

# Financial Services Course Listings





## Why 360training?

We provide a comprehensive library of online training courseware in multiple industries. In the financial services industry, 360training.com offers online Firm Element, Securities Pre-licensing, online CFP CE and Prep, CFP Registered Training program, online CPE and Prep, Insurance CE and Pre-licensing, and custom course development.

In addition, we provide an intuitive Learning Management System (LMS) to help you easily manage your corporate and individual online training needs.



## "Do It Yourself" Courses

### *Flexibility and convenience for a seasoned workforce*

360training "Do It Yourself" courses put you in control of your learning experience—what, where, when, and how. Content is provided in PDF format—so you can access the course online or off, whether you're traveling, grabbing a bite to eat, or just kicking back at the end of the day. Expert online assessment tools help you identify areas of weakness and address them to attain mastery. Nothing could be more convenient—or allow you greater flexibility in your training experience.

## Learning Center Courses

### *Support for deeper application and exploration*

360training "Learning Center" courses help take your learning to the next level. These carefully constructed online courses guide you from the rules and facts you need to know to the real-world applications and mission-critical issues you'll encounter in the workplace. Interactive scenarios encourage exploration and consideration of outcomes. Comprehensive assessment tools fine tune and deepen your understanding. A PDF transcript of the course offers the convenience of offline or desktop study. For the full experience, go with a "Learning Center" course.

## Customer Support

It is our goal to meet and exceed the expectations of our customers by providing consistent communication and support for all 360training services in a professional, competent, and timely manner. Our goal is to have people become "learners for life", with us as their trusted content partner.

We recognize that many of our customers are taking required Continuing Education for which there is a deadline for completion and that this can make for high stress situations – that's why we've reduced the issues that drive support calls as well as ensure adequate, 24/7/365 staffing at our contact centers.



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## Firm Element Courses

401(k) **(Updated)**  
 529 Plans  
 Advanced Supervision **(Updated)**  
 Advertising  
 Analyzing Financial Statements- Advanced  
 Annuities  
 Anti-Money Laundering for Financial Professionals **(Updated)**  
 Anti-Money Laundering – General **(Updated)**  
 Anti-Money Laundering-Advanced **(Updated)**  
 Anti-Money Laundering-Supervisory **(Updated)**  
 Arbitration and Mediation  
 Asset Allocation **(Updated)**  
 Best Practices & Legal Ramifications of Records Control  
 Back Office Functions  
 Bank Secrecy Act  
 Blue Sky Laws  
 Brokerage, Mutual Fund and Variable Product Sales Practices **(Updated)**  
 Business Conduct Practices **(Updated)**  
 Business Continuity Planning  
 Business Writing  
 Capital Budgeting Analysis  
 Client Suitability **(Updated)**  
 Code of Ethics for the Investment Advisory Firm **(Updated)**  
 Collateralized Mortgage Obligations (Cmos)  
 Communication with the Public – Supervisor **(Updated)**  
 Communication with the Public for the Registered Rep **(Updated)**  
 Consumer Protection Law  
 Compliance Issues for Investment Bankers **(Updated)**  
 Compliance: Regulation S-P – Supervisory **(Updated)**  
 Compliance: Regulation S-P – General **(Updated)**  
 Corporate Bonds Basic  
 Corporate Finance for Professionals **(Updated)**  
 Corporate Pension Plans  
 Creating Value Through Financial Management  
 Deferred Compensation Plans **(Updated)**  
 Deferred Variable Annuities  
 Dealing With Conflict and Confrontation  
 Dealing With Difficult People  
 Direct Participation Programs **(Updated)**  
 Do-Not-Call and the Securities Industry **(Updated)**  
 Electronic Communications I: Email Policies & Perils **(Updated)**  
 Electronic Communications II: Email Policies in  
 Action and Pertinent Legislation  
 Equities  
 Employment Law  
 Estate Planning Basic

