

## 2016-2017 COURSE CATALOG



# HR, Ethics, and Compliance

Banking & Financial Compliance, Corporate Compliance, Ethics & Code of Conduct, HR Compliance, Information Security Awareness & Privacy, and Workplace Violence Prevention Programs



**360training.com**<sup>®</sup>

CONTENT :: COMPLIANCE :: TECHNOLOGY

## About 360training.com

360training.com is a privately-held, leading provider of online and classroom delivered training; learning and content management software; and enterprise compliance and risk management solutions. Since 1997, our course libraries have grown to include more than 15 verticals and 6,000 individual titles.

Over 3,000,000 learners have chosen 360training.com to satisfy their training needs. Most popular courses include Conflicts of Interest, AB 1825: Sexual Harassment Prevention for Managers, Understanding Sexual Harassment, Federal Acquisition Regulation: Procurement Integrity (Compliance Snapshot), Information Security and Privacy: Information Security (Compliance Spot), Maintaining A Drug-Free Workplace, and Insider Trading.



## Company History

Established in Austin, TX in 1997, 360training.com has grown steadily to become a market leader in the delivery of online training, corporate compliance solutions, and risk management software. Originally conceived to serve the real estate licensing market, the founders quickly realized the potential in expanding to include other preclicensing programs in industries such as insurance and financial services.

The company initially started out with a pure VAR model, letting others sell their content, but capitalized on the rapid shift of training to an online delivery mode. Early success with training courses in OSHA safety, trades & technical, and cosmetology solidified 360training.com's position in as a major player in the online education market.

One of the company's founders, Ed Sattar, remains the CEO and has twice been nominated for the Ernst & Young Entrepreneur of the Year award. 360training.com also has appeared on the Deloitte Fast 50 as the 6th fastest growing company in Texas.

## Key Industries

With courses and training solutions for consumers, corporate, and governmental entities, 360training.com serves a wide range of industries, including:

- Career Training
- Cosmetology
- Environment, Health & Safety
- Ethics & Compliance
- Financial Services
- Food & Beverage
- Healthcare
- Industrial Trades
- Insurance
- Information Technology
- Oil & Gas
- Power & Utilities
- Quality Management
- Real Estate

## Future

In the coming years, 360training.com plans to continue to serve our customers with an emphasis on expanding corporate compliance offerings, including a regulatory knowledgebase and risk assessment toolkit.





## **BANKING & FINANCIAL COMPLIANCE**

Anti-Money Laundering & Financial Crime.....	1
Finance & Accounting.....	1
FINRA Compliance.....	2-3
Insider Trading.....	3

## **CORPORATE COMPLIANCE**

Anti-Trust.....	3-4
Anti-Theft & Bribery.....	4
Conflicts of Interest.....	5
FAR Compliance.....	5
FCPA Compliance.....	6
Import & Export Compliance.....	6

## **ETHICS & CODE OF CONDUCT**

Business Ethics.....	7
Code of Conduct.....	7
Ethics for Various Professionals.....	8
Government Contracting.....	8

## **HR COMPLIANCE**

Diversity & Inclusion.....	9
Employment Health & Safety.....	9-10
Employment Law Compliance.....	10
Harassment & Discrimination Prevention.....	11

## **INFORMATION SECURITY AWARENESS & PRIVACY**

Privacy & Data Protection.....	12
--------------------------------	----

## **WORKPLACE VIOLENCE PREVENTION**

Active Aggressor.....	12
-----------------------	----



## BANKING & FINANCIAL COMPLIANCE

### Anti-Money Laundering & Financial Crime

These courses provide critical knowledge on how criminals—drug traffickers, terrorists, syndicates, insider dealers, tax evaders, etc.—hide the proceeds of their activities through money laundering. This complicated process aims to place their ill-gotten profits beyond the reach of asset forfeiture laws. The Anti-Money Laundering and Financial Crime courses are part of the compliance education curriculum of many financial institutions tasked with policing their transactions and reporting suspicious activities to authorities.

Hours	Course Title	Online	Compliance Snapshot	Compliance Spot	Comprehensive Course	Interactive
2	Anti-Money Laundering - General	■			■	
2	Anti-Money Laundering: Institutional Issues	■			■	■

### Finance & Accounting

Accurate financial reporting is a key responsibility of every company. The courses under this category highlight the significant role of internal controls in safeguarding organizations from inaccurate or fraudulent financial reporting.

