

Information Notice

Continuing Education Planning

Executive Summary

On April 13, 2012, the Securities Industry/Regulatory Council on Continuing Education (the Council) released the semi-annual Firm Element Advisory (FEA) (see [Regulatory Notice 12-20](#)). The Council suggests that firms consult the FEA when developing their Firm Element training needs analysis.

FINRA offers the following online training resources that address many of the topics that the Council has outlined in the FEA:

- ▶ **E-Learning Courses:** Online training featuring assessment tests, scenarios, real-time completion tracking and certificates of completion (see www.finra.org/elearning).
- ▶ **Podcasts:** Short audio recordings on specific targeted topics, which can be heard online or downloaded to a portable media player (see www.finra.org/podcasts).

Send questions regarding this Notice to education@finra.org.

April 13, 2012

Suggested Routing

- ▶ Compliance
- ▶ Continuing Education
- ▶ Legal
- ▶ Training

Key Topics

- ▶ Continuing Education
- ▶ Firm Element

Referenced Rules & Notices

- ▶ Notice 11-20

| FIRM ELEMENT ADVISORY TOPICS | FINRA TRAINING |
|------------------------------|---|
| Consolidated FINRA Rulebook | Rulebook Consolidation Series (Podcasts) |
| Alternative Investments | Sales Practice Obligations for Commodity Futures-Linked Securities <ul style="list-style-type: none">• Commodity Futures-Linked Securities (Podcast)• Understanding Commodity Futures-Linked Securities (E-Learning) <hr/> Reverse Exchangeable Securities (Reverse Convertibles) <ul style="list-style-type: none">• Reverse Convertibles (Podcast) |

| FIRM ELEMENT ADVISORY TOPICS | FINRA TRAINING |
|---------------------------------|---|
| Anti-Money Laundering | <ul style="list-style-type: none"> • Anti-Money Laundering Series (Podcasts) • Anti-Money Laundering Series (E-Learning) |
| Arbitration Rules | <ul style="list-style-type: none"> • Arbitration Panel Composition (Podcast) |
| Books and Records | <ul style="list-style-type: none"> • FINRA Books and Records Rules – Parts I and II (Podcasts) • Books and Records (E-Learning) |
| Business Continuity | <ul style="list-style-type: none"> • FINRA’s Business Continuity Planning Template (Podcast) • Pandemic Preparedness – Parts I and II (Podcasts) |
| Communications With the Public | <ul style="list-style-type: none"> • Advertising Regulation Guidance (Podcast) • Electronic Communications Series (Podcasts) • Social Media and Personal Electronic Devices Series (Podcasts) • Social Networking (Podcast) • Use of Social Media for Business Purposes (E-Learning) • Communications With the Public Series (E-Learning) |
| Customer Accounts | <ul style="list-style-type: none"> • Consolidated Account Reports (Podcast) • Requirements for Customer Assets (Podcast) |
| FACT Act Red Flags Rule | <ul style="list-style-type: none"> • FTC’s Red Flags Rule Template (Podcast) • FACT Act Red Flags Rule (Podcast) |
| Finance and Operations | <p>Verification of Assets at a Non-Member Financial Institution</p> <ul style="list-style-type: none"> • Independent Verification of Assets (Podcast) <p>Funding and Liquidity Risk Management Practices</p> <ul style="list-style-type: none"> • Funding and Liquidity Risk Management – Parts I and II (Podcasts) |
| Insurance and Annuities | <ul style="list-style-type: none"> • Deferred Variable Annuities (Podcast) • Variable Annuities Series (E-Learning) |
| Municipal Securities | <ul style="list-style-type: none"> • Municipal Continuing Disclosure Report (Podcast) • Municipal Securities Series (Podcasts) |

| FIRM ELEMENT ADVISORY TOPICS | FINRA TRAINING |
|---|--|
| <p>Registration and Disclosure</p> | <p>BrokerCheck</p> <ul style="list-style-type: none"> • BrokerCheck (Podcast) <p>Forms U4 and U5</p> <ul style="list-style-type: none"> • Uniform Forms Electronic Filing Requirements (Podcast) <p>Operations Professional Registration Category</p> <ul style="list-style-type: none"> • Operations Professional Registration Category Series (Podcast) |
| <p>Sales Practices and Supervision</p> | <ul style="list-style-type: none"> • Senior Designations – Parts I and II (Podcasts) • Suitability and Know Your Customer Rules (Podcast) • Suitability Guidance Series (Podcasts) • Outside Business Activities Series (E-Learning) • Senior Investors Suitability Considerations (E-Learning) • Suitability and Know Your Customer Obligations: FINRA Rules 2111 and 2090 (E-Learning) |
| <p>Transaction Reporting and Data Dissemination</p> | <p>Trade Reporting and Compliance Engine (TRACE)</p> <ul style="list-style-type: none"> • TRACE Expansion (Podcast) <p>FINRA Expands the Order Audit Trail System (OATS) to All NMS Stocks</p> <ul style="list-style-type: none"> • OATS Expansion (Podcast) <p>Trading Halts</p> <ul style="list-style-type: none"> • Trading-Pause Pilot Program (Podcast) |