Estate Planning Advanced  
 Ethics for Financial Professionals – Basic **(Updated)**  
 Ethics in Institutional Sales **(Updated)**  
 Evaluating Financial Performance **(Updated)**  
 FACT Act – Basic **(Updated)**  
 FACT Act – Supervisory **(Updated)**  
 Fiduciary Responsibility & Retirement Planning **(Updated)**  
 FINRA & Back Office Functions  
 FINRA Communication Standards  
 FINRA & OTC Markets  
 Futures – Branch Manager General  
 Futures – Fund Managed Futures General  
 Gifts Gratuities and Regulation **(Updated)**  
 Gramm- Leach- Bliley Act **(Updated)**  
 Hedge Funds  
 Insider Trading  
 Institutional Communication and Advertising **(Updated)**  
 Institutional Ethics **(Updated)**  
 Institutional Suitability **(Updated)**  
 Internal Annual Compliance  
 Introduction to Research Analysts – Rule 2711 and Professional  
 Responsibility **(Updated)**  
 Introduction to TRACE  
 Investment Analysis  
 Investment Risk and Policy  
 Investments: ETFs **(Updated)**  
 Investments: International Securities  
 Keogh (HR-10) Plans  
 Life Settlements 101 **(Updated)**  
 Management of Capital  
 Managing Client Capital in Today's Market  
 Managing Corporate Records  
 Managing Electronic Communication  
 Margin Accounts  
 Market Risk Factors  
 Mergers and Acquisitions: Part I  
 Mergers and Acquisitions: Part II  
 Mergers and Acquisitions: Part III  
 Municipal Securities **(Updated)**  
 Mutual Funds for Firm Element- General  
 Mutual Funds - Advanced **(Updated)**  
 Mutual Funds – Basic **(Updated)**  
 Mutual Fund Compliance  
 Mutual Fund Break Points & Share Classes  
 Mutual Fund Investment Objectives and Risk  
 New Business Development  
 Non – Deposit Investment Sales



## Firm Element Courses

Non-Exchange Traded REITs **(Updated)**  
Management of Capital  
Managing Client Capital in Today's Market  
Managing Corporate Records  
Managing Electronic Communication  
Margin Accounts  
Market Risk Factors  
Mergers and Acquisitions: Part I  
Mergers and Acquisitions: Part II  
Mergers and Acquisitions: Part III  
Municipal Securities **(Updated)**  
Mutual Funds for Firm Element- General  
Mutual Funds - Advanced **(Updated)**  
Mutual Funds – Basic **(Updated)**  
Mutual Fund Compliance  
Mutual Fund Break Points & Share Classes  
Mutual Fund Investment Objectives and Risk  
New Business Development  
Non – Deposit Investment Sales  
Non-Exchange Traded REITs **(Updated)**  
Options: Basic  
Outside Business Activities **(Updated)**  
Principals of Banking  
Principles of Fraud and Consumer Protection  
PIPES  
Private Placement Securities – Generals **(Updated)**  
Private Placement Securities s-Advanced **(Updated)**  
Private Placement Securities s-Supervisory **(Updated)**  
Private Placements – Regulation D  
Proactive Supervision **(Updated)**  
Qualified Retirement Plans & IRAs **(Updated)**  
Qualified Requirements Plans & IRA's  
Red Flags for Seniors – Suitability  
Regulation NMS  
Understanding Research Analyst Recommendations **(Updated)**  
Retirement and Financial Planning with  
Variable Annuities **(Updated)**  
Reverse Exchangeable Securities **(Updated)**  
Rule 144  
Sarbanes-Oxley Act  
Securities Investments: Derivatives  
Securities Investments: Equity  
Securities Investments: Investment Companies  
Seniors & Variable Annuities **(Updated)**  
Stress Management – Staying Balanced Under Pressure  
Structured Products **(Updated)**  
Suitability of Variable and Indexed Annuities **(Updated)**

Suitability **(Updated)**  
Supervisory Controls and Procedures **(Updated)**  
The SEC's Books and Records Requirements –  
The Basics **(Updated)**  
Types of Mutual Fund Investment Companies  
Types of Securities  
Understanding 1035 Exchange **(Updated)**  
Understanding 403(b) **(Updated)**  
Understanding Different Types of Security Investments  
Understanding Economic Components  
Understanding Research Analysts' Recommendations **(Updated)**  
Understanding Securities Trading  
Understanding the Regulation of Electronic  
Communication **(Updated)**  
Understanding the Rules of FINRA **(Updated)**  
Unit Investment Trusts (UIT'S)  
Variable Annuities – General **(Updated)**  
Variable Annuities- Advanced **(Updated)**  
Variable Annuities- Supervisory **(Updated)**  
Wills and Trusts **(Updated)**  
What is a Private Security Transaction? **(Updated)**



## Insurance Courses

### Insurance Continuing Education

Access one of the industry's largest web-based libraries of DOI or insurance regulator approved insurance continuing education courses for life or property lines including all state mandated course topics nationwide. 360training.com customers enjoy the flexibility of unlimited CE course access for one low price per licensee. Online insurance CE courses by 360training.com feature interactive multimedia, narration, testing, grading and printable on-demand certificates.