Hours	Course Title	Online	Compliance Snapshot	Compliance Spot	Comprehensive Course	Interactive
2	Compliance Issues for Investment Bankers	■			■	■
1	Financial Reporting	■			■	
0.5	Financial Reporting: Accuracy in Financial Reporting	■	■			
0.5	Financial Reporting: Internal Controls over Financial Reporting	■	■			
0.5	Financial Reporting: Reliability in Financial Reporting	■	■			
0.5	Financial Reporting: Whistleblowing	■	■			
1	Internal Control and Fraud Detection	■			■	
1	Investment Risk and Policy	■			■	
1	Revenue Recognition: Rules and Standards	■			■	
1	Specialized Industries GAAP	■			■	
1	The Sarbanes-Oxley Act	■			■	
0.5	The Sarbanes-Oxley Act: An Auditor's Viewpoint	■	■			
0.5	The Sarbanes-Oxley Act: An Overview	■	■			
0.5	The Sarbanes-Oxley Act: Impact on the Financial Industry	■	■			
0.5	The Sarbanes-Oxley Act: The Executive Viewpoint	■	■			
0.5*	The Sarbanes-Oxley Act: The Executive Viewpoint	■		■		

\*Less than 0.5 Hours



## BANKING &amp; FINANCIAL COMPLIANCE

## FINRA Compliance

The Financial Industry Regulatory Authority (FINRA) is the largest independent securities regulator in the US. FINRA's compliance courses are designed to promote transparency and accountability in the industry and its practitioners.

360training.com's FINRA compliance courses cover back office functions, communication standards, supervisory controls and provisions, understanding FINRA rules, compliance issues for investment bankers, business activities, and many others.

Hours	Course Title	Online	Compliance Snapshot	Compliance Spot	Comprehensive Course	Interactive
2	Advanced Supervision	■			■	■
2	Advertising - Financial Professionals	■			■	■
2	Brokerage, Mutual Fund, and Variable Product Sales Practices	■			■	■
2	Communication with the Public - Supervisory Level	■			■	■
1	Communication with the Public for the Registered Rep	■			■	■
2	Compliance Issues for Investment Bankers	■			■	■
2	Coping with SEC Rule 151A	■			■	
2	Do Not Call & the Securities Industry	■			■	
2	FINRA and Back Office Functions	■			■	■
2	FINRA Communication Standards	■			■	
1	Gifts, Gratuities, and Regulation	■			■	■
2	Institutional Communication and Advertising	■			■	
2	Introduction to Research Analysts: Rule 2711 and Professional Responsibility	■			■	■
2	Municipal Securities: Sales Practices and Supervisory Requirements	■			■	■
2	Options Communications Rules	■			■	■
1	Outside Business Activities	■			■	■
2	Outside Business Activities: Regulation and Supervision	■			■	■
2	Private Placement Securities - Advanced	■			■	
2	Protecting Senior Investors	■			■	■
2	Red Flags for Seniors	■			■	■
2	Social Media in a Business Environment	■			■	■
2	Supervisory Controls and Procedures under NASD Rules 3010, 3012, and FINRA Rule 3130	■			■	■
2	The Dodd-Frank Wall Street Reform and Consumer Protection Act	■			■	■
2	The SEC's Books and Records Requirements - The Basics	■			■	

\*Less than 0.5 Hours



## BANKING & FINANCIAL COMPLIANCE

### FINRA Compliance (cont.)

Hours	Course Title	Online	Compliance Snapshot	Compliance Spot	Comprehensive Course	Interactive
2	Understanding the Regulation of Electronic Communication	■			■	■
2	Understanding the Rules of FINRA	■			■	■
2	Unit Investment Trusts	■			■	■
2	Variable Annuities – General	■			■	■
2	Variable Annuities for Supervisors	■			■	■
2	Variable Annuities: Advanced	■			■	■
2	Vulnerable Clients: Identity Theft and Financial Exploitation	■			■	■
2	Wrap Fee Accounts	■			■	■

### Insider Trading

These courses examine insider trading, define the role of the insider, explain the negative effects of this practice, and outline the steps to prevent and address this kind of activity. A comprehensive discussion of the SEC laws for insider trading compliance is also included in this course group.

Hours	Course Title	Online	Compliance Snapshot	Compliance Spot	Comprehensive Course	Interactive
1	Preventing Insider Trading	■			■	
0.5	Preventing Insider Trading: Introduction to Insider Trading	■	■			
0.5	Preventing Insider Trading: Laws, Compliance, Penalties	■	■			

## CORPORATE COMPLIANCE

### Anti-Trust

The main objective of anti-trust laws is to maintain a fair and healthy competitive market. Our courses tackle the different acts that shaped these laws, and discuss various anti-trust violations—bid rigging, price fixing, per se violations, etc.—including their corresponding penalties. Beyond these lessons, professionals and companies need to understand which kinds of conversations with competitors are allowable and unacceptable.

