

Individual Needs Analysis

This questionnaire collects information from representatives to generate an overall report. This can be used to develop a comprehensive training plan.

Representative Profile

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)
[\[Text Area\]](#)

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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)
[\[Text Area\]](#)

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)
[\[Text Area\]](#)

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
[\[Mandatory Text Area\]](#)

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

Yes
If no – please provide details
[\[Mandatory Text Area\]](#)

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
[\[Mandatory Text Area\]](#)

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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

[\[Mandatory Text Area\]](#)

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

[\[Mandatory Text Area\]](#)

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

Margin Accounts

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)

[\[Text Area\]](#)

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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?

No
If yes - please provide more details
[\[Mandatory Text Box\]](#)

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Testament to Accuracy and Full Disclosure

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

First Name:

Last Name:

Date: