

Needs Analysis Survey

Our Needs Analysis Surveys serve as a diagnostic tool for determining what training needs to take place at your firm. These individual assessments look at each of your employees' job knowledge, skills and abilities to identify any gaps in training or areas of need. Once the data is gathered and analyzed, the results can be used to appropriately assign course materials and create your firm's written training plan for the year.

Sample

1. Please provide complete business contact information:

First Name _____
Last Name _____
Address _____
Phone Number _____
Email _____

2. Branch Number:

[Text Box]

3. Representative Number:

[Text Box]

4. Check all series registrations that apply:

- 3 - National Commodity Futures
- 4 - Registered Options Principal
- 6 - Investment Company and Variable Contracts (Mutual Funds/Variable Annuities)
- 7 - General Securities Representative (Stockbroker)
- 9 - NYSE General Securities Sales Supervisor - Options
- 10 - NYSE General Securities Sales Supervisor - General Module
- 11 - Assistant Representative - Order Processing
- 14 - NYSE Compliance Officer
- 16 - NYSE Supervisory Analyst
- 17 - Limited Representative (FSA registration)
- 21 - NYSE Front Line Specialist Clerk
- 22 - Direct Participation (Limited partnerships)
- 23 - General Securities Principal (Upgrade from 9 and 10)
- 24 - General Securities Principal
- 25 - NYSE Trading Assistant Examination
- 26 - Investment Company (Mutual Funds) Principal
- 27 - Financial and Operations Principal
- 28 - Financial and Operations Principal Introducing Broker
- 30 - Futures - Branch Office Manager



- 31 - Futures - Managed Funds
- 32 - Futures - United Kingdom Representatives
- 34 - Retail Off-Exchange Forex
- 37 - Canadian Module of the General Securities (with options questions)
- 38 - Canadian Module of the General Securities
- 39 - Direct Participation Programs Principal
- 42 - Registered Options Representative
- 44 - NYSE Arca Options Market Maker
- 47 - Japanese Module of the General Securities
- 51 - Municipal Fund Securities Limited Principal
- 52 - Municipal Securities Representative
- 53 - Municipal Securities Principal
- 55 - Equity Trader - Limited Representative
- 56 - Proprietary Trader Qualification
- 62 - Corporate Securities - Limited Representative
- 63 - Uniform Securities Agent State Law
- 65 - Uniform Registered Investment Adviser Law (RIA)
- 66 - Uniform Investment Adviser - Combined State Laws (Combined 63 and 65)
- 72 - Government Securities - Limited Representative
- 79 - Investment Banking
- 82 - Private Securities Offerings - Limited Representative
- 86 - Research Analyst - Securities Analysis
- 87 - Research Analyst - Regulations
- 99 - Operations Professional
- N/A
- Other (please specify below)

[Text Box]

5. Check all of the professional designations that apply:

- CPA
- CFP
- CRPC
- CRP
- RP
- CTFA
- CIMA
- CIMC
- CPWA
- CLU
- ChFC
- CFA
- N/A
- Other (please specify below)

[Text Box]



6. Years as a Registered Representative:

- Less than 2 years
- 2 to 5 years
- 6 to 9 years
- 10 or more years
- N/A

7. Check each of the products listed below that you have sold during the last 12 months:

- Mutual Funds
- Annuities
- Variable Life Insurance Products
- Unit Investment Trusts
- Options
- 529 Plans
- Equity Indexed Annuities
- Limited Partnerships
- Brokered CDs
- REITs
- Private Placements
- Consulting services / Managed account
- Third Party Money Management Services
- Solicited General Securities
- Unsolicited General Securities
- Other (please specify below)

[Text Box]

Previous Year Continuing Education Feedback

8. Was the presentation of required Firm Element continuing education program training clear and understandable? (If not, please explain and list areas for improvement below.)

- Yes
- If No – please provide details

[Mandatory Text Box]

9. Was the material presented clear and understandable? (If not, please explain and list areas for improvement below.)

- Yes
- If No – please provide details

[Mandatory Text Box]



10. Was the method of delivery for online course study effective and efficient? (If not, please explain and list areas for improvement below.)

- Yes
- If No – please provide details

[Mandatory Text Box]

11. Were the topics selected related to the fundamental areas in which you work? (If not, please explain and list areas for improvement below.)

- Yes
- If No – please provide details

[Mandatory Text Box]

12. Was it effectively communicated that mandatory continuing education is a legal requirement of the industry? (If not, please explain and list areas for improvement below.)

- Yes
- If No – please provide details

[Mandatory Text Box]

Product Based Needs

13. Please select the product(s) you would like additional training on.

- N/A
- 401(k)
- 529 Plans
- Alternative Investments
- Annuities
- Asset-Backed Securities
- Auction Rate Securities
- Blue Chip Equities
- Bonds
- Certificates of Deposit (CDs)
- Collateralized Mortgage Options (CMOs)
- Commodities
- Convertible Securities
- Corporate Bonds
- Derivatives
- Equity Options
- ETFs
- Fixed Income
- Futures
- Government Bonds
- Growth Equities



- Hedge Fund
- Hybrid Securities
- Insurance Products
- Investment Banking
- IRA
- Managed Funds
- Money Markets
- Municipal Securities
- Mutual Funds (all types)
- Options
- Over-The-Counter (OTC) Equities
- Penny Stocks
- Principal Protected Notes (PPNs)
- Private Placements
- Real Estate (REITs)
- Reverse Convertible Securities
- Short-term Instruments
- Stocks
- Syndication
- U.S. Government Securities
- Unit Investment Trusts (UITs)
- Variable Life Insurance
- Wrap Accounts
- Other (please specify below)

[\[Text Area\]](#)

Global Competency Needs

14. Please identify the global competencies you would like additional training on.

- N/A
- Anti-Money Laundering
- Business Conduct
- Communications with Customers and the Public
- Complaint Handling
- Disclosure
- Ethics
- Handling Customer Accounts
- Insider Trading
- Insurance Regulations
- Market Risk Factors
- Registration and Reporting Issues
- Sales Practices
- Securities Regulations
- Suitability
- Other (please specify below)

[\[Text Area\]](#)



Registered Representative Training Needs

15. Please check the areas where you would like additional training in regard to Sales Practices.

- N/A
- Understanding the responsibility of being a fiduciary
- Knowing the potential risks in regard to compliance issues
- Electronic and email communication requirements with clients
- Suitability rules and regulations
- Your responsibilities if you are contacted by law enforcement officials or regulators
- Requirements upon receipt of a formal complaint from a client either verbally or in writing
- The techniques used in performing annual suitability analysis and dealing with clients over 60
- Content requirements for an active client file
- Role of the prospectus and the firm requirements for its use
- Other (please specify below)

[Text Area]

16. Please identify any ethical issues that you believe should be addressed in future training.

- N/A
- Responding to Regulators
- Maintaining Accurate Records
- Use of Company Property
- Harassment
- Discrimination
- Insider Trading
- Personal Trading
- Gifting and Entertainment
- Political Contributions
- Outside Business Activities
- Improper Customer Requests
- Other (please specify below)
- [Text Area]

Training Development

17. Your continuing education program is currently being developed and your feedback will be used and is appreciated. Do you have ideas, suggestions for topics, or other areas that you would like to see addressed in the upcoming year?

- Yes
- If No – please provide details

[Mandatory Text Box]



Testament to Accuracy and Full Disclosure

18. I certify that to the best of my knowledge that the above statements and facts presented to be accurate and true.

First Name _____
Last Name _____
Date _____

Sample