Hours	Course Title	Online	Compliance Snapshot	Compliance Spot	Comprehensive Course	Interactive
1	Anti-Trust	■			■	
0.5	Anti-Trust: Bid-Rigging	■	■			

\*Less than 0.5 Hours



## CORPORATE COMPLIANCE

## Anti-Trust (cont.)

Hours	Course Title	Online	Compliance Snapshot	Compliance Spot	Comprehensive Course	Interactive
0.5	Anti-Trust: Competitive Intelligence	■	■			
0.5	Anti-Trust: Dealing with Anti-Trust Violations	■	■			
0.5	Anti-Trust: Dealing with Customers and Competitors Fairly	■	■			
0.5*	Anti-Trust: Dealing with Customers and Competitors Fairly	■		■		
0.5	Anti-Trust: Overview of Anti-Trust Issues	■	■			
0.5	Anti-Trust: Price-Fixing	■	■			

## Anti-Theft &amp; Bribery

These courses tackle theft and bribery issues in the workplace. Topics discussed in this section include accuracy in financial reporting, the conditions for creating an honest and theft-free workplace, intellectual property, preventing and addressing the misuse of company resources, preventing and addressing the abuse of travel expenses, truth in negotiations with customers, definition of bribery, and bribery provisions in various legislations.

Hours	Course Title	Online	Compliance Snapshot	Compliance Spot	Comprehensive Course	Interactive
1	Creating an Honest and Theft-Free Workplace	■			■	
0.5	Creating an Honest and Theft-Free Workplace: Accuracy in Reporting Financial Information	■	■			
0.5	Creating an Honest and Theft-Free Workplace: Competitive Intelligence and the Protection of Intellectual Property	■	■			
0.5	Creating an Honest and Theft-Free Workplace: Identity Theft	■	■			
0.5	Creating an Honest and Theft-Free Workplace: Misuse of Company Resources	■	■			
0.5*	Creating an Honest and Theft-Free Workplace: Misuse of Company Resources	■		■		
0.5	Creating an Honest and Theft-Free Workplace: Travel and Expense Abuse	■	■			
0.5	Creating an Honest and Theft-Free Workplace: Truth in Negotiations with Customers	■	■			
1	Global Anti-Bribery Compliance	■			■	

\*Less than 0.5 Hours



## CORPORATE COMPLIANCE

### Conflicts of Interest

Conflicts of interest in the course of practicing one's profession can occur in many ways. These courses provide a comprehensive discussion of conflicts of interest in the workplace—including ethical gifts vs. bribe, the hiring of friends or family members, moonlighting, legal vs. illegal kickbacks, and transaction security.

Hours	Course Title	Online	Compliance Snapshot	Compliance Spot	Comprehensive Course	Interactive
1	Conflicts of Interest	■			■	
0.5	Conflicts of Interest: Gifts and Entertainment	■	■			
0.5	Conflicts of Interest: Hiring Family and Friends	■	■			
0.5	Conflicts of Interest: Kickbacks	■	■			
0.5	Conflicts of Interest: Moonlighting	■	■			
0.5*	Conflicts of Interest: Moonlighting	■		■		
0.5	Conflicts of Interest: Secure Transactions	■	■			

### FAR Compliance

This course explores a wide range of issues related to Federal Acquisition Regulation (FAR) compliance: the possible violations of FAR and sanctions thereof, the Truth in Negotiations Act (TINA), the criteria for compliance to TINA, how cost or pricing affects TINA, responsibilities of contracting officers, problems faced by contractors and how these can be resolved, the Procurement Integrity Act (FAR subpart 3.104), the responsibilities of agencies and bidders, the types of source selection information (SSI), and the types of information that should not be obtained or disclosed.