### Property & Casualty CE Courses

- Adjuster Law\*
- Commercial General Liability Insurance
- Flood Insurance (Meets NFIP Standard)
- Homeowners & Dwelling Insurance
- Homeowners Insurance II - Liability
- Inland Marine
- Insurance Adjuster Pre-license
- Introduction to Homeowners Insurance and the Homeowners Policy
- Introduction to Personal Auto Insurance
- Introduction to Property & Casualty
- Mold and the Insurance Industry
- Ocean Marine
- Personal Auto Insurance
- Property & Casualty and the Insurance Contract
- Property Insurance
- The Four Stages of Market Risk Management
- Time Element Coverage
- Title Insurance
- Workers Compensation

### General CE Courses

- Advanced Supervision
- Agency Operations
- Anti-Money Laundering for Insurance Professionals
- Business Continuity Planning
- Business Writing
- Closing with Confidence
- Consumer Protection Law
- Employer Practices
- Employment Law
- Ethics and Fraud
- Ethics for Financial Professionals
- Ethics for Insurance Professionals - Basic
- Ethics for Insurance Professionals - Advanced
- Fraud Awareness
- Gramm Leach Bliley Act
- Insurance Fraud Awareness
- Legal and Moral Issues
- Legal Responsibilities of the Insurance Agent
- Managing Electronic Communication for the Insurance Industry
- Mergers and Acquisitions Part I
- Mergers and Acquisitions Part II
- Mergers and Acquisitions Part III
- Mutual Funds and Ethics

- New Business Development
- New Employee
- Principles of Insurance
- Proactive Supervision
- Prospecting, Selling and Closing
- Sales Professional Success Kit
- Sarbanes-Oxley Act
- Seniors & Variable Annuities
- Sexual Harassment
- Specialized Industry GAAP
- Successful Agency Management
- Telephoning

### Life & Health CE Courses

- 401 (k)
- 529 Plans
- Advanced Mutual Funds (new)
- Annuities\*\* (State Specific, follows NAIC - Suitability and Annuity Transaction Model)
- Creating Value through Financial Management
- Creating Value through Innovation
- Estate Planning – Advanced
- Estate Planning – Basic
- Evaluating Financial Performance
- HIPPA & COBRA Review
- HIPPA for Insurance Professionals
- Keogh (HR-10) Plans
- Life & Health Pre-license
- Life, Health, Disability, and Long Term Care Insurance
- Life Insurance Concepts
- Life Lessons
- Life Settlements
- Long-Term Care Funding Options
- Medicare
- New Trends in Life and Health
- Overview of Life Settlement Industry
- Overview of Life Settlements, Current Events, and Regulatory Update
- Professional Patterns of Management
- Qualified Retirement, Retirement Plans, and IRAs
- Selling to Seniors (CA only)
- Top Ten Uses of Life Insurance
- Variable Annuities
- Wills & Trusts
- Long Term Care Initial
- Long Term Care Renewal

\* We offer Flood Adjuster Law Courses and meet the state requirement

\*\* 360training offers annuity training to meet multiple state requirements. (Please call for more details)



## CFP Courses

### CFP Certification Education Program

CFP Certification Education Program are the required studies for obtaining a CFP certification. 360training.com offers this program and allows you the opportunity to study at your own pace. Our self-paced program gives you online access to all six core courses of the financial planning module for 18 months. Course material, textbooks, required reading assignments, and HP12C Calculator are included in this program.

- Introduction to Financial Planning
- Risk Management
- Investments
- Tax Planning
- Retirement and Employee Benefit Planning
- Estate Planning

### CFP Exam Preparation

Our online CFP review programs are the exam preparation products that help exam candidates better prepare to pass the CFP Certification Examination the first time. Courses are offered through a partnership with Keir Educational Resources, a leading financial services education provider with over 40 years experience in writing study materials. Their exam preparation materials have consistently maintained a high pass ratio for the CFP exam.

