

Regulatory Notice

13-14

Continuing Education

Securities Industry/Regulatory Council on Continuing Education Issues Firm Element Advisory Update

The Securities Industry/Regulatory Council on Continuing Education (Council) has released its Spring 2013 Firm Element Advisory (FEA). The Council produces the FEA to identify regulatory and sales practice topics that firms should consider in their Firm Element training plans. Topics updated or added since the prior FEA are indicated in the document as such.

The updated FEA is available at:

http://www.cecouncil.com/Documents/FEA_Semi_Annual_Update.pdf.

The FEA topics are not exhaustive and are intended as a guide to firms when they determine what to include in their training plans. Firms should consider the specific nature of their business, clients, products and services when creating their training plans.

Previous editions of the FEA, as well as a *matrix* indicating the topics covered in those editions, are available at the Council's website at www.cecouncil.com.

Questions concerning this *Notice* should be directed to:

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- ▶ Roni Meikle, Director, Continuing Education, FINRA, at (212) 858-4084.

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Notice Type

- ▶ Guidance

Suggested Routing

- ▶ Compliance
- ▶ Continuing Education
- ▶ Legal
- ▶ Registration
- ▶ Senior Management

Key Topics

- ▶ Continuing Education
- ▶ Firm Element

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