



Exchange Analytics

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***Regulatory Compliance
Solutions***

We've Expanded Our Course Offerings!



ANTI-MONEY LAUNDERING FOR FINANCIAL SERVICES | 40-50 MIN | \$30

This course is required on an annual basis for individuals at NFA registered firms who are involved in account management and the flow of funds. It is also required on an annual basis for similarly situated individuals at FINRA registered Investment Advisors.

ANTI-MONEY LAUNDERING FOR RMLOS | 30-40 MIN | \$30

Under the Bank Secrecy Act, the U.S. Treasury Department has imposed specific AML protocols on Residential Mortgage Loan Originators (RMLOs), including implementing a compliance program that includes employee training on money laundering and fraud. The training should be offered annually.

CFTC CUSTOMER PROTECTION RULE - STANDARD VERSION | 50-60 MIN | \$60

This course is required to be taken annually for individuals involved in handling customer funds at NFA registered Futures Commission Merchants (FCMs). This course covers procedures for reporting suspected policy breaches and the consequences of failing to comply with segregation requirements.

CFTC CUSTOMER PROTECTION RULE - TEST THROUGH VERSION | 20-30 MIN | \$75

This is an optimized learning program that reduces the course duration by 50% or more. The course begins with a 15-question graded assessment quiz. Users that score 80% or better 'test through' the substantive course content and are automatically directed to a focused section covering regulatory updates and reminders of core concepts. (Those who do not score 80% or better are directed to the full standard course.) Test Through course should NOT be offered to individuals who are new to their role.

CYBERSECURITY | 50-60 MIN | \$40

Our traditional Cybersecurity course is now completely revamped to suit virtually any industry, including the RMLO market. Annual training is required for all NFA registered firms and is highly recommended as an annual course for ALL firms given the increasing threat of cyberattacks. The course version for Financial Services firms includes a section tailored to industry-specific requirements in the U.S.

Serving Over 75% of U.S. FCMs, Two-Thirds of all G-SIBs and Clients in Over 40 Countries.



FUTURES ETHICS (INITIAL) | 90-120 MIN | \$75

This is a very comprehensive course covering the CFTC's Statement of Acceptable Principles for ethics training. It is intended for new NFA registrants or those individuals who have never taken a futures industry ethics training course.

FUTURES ETHICS (PERIODIC) | 50-60 MIN | \$45

This is a 'refresher' version of our Initial Futures Ethics course; it is typically taken every 3 years following completion of the Initial course. This course meets the criteria for ongoing training for firms and APs to meet their regulatory obligations to reinforce professional conduct. Both Ethics courses provide General Continuing Education credit for CFP professionals and CE credits toward the CIMA and CPWA certifications from the Investments & Wealth Institute.

IDENTITY THEFT PREVENTION PROGRAM | 35-45 MIN | \$35

This course provides a deep dive into cybersecurity risk identification, risk management, and threat response. Course highlights include protecting customer information, phishing, concerns after account opening, and internal responses to red flags.

INTRODUCTION TO ASSET MANAGEMENT | 20-25 MIN | \$15

This course provides a basic introduction to asset management by familiarizing the student with basic terms and concepts applied in the business. This course is recommended annually for broker-dealers and associated persons involved in retail sales, including registered representatives, sales assistants, customer service staff members, other staff members that communicate with customers, and individuals that are involved with developing new products and services at the firm.

INTRODUCTION TO ENVIRONMENTAL, SOCIAL, AND GOVERNANCE (ESG) | 30-40 MIN

Firms across the globe are being impacted by trends related to global warming, demographics, and technological innovation. Sustainability and ESG concerns are now components in how firms do business. This course introduces basic ESG principles and provides considerations for implementing ESG standards in an organization.

Compliance Solutions *Effortlessly*

INTRODUCTION TO SWAP DEALER REQUIREMENTS | 65-75 MIN | \$75

This is a comprehensive course designed for those individuals at CFTC registered Swap Dealers who are new to the industry. It includes discussions of the numerous requirements imposed on Swap Dealers while also providing coverage of the CFTC's Statement of Acceptable Principles for ethics training.

FINRA FIRM ELEMENT CONTINUING EDUCATION AND ANNUAL COMPLIANCE MEETING | TIMING VARIES (AVAILABLE NOV-DEC 2021)

This course is designed to satisfy FINRA registered firms' requirement to provide Firm Element Continuing Education and Annual Compliance Meeting requirements. It is offered in a semi-customizable format that allows you to choose from a comprehensive selection of topics in order to tailor the course to your firm's specific needs. It also allows you to add a limited amount of firm-specific content.

MARKET CONDUCT TRAINING | 50-60 MIN | \$35

This course focuses on U.S. exchange trade prohibited and disruptive practices and requirements (i.e., wash trades, spoofing, anticompetitive conduct, pre-arranged trades, etc.).

NONCOMPETITIVE TRADING TRAINING (U.S. VERSION) | 40-50 MIN | \$40

This newly revised course focuses on U.S. futures exchanges' and CFTC requirements for executing certain permissible noncompetitive transactions such as block trades and EFRPs. It is recommended to be taken every 2-3 years by individuals, managers, and trade support personnel at firms active in the U.S. futures and swaps markets.

NONCOMPETITIVE TRADING TRAINING (GLOBAL VERSION) | 60-70 MIN | \$55

For the first time, we are offering a version of our traditional Noncompetitive Trading course that covers major derivatives exchanges across the globe. In particular, this course builds on the topics covered in the U.S. course version while also providing coverage of major exchanges in the U.S., Europe, and Asia and includes the latest requirements within each region.

Don't See What You're Looking For?

Contact us to discuss custom courses for your firm.



SEC'S REGULATION BEST INTEREST (REG BI) | 30-40 MIN | \$35

The SEC's Regulation Best Interest is a principles-based rule intended to clarify the obligations of Broker-Dealers and Investment Advisers when they provide recommendations or investment advice to retail clients. This course is intended to help provide a good understanding of the requirements of this rule. This course is recommended to be taken every 2-3 years by individuals, managers, and trade support personnel at firms active in the U.S. futures and swaps markets.

SECURITY-BASED SWAP DEALER | 20-30 MIN | \$20

This course discusses compliance requirements for firms planning to, or already registered, with the SEC as a Security-Based Swap Dealer, including alternative compliance considerations for firms also registered as a Swap Dealer with the CFTC.

SWAP DEALER MARKETING SUPERVISION REQUIREMENTS | 20-30 MIN | \$25

This course is designed to meet the NFA's recently imposed training requirements for marketing supervision at Swap Dealers pursuant to NFA Compliance Rule 2-9(d).

SWAPS ETHICS (PERIODIC) | 40-50 MIN | \$45

This course is designed to meet CFTC and NFA requirements for Swap Dealers to provide Associated Persons and other relevant individuals with regular ethics training on a regular basis. This is a 'refresher' course that covers the CFTC's Statement of Acceptable Principles for ethics training.

FURTHER INFORMATION | INFO@XANALYTICS.COM
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