

Continuing Education Transcript

May not contain all training modules & will not contain insurance or mortgage training

1. Annual Compliance Reminders for Registered Representatives Volume 1
2. Anti-Money Laundering Primer
3. Communications with the Public – Compliance issues for Independent Registered Representatives
4. State Required Annuity Training: prerequisite
5. NAIC (National Association of Insurance Commissioners) Suitability in Annuity Transactions
6. Certification of Annuity Product Training
7. State Required Annuity Training: Variable Annuity Training
8. State-Required Annuity Training: Annuity Training
9. Core Series Product & Rider Training
10. State-Required Annuity Training: Fixed Annuity Training
11. Core Fixed Annuity Training
12. Fixed Annuity Training (Effective February 27, 2012, the Fixed
13. Annuity Training course replaces Core Fixed Annuity Training)
14. State-Required Annuity Training: Fixed Income Annuity Training
15. Core Longevity Income Guarantee (LIG) Training
16. Core Single Premium Immediate Annuity (SPIA) Training
17. Anti-Money Laundering for Insurance Producers (Base Course)
18. Stages of Money Laundering - Anti-Money Laundering for
19. Insurance Review
20. Field Underwriting Training
21. Privacy and Information Security
22. New Disclosures for Retirement Plans
23. Social Media and Doing Business Online
24. 2012 Regulatory Update
25. 2012 Field Annual Compliance Meeting
26. Willful Blindness: Anti-Money Laundering for Insurance Review (Refresher Course)
27. Ethical Business Practices
28. Working with Older Adults
29. Compliance Scenarios
30. 2011 Economic Climate and Compliance Resources
31. Protecting Your Clients and Your Business
32. Challenging Economic Times
33. Strategic Value Annuity Training
34. Managing Potential Conflicts of Interest
35. Product Compliance: Helping Clients Weigh Risks and Rewards
36. 2010 Regulatory Update
37. Communicating on the Internet
38. Understanding 529 Plans
39. Required Advisory Training : Wealth Management Services Fund Select/Fund Select Premier
40. Wealth Management Services: Fund Select and Fund Select Premier - Required Advisory Training
41. Variable Annuity Core Series Product & Rider Training
42. NAIC Suitability in annuity Training
43. Certification of Annuity Training
44. Social Media and Doing Business Online
45. Regulatory Update
46. Willful Blindness: antimoney laundering for insurance review
47. Ethical business practices
48. Working with older adults
49. Economic climate and compliance resources
50. Protecting your clients and your business
51. Challenging economic times

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52. **Managing potential conflicts of interest**
53. **Product compliance: helping client weigh risks and rewards**
54. **Communicating over the internet**
55. **Regulatory update**
56. **Anti money laundering for insurance producers (base course)**
57. **Stages of money laundering for insurance review**
58. **Field underwriting training**
59. **Privacy and information security**
60. **New Disclosure requirements for retirement plans**
61. **Fixed annuity training**
62. **Core Longevity Income Guarantee Training**
63. **Core Single Premium Immediate Annuity Training (SPIA)**
64. **Anti-Money Laundering**
65. **Senior Investor issues Financial Exploitation**
66. **Communications/ Correspondence: what retail staff need to know**
67. **Ethical Considerations Annual compliance reminders for retail registered representatives Vol. 7**
68. **Municipal Bonds and complex products Part 1**
69. **Variable Annuities Suitability determinations for exchanges**
70. **Investment Advisory Hot Topics**
71. **AdviceWorks Overview**
72. **KnowBe4 Security Awareness Training**
73. **Correspondence, Complaints & Regulatory Inquiries**
74. **Annual Compliance Meeting**
75. **100 Points of Marketing**
76. **Medical IRA**
77. **Unexpected Prohibited Transactions for Advisory Services to Plans & IRA's**
78. **Step 4 of the Fiduciary Process: Monitoring the client engagement**
79. **Winning on paper- losing in the finals**
80. **The elephant in the room: your roles in financial wellness**
81. **The role of behavioral finance in building advisor//client trust**