

Information Notice

Continuing Education

Changes to FINRA's S201 Regulatory Element Continuing Education Program

On January 2, 2012, FINRA will implement a redesigned version of the S201 Regulatory Element Program in an effort to improve and keep the Continuing Education Program current and relevant. The S201 Regulatory Element Program (*i.e.*, the Supervisors Program) is required for supervisory/principal registrants.

Individuals who schedule an S201 session on or after January 2 will see the redesigned program, which includes new story-based cases and an updated user interface. The new program, which has been streamlined to include only four modules, integrates a range of topics, such as ethics and business conduct, compliance, registration/licensing and reporting requirements. Individuals must demonstrate their proficiency in the content of each case in order to successfully complete a module.

To help individuals become familiar with the revised program, FINRA has made available online the related content outline, an animated orientation and brief sample case.

The registration process for the S201 Regulatory Element Program remains unchanged. Individuals may continue to register online for sessions through the Pearson and Prometric test center websites or by telephone.

Further information about the S201 Regulatory Element redesigned program, including how to register, is available at www.finra.org/ce/training.

Questions about this *Notice* may be directed to:

- ▶ John Kalohn, Vice President, Testing and Continuing Education, at (240) 386-5800; or
- ▶ Roni Meikle, Director, Continuing Education, at (646) 315-8688.

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Suggested Routing

- ▶ Compliance
- ▶ Continuing Education
- ▶ Registered Representatives
- ▶ Registration
- ▶ Training

Key Topics

- ▶ Continuing Education
- ▶ Regulatory Element Program