Hours	Course Title	Online	Compliance Snapshot	Compliance Spot	Comprehensive Course	Interactive
1	Federal Acquisition Regulation (FAR)	■			■	
0.5	Federal Acquisition Regulation: An Overview	■	■			
0.5	Federal Acquisition Regulation: Organizational and Consultant Conflicts of Interest	■	■			
0.5	Federal Acquisition Regulation: Procurement Integrity	■	■			
0.5	Federal Acquisition Regulation: Truth in Negotiations Act (TINA)	■	■			

\*Less than 0.5 Hours





## CORPORATE COMPLIANCE

**FCPA Compliance**

This category defines the boundaries between transparent operations and corrupt practices when dealing with foreign officials—as delineated in the Foreign Corrupt Practices Act (FCPA). Courses provide an overview of bribery, compliance, due diligence, oversight, internal controls, and transparent accounting. Lessons highlight the importance of having accounting policies that are consistently applied. Information about routine governmental actions and “red flags” that signal the need for further scrutiny are also discussed.

Hours	Course Title	Online	Compliance Snapshot	Compliance Spot	Comprehensive Course	Interactive
1	Foreign Corrupt Practices Act	■			■	
0.5	Foreign Corrupt Practices Act: Anti-Bribery	■	■			
0.5*	Foreign Corrupt Practices Act: Compliance, Due Diligence, and Oversight	■		■		
0.5	Foreign Corrupt Practices Act: Compliance, Due Diligence, and Oversight	■	■			
1	Foreign Corrupt Practices Act: Facilitating Payments	■			■	
0.5	Foreign Corrupt Practices Act: Keeping Accurate Books and Records	■	■			
0.5*	Foreign Corrupt Practices Act: Red Flags	■		■		
0.5	Foreign Corrupt Practices Act: Who is a Government Official?	■	■			

**Import & Export Compliance**

For many companies, the importation and exportation of goods provide huge opportunities for profit and expansion—but are covered by various government regulations. These courses provide better understanding of import and export controls, why these are so important, restricted items, factors affecting controls, different government agencies that manage export licensing transaction, violations of regulations and sanctions, the Licensing Review Process, deciding if you need a commercial export license, and the five steps of clearance.

Hours	Course Title	Online	Compliance Snapshot	Compliance Spot	Comprehensive Course	Interactive
1	Import and Export Controls	■			■	
0.5	Import and Export Controls: An Overview of Export Controls	■	■			
0.5	Import and Export Controls: An Overview of Import Controls	■	■			
0.5	Import and Export Controls: Commercial Exports	■	■			
0.5*	Import and Export Controls: Commercial Exports	■		■		
0.5	Import and Export Controls: Defense Exports	■	■			

\*Less than 0.5 Hours



## ETHICS & CODE OF CONDUCT

### Business Ethics

These courses provide an overview of workplace ethics and promote the development of an ethical culture. Highlights include the “open door policy” to encourage exposure of unethical behavior, development of programs to deal with inappropriate behavior, and relevant issues such as bullying, a multigenerational workforce, and gender problems.

Hours	Course Title	Online	Compliance Snapshot	Compliance Spot	Comprehensive Course	Interactive
1	Business Ethics - Advanced	■			■	
1	Business Ethics - Advanced (Original)	■			■	
0.5	Business Ethics - Advanced: Bullying	■	■			
0.5	Business Ethics - Advanced: Ethical Leadership	■	■			
0.5*	Business Ethics - Advanced: Handling Employee Concerns	■		■		
0.5	Business Ethics - Advanced: Managers Appropriately Handling Employee Concerns	■	■			
0.5	Business Ethics - Advanced: Managing a Multigenerational Workforce	■	■			
1	Business Ethics - Advanced: Millionaire Game	■				■
1	Business Ethics - Introductory	■			■	
1	Business Ethics - Introductory: Bullying	■	■			
0.5	Business Ethics - Introductory: Speaking Up	■	■			
0.5	Business Ethics Advanced: Open Door Policies	■	■			

### Code of Conduct

Employees need to know the possible conflicts of interest that their job roles present—and the appropriate steps they need to take in these eventualities. Our courses discuss conflicts of interest with regard to hiring family members and friends, receiving gifts and entertainment, as well as sexual harassment and possible violations of the Foreign Corrupt Practices Act.

Hours	Course Title	Online	Compliance Snapshot	Compliance Spot	Comprehensive Course	Interactive
1	Business Conduct Practices	■			■	
1	Configurable Code of Conduct	■			■	
1	Ethics and Business Conduct	■			■	

\*Less than 0.5 Hours



## ETHICS & CODE OF CONDUCT

### Ethics for Various Professionals

Beyond a general ethical framework, this course goes into how ethical guidelines are applied on the ground level—in different industries and professions.

