

QUEST CE

## FINRA E-learning Course Listing

Enclosed is a list of the E-learning courses offered by Quest CE as a part of its ongoing partnership with FINRA. If you are searching for courses by category, such as Department, Job Function or Product, [click here](#) to launch Catalog Builder or select the button below.

[Search by category](#)

## **IMPORTANT!**

**Before you begin, please read the following carefully.** The enclosed listing features **FINRA Codes** and QCE **CatID** numbers. To view a full description of each course, click on the **arrow icon (→)** provided to the right of each title.

**Catalog is Actionable.** Click the arrow to view course descriptions.

529 College Savings Plans Sales Practices	EL-ELC122	5788	<a href="#">→</a>
Annual Compliance Reminders for Institutional Registered Representatives - Vol. 1	EL-ELC204	5789	<a href="#">→</a>
Annual Compliance Reminders for Institutional Registered Representatives - Vol. 2	EL-ELC219	5790	<a href="#">→</a>
Annual Compliance Reminders for Institutional Registered Representatives - Vol. 3	EL-ELC228	5791	<a href="#">→</a>
<b>NEW! Annual Compliance Reminders for Institutional Registered</b>			
<b>Representatives - Vol. 4</b>	EL-ELC246	7865	<a href="#">→</a>
Annual Compliance Reminders for Registered Representatives - Vol. 1	EL-ELC190	5792	<a href="#">→</a>
Annual Compliance Reminders for Registered Representatives - Vol. 2	EL-ELC203	5793	<a href="#">→</a>
Annual Compliance Reminders for Registered Representatives - Vol. 3	EL-ELC218	5794	<a href="#">→</a>
Annual Compliance Reminders for Registered Representatives - Vol. 4	EL-ELC227	5795	<a href="#">→</a>
Annual Compliance Reminders for Registered Representatives - Vol. 5	EL-ELC327	6235	<a href="#">→</a>
<b>NEW! Annual Compliance Reminders for Registered Representatives - Vol. 6</b>	EL-ELC244	7685	<a href="#">→</a>
Books and Records	EL-ELC131	5796	<a href="#">→</a>
Business Conduct - Institutional: Understanding Information Barriers	EL-ELC199	5797	<a href="#">→</a>
Communications With the Public: Compliance Issues			
for Independent Registered Representatives	EL-ELC212	5805	<a href="#">→</a>
Communications With the Public: Compliance Issues for Wholesalers	EL-ELC211	5806	<a href="#">→</a>
Communications With the Public: What Retail Staff Need to Know	EL-ELC210	5807	<a href="#">→</a>
Conflicts of Interest	EL ELC-242	6989	<a href="#">→</a>
Corporate and Government Bonds: Regulatory Considerations	EL-ELC226	5808	<a href="#">→</a>
Customer Information Protection for Registered Representatives	EL-ELC155	5809	<a href="#">→</a>
Customer Information Protection for Supervisors	EL-ELC156	5810	<a href="#">→</a>
Cybersecurity: Understanding Your Role	EL-ELC238	6470	<a href="#">→</a>
Debt Mark-Ups	EL-ELC143	5811	<a href="#">→</a>
Electronic Communications: What Independent			
Registered Representatives Need to Know	EL-ELC216	5812	<a href="#">→</a>

FINRA Code | CatID Go

**Catalog is Actionable.** Click the arrow to view course descriptions.

Electronic Communications: What Retail Staff Need to Know	EL-ELC213	5813	→
Electronic Communications: What Supervisors Need to Know	EL-ELC214	5814	→
Electronic Communications: What Wholesalers Need to Know	EL-ELC215	5815	→
Ethical Considerations for Institutional Sales Representatives	EL-ELC173	5816	→
Ethical Considerations for Operations Professionals	EL-ELC172	5817	→
Ethical Considerations for Registered Representatives	EL-ELC170	5818	→
Ethical Considerations for Supervisors	EL-ELC171	5819	→
Exchange-Traded Products: Understanding Leveraged and Inverse ETPs	EL-ELC179	5820	→
Fixed Income Suitability: Retail Sales Practices	EL-ELC125	5821	→
Foreign Corrupt Practice Act: Avoiding Improper Payments	EL-ELC110	5822	→
Gifts: Independent Registered Representative Responsibilities	EL-ELC187	5799	→
Gifts: Institutional Sales Representative Responsibilities	EL-ELC188	5800	→
Gifts: Registered Representative Responsibilities	EL-ELC165	5801	→
Gifts: Understanding Compliance Responsibilities	EL-ELC167	5802	→
Gifts: Understanding Supervisory Responsibilities	EL-ELC166	5803	→
Gifts: Understanding Wholesaler Responsibilities	EL-ELC189	5804	→
Hedge Funds: Understanding Sales Practice Responsibilities	EL-ELC118	5823	→
Insider Trading	EL-ELC157	5824	→
Institutional Trading Regulations	EL-ELC225	5825	→
MSRB Supervision Rules (Video)	EL-VLC009	5827	→
Municipal Bonds: Regulatory Considerations	EL-ELC231	5828	→
Outside Business Activities	EL-ELC132	5829	→
Outside Business Activities for Independent Registered Representatives	EL-ELC185	5830	→
Outside Business Activities for Wholesalers	EL-ELC184	5831	→
Penny Stock Sales	EL-ELC160	5832	→

 Search for specific words or phrases by pressing the **Control (Ctrl)** and **F** keys on your keyboard simultaneously.

