



Alternative Investment Insight through
Research, Training and Increased Efficiency

E-Learning Course Catalog

**Earn CE Credits Toward the CFP®
and Other Designations**

Advisors interested in earning CE credits toward the CFP® or other designations can find e-learning modules from AI Insight to continue your education.

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AI Insight - Introduction to Unit Investment Trusts (UITs) NEW

CFP 1 CE Credit

Discover Unit Investment Trusts (UITs) - registered investment products offering a defined portfolio with a scheduled maturity. This course provides an overview of the unique structure of a UIT and how it compares to other popular investment options (such as mutual funds and ETFs). You will receive an in-depth look at investor benefits, pricing, as well as the distinctive investor experience that comes from the lifecycle of a UIT. You will also learn how UITs offer access to a wide range of investment choices and may be utilized in both transactional and fee-based accounts to address investor goals.

Upon completion of this course, participants will be able to identify:

- What is a Unit Investment Trust (UIT)
- Types of UITs
- UIT Investment Features
- Understanding the UIT Lifecycle
- Cost Structure of UITs
- How to Position UITs within an Investor Portfolio
- Benefits and Risks of UITs

AI Insight – The Basics of Defined Outcome Investing

CFP 1 CE Credit

Defined outcome investing can help investors to more narrowly target an investment outcome and define their risk level. In this course, participants will gain a basic understanding of defined outcome investing and the use of options-based methods for creating defined outcomes. Using specific option strategy examples, participants will see how certain options strategies can be used to create specific outcomes and risks. The course shows how defined outcome strategies can be utilized within both a UIT or ETF product structure, the benefits of both UIT and ETF product structures over traditional investment methods, and the risks associated with UITs and ETFs.

Upon completion of this course, participants will be able to:

- Define the concept of defined outcome investing
- Understand, through use of examples, how options-based strategies are used in the creation of defined outcome investing
- Understand how a defined outcome investing strategy will work in a UIT or ETF product structure
- Explain how a defined outcome strategy UIT or ETF might be used in a portfolio
- Explain the benefits and risks of defined outcome investing and a defined outcome strategy UIT and ETF

AI Insight – Understanding Regulation Best Interest

CFP 1 CE Credit

Professionals from Bates Compliance join us on a recorded webinar to help you gain an understanding of the SEC's Regulation Best Interest rules. After completion of the course, you should have an understanding of (1) Reg BI background, (2) new obligations, (3) regulator expectations, (4) impact on product sales, (5) conflicts, compensation, disclosure and (6) Reg BI resources.

AI Insight - Cybersecurity Awareness for Financial Professionals

CFP 1 CE Credit

This course summarizes key aspects of cybersecurity awareness for financial professionals. Gain a thorough understanding of: (1) the regulatory focus on cyber security, (2) the threat landscape, (3) practical things you can do to protect client data and (4) the anatomy of a phishing and identity take-over attack.

AI Insight - Introduction to Alternative Mutual Funds

CFP 1 CE Credit

This course summarizes the key aspects of Alternative Mutual Funds ("AMFs") and discusses some of the key issues facing the industry. The first part addresses the breadth of the market by defining AMFs and all its available strategies. This will lead to a discussion on how to organize and bucket the strategies, including how they can be viewed against traditional allocations. From there, it will dive into the risks associated with AMFs, including structural differences against hedge funds, regulatory considerations, and general investment risks. The course will conclude with a thorough overview of fees and expenses, category performance, and general considerations for performing due diligence.

After completion of the course, an individual should have a thorough understanding of: (1) defining alternatives, (2) applying alternatives, (3) risks and limitations, (4) fund fees and expenses, (5) performance and (6) due diligence considerations.

AI Insight - Introduction to Hedge Funds

CFP 1 CE Credit

The training is designed to provide a better understanding of the hedge fund market, different hedging strategies, risks and benefits of hedging strategies, structure, regulation, suitability and due diligence requirements.

After completing the training, you will have a better understanding of (1) the hedge fund market, (2) structures, (3) product risks, (4) strategies, (5) suitability, (6) due diligence and (7) additional resources for research.

AI Insight - Introduction to Internal Revenue Code §1031 Private Placements

CFP 1 CE Credit

A properly structured Internal Revenue Code (“IRC”) Section 1031 Exchange (“§1031” or a “§1031 Exchange”) allows an investor to sell a property, to subsequently reinvest the proceeds of such sale into a new property, and to defer all capital gain taxes resulting from that the sale of the relinquished property. This course is designed to provide a comprehensive understanding of §1031 Exchanges, to include what it is, the identification rules, different types and structures, a discussion of §721 Exchanges, an overview of energy §1031 Exchanges and the importance of due diligence on these private placements.

AI Insight - Introduction to Interval Funds

CFP 1 CE Credit

Closed-end interval funds are not a new investment structure but have recently grown in popularity. However, it's important to clearly understand the details and complexities associated with them before considering such a fund. This course is designed to provide you with a comprehensive understanding of interval funds, to include how they compare to other investment companies, potential advantages, performance measures, fees and expenses, financial reports and statutory and regulatory requirements.