### CFP Continuing Education

Once you become a Certified Financial Planner™, you will be required to complete 30 hours of CFP® continuing education every two years. Through our sister Web site, learninsurance.com—the premier resource for online financial services and insurance continuing education—360training.com offers all the approved CFP® CE credits you need at a competitive price.

## CPA Courses

### CPA Exam Review Courses

This package is designed to provide you with ALL FOUR of the subject matter categories for the CPA Exam. Use of these materials is unlimited, and each video course in the CPA Course library is reworked and refilmed every year, to assure that you are always getting the most up to date preparation.

Auditing and Attestation  
Business Environment and Concepts  
Financial Accounting and Reporting  
Regulation

#### Other Exam Preparation Packages include:

- Combo Pack #1 - Audio Lecture Series
- Combo Pack #2 - with CRAM Series
- Combo Pack #3 - with CRAM Series and Audio Lecture Series



## CPA Courses

### CPA Continuing Education

#### Accounting and Auditing

- Accounting and Finance for Non-Financial Managers & Entrepreneurs
- Accounting for Earnings Per Share
- An Accountant's Guide to Financial Management
- Analysis and Uses of Financial Statements
- Cost Management: Accounting and Control
- Financial Forecasting: Tools and Applications
- Fundamentals of Mortgage Lending
- Managing Client Capital in Today's Market
- Revenue Recognition: Rules and Standards
- Real Estate Accounting and Mathematics
- Real Estate Financing and Investments
- Specialized Industries GAAP
- The Management of Capital
- Techniques of Financial Analysis, Modeling and Forecasting

#### Consulting Services

- A Complete Guide to Investing
- A Practical Guide to Mergers, Acquisitions, and Divestitures
- Analyzing Financial Statements Advanced
- Managing and Improving Your Cash Flow
- Asset Allocation
- Asset Management
- Basic Business Essentials: Concepts and Tools
- Capital Budgeting Analysis
- Consumer Protection Law
- Corporate Bonds Basic
- Corporate Finance for Professionals
- Corporate Pension Plans
- Creating Value Through Financial Management
- Creating Value Through Innovation
- Economics & Analysis
- Economic Analysis for Business and Strategic Decisions
- Estate Planning Advanced
- Estate Planning Basic
- Evaluating Financial Performance
- How to Organize and Run a Small Business
- Investment Analysis
- Investment Risk and Policy
- Keogh (HR-10) Plans
- Valuations: Businesses, Securities and Real Estate
- Market Risk Factors
- More Secrets of the MBA: Tools and Metrics
- Qualified Retirement Plans and IRAs
- REITS
- Understanding Economic Components

#### Ethics

- Texas Ethics for Accountants (Meets State Ethics Requirement)

#### Management

- 101 Financial Solutions
- Advanced Supervision
- Analysis of the Corporate Annual Report
- Arbitration and Mediation
- Business Conduct Practices
- Business Continuity Planning
- Employment Law
- Financial Concepts and Tools for Managers
- Financial Essentials for Non-Profit Managers
- Modern Budgeting for Profit Planning and Control
- Gramm Leach Bliley
- Legal Environments of Business
- Managing Corporate Records
- Managing the Marketing Process
- Proactive Supervision
- Sales Management: Products and Services
- Secrets of the MBA: Concepts and Strategies
- Understanding the Economy

#### Professional Development

- Accounting for Management: Concepts and Tools
- Analyzing Cost Data for Management
- Business Writing
- Effective Business Communications
- Information Systems and Technology for Managers and Entrepreneurs
- Modern Supervision
- Retailing: Brick-Mortar/Click-Mortar
- Understanding and Managing Organizational Behavior

#### Specialized Knowledge and Applications

- Applied Operations Management: Manufacturing and Services
- An Accountant's Guide to Computers and Information Technology
- Computer Security: Crime and Fraud Protection
- Electronic Commerce: Applications for Cyberspace Technology
- Mergers and Acquisitions Part I
- Mergers and Acquisitions Part II
- Mergers and Acquisitions Part III

#### Taxation

- 401(k)
- 529 Plans
- A Guide to Tax Resolution: Solving IRS Problems
- The Sarbanes-Oxley Act and Corporate Governance
- Liens, Taxes & Foreclosures
- Wills and Trusts



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