



Firm Element (continued)

Emerging Markets
Equities
Equity Index Annuities
Equity Securities
Fixed Income Securities
Fund Investment Objectives and Risk
Futures – Branch Manager General
Futures – Fund Managed Futures
Futures – Fund Managed Futures General
Hedge Funds
Institutional Anti-Money Laundering
Institutional Ethics
Institutional Proprietary Sales and Training
Institutional Suitability
International Investing
Introduction to TRACE
Investment Advisor
Investment Analysis
Investment Company Securities
Investment Risk and Policy
Investments
Liens, Taxes, and Foreclosures
Limited Futures
Managing Client Capital in Today's Markets
Managing Corporate Records
Managing Electronic Communication
Margin Accounts
Margin and Long Margin Accounts
Market Risk Factors
Market Risk Management – The Four Stages
Market Risks
Mutual Fund Break Points and Share Classes
Mutual Fund Compliance
Mutual Funds
NASD and Back Office Functions
NASD and OTC Markets
NASD Communication Standards
Non-Deposit Investment Sales Program
Non-Exchange Traded REITS
Options Basic
Options Trading
Records – Management and Enforcement
Records Control and Best Practices
Reg D
REITS
Rule 144
Rules of FINRA
Sales Management: Products and Services
Securities Investments: Cash and Cash Equivalents
Securities Investments: Derivatives
Securities Investments: Equity
Securities Investments: Fixed Income
Securities Investments: International Investing
Securities Investments: Investment Companies Suitability
Suitability in Selling Currency and Commodities
The Management of Capital
The OTC Markets
TRACE
Trends in Market Risk Management
Types of Investment Companies
Types of Mutual Fund Investment Companies
UIT
Understanding Different Types of Security Investing
Understanding Securities Training
Understanding the Rules of FINRA

CPE

101 Financial Solutions: Diagnosis and Remedy
A Complete Guide to Investing
A Guide to Tax Resolution: Solving IRS Problems
A Master Guide to Personal Finance
A Practical Guide To Mergers, Acquisitions, and Divestitures
Accountant's Guide to Financial Management
Accounting and Finance for Managers
Accounting and Finance for Non-Financial Managers and Entrepreneurs
Accounting for Earnings per Share
Accounting for Management
An Accountant's Guide to Computers and Information Technology
Analysis and Uses of Financial Statements
Analysis of the Corporate Annual Report
Analyzing Cost Data for Management
Analyzing Financial Statements - Advanced
Applied Operations Management: Manufacturing and Services
Arbitration and Mediation
Asset Basis
Basic Business Essentials: Concepts and Tools
Best Practices and Legal Ramifications of Records Control
Code of Ethics and Practice Standards
Commercial, SBA, Real Estate and Venture Capital Financing Complete guide to investing
Computer Security: Crime and Fraud Protection
Computer Security: Preventing Computer Crimes
Cost Management: Accounting and Control
Economic Analysis for Business and Strategic Decisions
Effective Business Communications
Electronic Commerce: Applications for Cyberspace Technology Ethics for Accountants
Ethics for Real Estate Professionals
Fair Housing
Financial Concepts and Tools for Managers
Financial Essentials for Nonprofit managers
Financial Forecasting: Tools and Applications
Foreclosures
Fundamentals of Mortgage Lending
Guide to Tax Resolution: Solving IRS Problems
How to Organize and Run a Small Business
Information Systems and Technology for Managers and Entrepreneurs
Internal Control and Fraud Detection
Investor Education
Legal Environments of Business
Managing and Improving Your Cash Flow
Managing for Competitive Advantage
Managing the Marketing Process
Master Guide to Personal Finance
Modern Budgeting for Profit Planning and Control
Modern Supervision
More Secrets of the MBA: Tools and Metrics
Principles of Appraisals - Basic
Principles of Banking
Principles of Fraud and Consumer Protection
Real Estate Accounting and Math
Real Estate Financing and Investments
Retailing: Brick-Mortar/Click-Mortar
Revenue Recognition: Rules and Standards
Secrets of the MBA: Concepts and Strategies
Tax Exempt 503 (c)(3) Basics
Techniques of Financial Analysis, Modeling, and Forecasting
The Professional Financial Consultant:
The Sarbanes-Oxley Act and Corporate Governance
Understanding and Managing Organizational Behavior Understanding Economic Components
Understanding Market Risks
Understanding Research Analysts Recommendations Understanding the Appraisers Role
Understanding the Economy
Valuations: Businesses, Securities, and Real Estate