FINRA Code | [CatID Go](#)

**Catalog is Actionable.** Click the arrow to view course descriptions.

Privacy Considerations: Conducting Business with Institutional Clients	EL-ELC198	5833	<a href="#">→</a>
Private Placements: Conducting Reasonable Investigations for Regulation D Offerings	EL-ELC186	5834	<a href="#">→</a>
Private Securities Transactions	EL-ELC241	6786	<a href="#">→</a>
Real Estate Investment Trusts (REITs): Regulatory Considerations	EL-ELC234	5835	<a href="#">→</a>
Retail Branch Office Supervision: Compliance With Regulations	EL-ELC126	5836	<a href="#">→</a>
Retail Branch Office Supervision: Understanding Supervisory Responsibilities	EL-ELC127	5837	<a href="#">→</a>
Retail Supervision: Sales to Senior Investors	EL-ELC139	5838	<a href="#">→</a>
Senior Investor Issues: Diminished Decisional Capacity	EL-ELC158	5839	<a href="#">→</a>
Suitability and Know Your Customer Obligations: FINRA Rules 2111 and 2090	EL-ELC197	5840	<a href="#">→</a>
Supervision: FINRA Rules 3110 3120 3150 and 3170	EL-ELC236	5932	<a href="#">→</a>
Supervision: Obligations for Firms with Institutional Clients	EL-ELC116	5841	<a href="#">→</a>
Supervision: Obligations When Monitoring Sales and Trading	EL-ELC202	5842	<a href="#">→</a>
Understanding Commodity Futures - Linked Securities	EL-ELC181	5843	<a href="#">→</a>
Understanding Retail Structured Products	EL-ELC174	5844	<a href="#">→</a>
Understanding Social Media for Retail Registered Representatives	EL-ELC217	5845	<a href="#">→</a>
Use of Social Media for Business Purposes (Video)	EL-ELC163	5846	<a href="#">→</a>
Variable Annuities: Regulatory Implications	EL-ELC232	5847	<a href="#">→</a>
Variable Annuities: Suitability and Disclosure for New Purchases	EL-ELC113	5849	<a href="#">→</a>

FINRA Code | CatID Go

**Catalog is Actionable.** Click the arrow to view course descriptions.

### FINRA Anti-Money Laundering Modules

Bank Affiliated Broker-Dealers: Understanding Your Role - Vol. 1	EL-ELC233	5850	➔
Broker-Dealers Conducting Business with Foreign Customers: Understanding Your Role - Vol. 1	EL-ELC235	5931	➔
Compliance: Suspicious Activity Surveillance - Part 1	EL-ELC195A	5851	➔
Compliance: Suspicious Activity Surveillance - Part 2	EL-ELC195B	5852	➔
Independents: More Key Issues	EL-ELC221	5853	➔
Independents: Understanding Your Compliance Obligations	EL-ELC206	5854	➔
Institutional: Customer Identification Procedures	EL-ELC152	5855	➔
Institutional: Escalating Concerns of Unusual Activity and Responsibilities for Due Diligence	EL-ELC176	5857	➔
Institutional: Exploring New Risks	EL-ELC135	5858	➔
Institutional: Identification and Reporting Issues	EL-ELC121	5859	➔
Institutional: Identifying and Managing Higher-Risk Clients	EL-ELC112	5860	➔
Institutional: More Key Issues	EL-ELC222	5861	➔
Institutional: Recognizing Red Flags	EL-ELC144	5862	➔
Institutional: Understanding Your Compliance Obligations	EL-ELC207	5863	➔
Institutional: Understanding Your Role Vol. 1	EL-ELC230	5864	➔
Institutional: Your Role in Detecting and Deterring Money-Laundering Activity	EL-ELC192	5865	➔
Operations: Customer Identification Procedures	EL-ELC153	5866	➔
Operations: Escalating Concerns of Unusual Activity and Responsibilities for Due Diligence	EL-ELC177	5867	➔
Operations: More Key Issues	EL-ELC224	5868	➔
Operations: Recognizing Red Flags	EL-ELC150	5869	➔
<b>New!</b> Operations: Understanding Your Role - Vol. 1	EL-ELC245	7734	➔
Operations: Understanding Your Compliance Obligations	EL-ELC208	5870	➔

 Search for specific words or phrases by pressing the **Control (Ctrl)** and **F** keys on your keyboard simultaneously.

FINRA Code | [CatID](#) [Go](#)

**Catalog is Actionable.** Click the arrow to view course descriptions.

Operations: Your Role in Detecting and Deterring Money-Laundering Activity	EL-ELC193	5871	<a href="#">→</a>
Retail: Customer Due Diligence	EL-ELC120	5872	<a href="#">→</a>
Retail: Customer Identification Procedures	EL-ELC154	5873	<a href="#">→</a>
Retail: More Key Concepts	EL-ELC220	5876	<a href="#">→</a>
Retail: Understanding Your Compliance Obligations	EL-ELC205	5879	<a href="#">→</a>
Retail: Understanding Your Role - Vol. 1	EL-ELC229	5880	<a href="#">→</a>
Retail: Understanding Your Role - Vol. 2	EL-ELC239	6585	<a href="#">→</a>
Retail: Understanding Your Role - Vol. 3	EL-ELC243	7565	<a href="#">→</a>
Retail: Variable Annuities and Variable Life Insurance	EL-ELC164	5881	<a href="#">→</a>
Retail: Your Role in Detecting and Deterring Money-Laundering Activity	EL-ELC191	5882	<a href="#">→</a>
Supervisors: Understanding Your Role	EL-ELC240	6708	<a href="#">→</a>
Wholesalers: More Key Issues	EL-ELC223	5883	<a href="#">→</a>
Wholesalers: Understanding Your Compliance Obligations	EL-ELC209	5884	<a href="#">→</a>
Wholesalers: Your Role in Detecting and Deterring Money-Laundering Activity	EL-ELC194	5885	<a href="#">→</a>

FINRA E-learning can be added to any managed program or Firm Element Express account.

[Purchase FINRA courses](#)

[Request more information](#)