Hours	Course Title	Online	Compliance Snapshot	Compliance Spot	Comprehensive Course	Interactive
6	Code of Ethics	■			■	
2	Code of Ethics for the Investment Advisory Firm	■			■	■
3	Community Ethics	■			■	
2	Ethics and Research Analysts	■			■	■
2	Ethics for Financial Professionals	■			■	■
1	Ethics for Insurance Professionals Advanced	■			■	
2	Ethics in Institutional Sales	■			■	■
4	Ethics of Sustainability	■			■	
2	Institutional Ethics: Surveying the Regulatory Landscape	■			■	■

### Government Contracting

These courses discuss government contracting and the necessary application of Federal Acquisition Regulation (FAR) and Truth in Negotiations Act (TINA) provisions. Our modules include the responsibilities of the contracting officer as well as common problems encountered by the contractor. Unavoidably, conflicts may arise between contracting parties and this is addressed in one section of the course. Penalties for violation of relevant sections of the FAR are also discussed.

Hours	Course Title	Online	Compliance Snapshot	Compliance Spot	Comprehensive Course	Interactive
1	Ethics and Business Conduct for Government Contractors	■			■	
1	Ethics and Business Conduct for Government Contractors (Refresher Version)	■			■	
1	Federal Acquisition Regulation (FAR)	■			■	
0.5	Federal Acquisition Regulation: An Overview	■	■			
0.5	Federal Acquisition Regulation: Organizational and Consultant Conflicts of Interest	■	■			
0.5	Federal Acquisition Regulation: Procurement Integrity	■	■			
0.5	Federal Acquisition Regulation: Truth in Negotiations Act (TINA)	■	■			

\*Less than 0.5 Hours



## HR COMPLIANCE

### Diversity & Inclusion

Diversity promotes a richer workplace. Building a culture of openness and inclusion starts with managers. These courses lay down the foundation for a culture of acceptance in diversity—including hiring, disability, and gender.

Hours	Course Title	Online	Compliance Snapshot	Compliance Spot	Comprehensive Course	Interactive
1	Valuing Diversity	■			■	
1	Valuing Diversity (Canadian Version)	■			■	

### Employment Health & Safety

These courses provide a comprehensive overview of health and safety. Modules include prevention of injury, healthcare, safe working conditions, environmental management, ergonomics, control of hazardous energy, incident command in emergency situations, and accident investigation.

Hours	Course Title	Online	Compliance Snapshot	Compliance Spot	Comprehensive Course	Interactive
1	Back Injury Prevention	■			■	
1	BBP for Healthcare	■			■	
1	Chemical Safety (HAZCOM)	■			■	
1	Confined Spaces	■			■	
1	Environmental Management Systems	■			■	
1	ErgoNet: A Personal Assessment	■			■	
1	Ergonet: A Training Guide for Healthy Office Work	■			■	
1	ESH@Work	■			■	
1	Fire Extinguisher Safety	■			■	
1	Hazardous Energy Control	■			■	
1	Introduction to Accident Investigation	■			■	
1	Introduction to Laser Safety	■			■	
1	Laboratory Safety	■			■	
1	New Employee Training for School and College Districts	■			■	
1	Personal Protective Equipment: Eye & Face Protection	■			■	
1	Personal Protective Equipment: Foot Protection	■			■	
1	Personal Protective Equipment: General Overview	■			■	
1	Personal Protective Equipment: Hand & Arm Protection	■			■	

\*Less than 0.5 Hours



## HR COMPLIANCE

### Employment Health & Safety (cont.)

Hours	Course Title	Online	Compliance Snapshot	Compliance Spot	Comprehensive Course	Interactive
1	Personal Protective Equipment: Head Protection	■			■	
1	Powered Industrial Truck Safety	■			■	
1	Preventing Workplace Violence	■			■	
1	Radioisotope Safety	■			■	
1	Respiratory Protection	■			■	
1	Workplace Violence Prevention	■			■	

### Employment Law Compliance

These courses are designed to provide an understanding of various legislations that apply to the workplace—including sexual harassment, Americans with disabilities, wrongful termination, California AB1825, employee privacy, drugs in the workplace, workplace harassment, the Family Medical Leave Act, diversity, and others.

