABILITY

- 529 College Savings Plans
- Annuity Living Benefit Riders
- Asset Backed Securities – Non-conventional investments
- Deferred Variable Annuities – Rule 2330
- Fee Managed Accounts
- Hedge Funds
- Institutional Sales Rep Responsibilities
- Introduction to Equity Option Strategies
- Investment Advisor Basics
- Margin Suitability
- Mutual Fund Recommendation Analysis
- Mutual Fund Risk and Performance Concepts
- Private Placement Securities
- Sales Practices for Senior Citizens
- Securities Valuation and Analysis
- Structured Products
- Suitability and Supervision
- U.S. Government Bonds
- FINRA Course – Fixed Income Suitability: Retail Sales Practices
- FINRA Course – Penny Stock Sales
- FINRA Course – Suitability Issues: Considerations for Product Exchanges

- FINRA Course – Suitability Issues: An Institutional Focus

HANDLING CUSTOMER ACCOUNTS (INCLUDES PRODUCT KNOWLEDGE FOR S106)

- AML – General
- AML Red Flags – Retail and Operations
- Annuity Living Benefits
- Customer Identification Program
- Deferred Variable Annuities – Rule 2330
- Direct Participation Programs and REIT's – NEW
- Exchange Traded Funds (ETF's) – NEW
- Fair Pricing and Compensation
- Guide to Protection Customer Information
- Identity Theft – The Fact Act
- Investment Advisor Basics
- Market Conduct
- Mutual Fund Basics
- Mutual Fund Classes, Breakpoints & Switches
- Opening New Accounts – NEW
- Privacy Protection Rules
- Roth IRA's
- Trading Equities I: Fundamentals and Systems
- Trading Equities II: Tools and Trading Language
- FINRA Course – AML - Operations: Customer Identification Procedures
- FINRA Course – AML – Operations: Recognizing Red Flags
- FINRA Course – AML – Retail: Recognizing Red Flags
- FINRA Course – AML – Retail: The responsibility to Know Your Customer
- FINRA Course – Debt Mark-Ups
- FINRA Course – Life of an Equity Trade
- FINRA Course – Variable Annuities: Sales Practice Issues for 1035 Exchanges

NEW AND SECONDARY OFFERING AND CORPORATE FINANCE (NOT FOR S106)

- Corporate Debt III: The Underwriting Process
- IPO Allocations
- Information Barriers
- Insider Trading
- Investment Banking: Introduction
- Investment Banking: Registering the Issue
- Investment Banking: The Regulations
- Preventing Illegal Resale of Restricted and Unregistered Stocks
- Private Placement Securities
- Private Placement Underwriting
- Research Reports and the Role of the Analyst
- Rule 144

COMMON TOPICS

- Ethics (General)
- Ethics (Institutional)
- Ethics and Non-Cash Compensation
- Gifts and Entertainment
- Outside Business and Personal Trading Activities
- FINRA Course – Conflicts of Interest