AI Insight - Introduction to Leveraged and Inverse ETFs

CFP 1 CE Credit

Leveraged ETFs are investment vehicles for sophisticated investors who are looking to gain short-term magnified exposure to the markets. However, it's important to clearly understand that their unique characteristics come with inherent risk. This course is designed to provide you with the comprehensive understanding of the composition of leveraged ETFs, the mechanics of how they operate, and the risks associated with them.

AI Insight - Introduction to Opportunity Zones

CFP 1 CE Credit

The Tax Cut and Jobs Act of 2017 (the “TCJA”) added a new Section 1400Z to the Internal Revenue Code (the “Code”) to incentivize long-term private sector investment in low-income communities by enabling states, the District of Columbia, U.S. possessions, and Puerto Rico to designate certain low-income communities and contiguous tracts adjacent to such low-income communities as “Opportunity Zones”. In this course, we explore and discuss many of the applicable rules (as currently constructed), as well as the potential benefits, pitfalls and risks involved with Opportunity Fund investments.

AI Insight - Introduction to Private Equity

CFP 2 CE Credits

Private equity is an all-encompassing term that refers to ownership in a company or a portion of a company that is not publicly owned or listed on a stock exchange. Private equity funds use investor capital to enhance the value of a company or companies looking to grow, change, acquire, or either list on an exchange or de-list and return to private ownership. In this course we explore private equity trends, strategies, structures, fees, returns, portfolio allocation, risks and due diligence considerations.

After completion of this course, you should have an understanding of private equity trends, strategies, structures, fees, returns, portfolio allocation, risks and due diligence considerations.

AI Insight - Introduction to Private Placements

CFP 1 CE Credit

This training is designed to provide a better understanding of private placements to include an introduction followed by a focus on trends, structures, registration exemptions and governance, suitability, fees, risks and due diligence considerations.

AI Insight - Introduction to the Alternative Allocation Strategy

This course summarizes the key aspects of the Alternative Allocation Strategy. After completion of the course, an individual should have a thorough understanding of: (1) strategy characteristics; (2) sub-strategies; (3) shorting; (4) management structure; (5) portfolio structure; (6) due diligence considerations; (7) fees; (8) past performance; (9) performance expectations and (10) related risks.

AI Insight - Introduction to the Equity Long Short Strategy

This course summarizes the key aspects of the Equity Long Short Strategy. After completion of the course, an individual should have a thorough understanding of: (1) strategy characteristics; (2) sub-strategies; (3) shorting; (4) due diligence considerations; (5) fees; (6) past performance and performance expectations and (7) related risks.

AI Insight - Introduction to the Equity Market Neutral Strategy

This course summarizes the key aspects of the Equity Market Neutral Strategy. After completion of the course, an individual should have a thorough understanding of: (1) strategy characteristics; (2) sub-strategies; (3) shorting; (4) due diligence considerations; (5) fees; (6) past performance; (7) performance expectations and (8) related risks.

AI Insight - Introduction to the Managed Futures Strategy

This course summarizes the key aspects of the Managed Futures Strategy. After completion of the course, an individual should have a thorough understanding of: (1) strategy characteristics; (2) sub-strategies; (3) shorting; (4) portfolio structure; (5) due diligence considerations; (6) fees; (7) past performance and performance expectations and (8) related risks.

AI Insight - Principal At Risk Structured Notes

CFP 1 CE Credit

This training is designed to give advisors a better understanding of the features, benefits and risks of Principal At Risk Structured Notes, how they work, and how they can be used in client accounts.

After completing this training, you will have a better understanding of:

- Component parts of Principal At Risk Structured Notes.
 - Process for evaluating Principal At Risk Structured Notes.
 - Benefits to clients of Principal At Risk Structured Notes.
 - Risks presented by Principal At Risk Structured Notes.
 - Important considerations before offering Principal At Risk Structured Notes to clients.
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AI Insight - Principal Protected Structured Notes

CFP 1 CE Credit

This training is designed to give advisors a better understanding of the features, benefits and risks of Principal Protected Structured Notes, how they work, and how they can be used in client accounts.

After completing this training, you will have a better understanding of:

- Component parts of Principal Protected Structured Notes.
 - Process for evaluating Principal Protected Structured Notes.
 - Benefits to clients of Principal Protected Structured Notes.
 - Risks presented by Principal Protected Structured Notes.
 - Important considerations before offering Principal Protected Structured Notes to clients
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AI Insight - Structured Certificate of Deposit

CFP 1 CE Credit

This training is designed to give advisors a better understanding of the features, benefits and risks of Structured CD's. We will discuss how Structured CD's are created, how they work, and how they can be used in client accounts.

After completing this training, you will have a better understanding of:

- Component parts of Structured CD's
 - Process for evaluating Structured CD's
 - Benefits to clients of Structured CD's
 - Risks presented by Structured CD's
 - Important considerations before offering Structured CD's to clients
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AI Insight - Structured Products Payoff Structures

CFP 1 CE Credit

This training is designed to give advisors a better understanding of some of the different payoff structures commonly used in Structured Products.

After completing this training, you will have a better understanding of a variety of structured product payoff structures including:

- Point to Point
 - Averaging
 - Income Generator
 - Cliquet
 - Digital
 - Callable Yield
 - Leveraged Buffered
 - Reverse Convertible
 - Range Accrual
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