Hours	Course Title	Online	Compliance Snapshot	Compliance Spot	Comprehensive Course	Interactive
1	Arbitration and Mediation	■			■	
1	Drug & Alcohol Abuse in the Workplace	■			■	
1	Employee Privacy	■			■	
1	Maintaining A Drug-Free Workplace	■			■	
1	Preventing Unlawful Workplace Harassment for Managers	■			■	
1	Privacy Laws and Practices	■			■	
1	Understanding Unlawful Workplace Harassment	■			■	
1	Valuing Diversity for Managers	■			■	
1	Valuing Diversity for Managers (Canadian Version)	■			■	

\*Less than 0.5 Hours

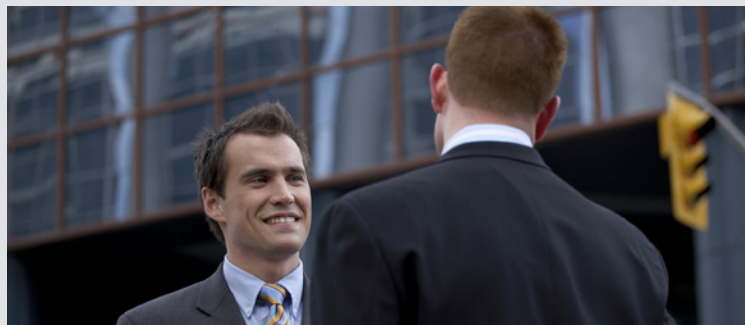


## HR COMPLIANCE

### Harassment & Discrimination Prevention

Sometimes, the failure to create a culture of openness to diversity leads to discrimination. These courses show the consequences of not being able to put such a culture in place. Topics include harassment, hostile work environment, and illegal hiring policies.

Hours	Course Title	Online	Compliance Snapshot	Compliance Spot	Comprehensive Course	Interactive
2	AB 1825: Sexual Harassment Prevention for Managers (Spanish Version)	■			■	
2	California AB 1825 and AB 2053	■			■	
1	Creating a Bully-Free Workplace: Employee Edition	■			■	
1	Creating a Bully-Free Workplace: Manager Edition	■			■	
1	Harassment and Discrimination for Employees	■			■	
0.5	Harassment and Discrimination: ADA	■	■			
0.5	Harassment and Discrimination: CA AB 1825	■	■			
0.5	Harassment and Discrimination: Discrimination	■	■			
0.5	Harassment and Discrimination: Harassment (Managers)	■	■			
0.5*	Harassment and Discrimination: Hostile Work Environment	■		■		
0.5	Harassment and Discrimination: Quid Pro Quo	■	■			
0.5	Harassment and Discrimination: Sexual Harassment	■	■			
1	Preventing Employment Discrimination for Managers and Supervisors	■			■	
1	Preventing Sexual Harassment	■			■	
1	Sexual Harassment and Workplace Discrimination: Dangerous Passage Game	■				■
0.5	The No Fear Act Training	■			■	
1	Understanding Sexual Harassment (Spanish Version)	■			■	
1	Unlawful Harassment Prevention for Colleges: Employee Version	■			■	



## INFORMATION SECURITY AWARENESS & PRIVACY

### Privacy & Data Protection

In the borderless information age, privacy and data protection are of paramount concern to individuals and organizations. These courses discuss the role of electronic communication, and the need to secure these media at the infrastructure and employee level.

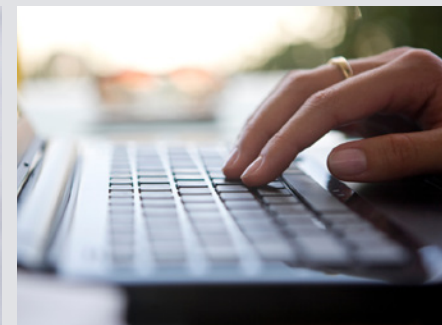
Hours	Course Title	Online	Compliance Snapshot	Compliance Spot	Comprehensive Course	Interactive
1	Electronic Communication in the Workplace	■			■	
1	Information Security and Privacy Fundamentals	■			■	
0.25	Information Security and Privacy: Information Security	■		■		

## WORKPLACE VIOLENCE PREVENTION

### Active Aggressor

The modern workplace is vulnerable to acts of aggression. This training curriculum is designed to help workers and professionals recognize, address, and prevent occupational violence.

Hours	Course Title	Online	Compliance Snapshot	Compliance Spot	Comprehensive Course	Interactive
1	Active Shooter - Workplace Violence	■			■	



*\*Less than 0.5 Hours*

**HR, ETHICS, AND COMPLIANCE**

# 2016-2017 Course Catalog

CONTENT :: COMPLIANCE :: TECHNOLOGY



**360training.com**<sup>®</sup>

13801 Burnet Rd., Suite 100  
Austin, TX 78727

888-360-TRNG (8764)

[www.360training.com](http://www.360training.com)