Financial Industry Regulatory Authority

Start building your training program.

The Definitive Source for Firm Element Training

FINRA offers a wide range of e-learning courses for registered representatives, supervisors, operations staff, compliance personnel and other employees. These online courses uniquely blend FINRA's knowledge of securities rules and regulations with the industry's expertise on how those rules are practically applied on the job.

FINRA's e-learning courses are 20 to 30 minutes in duration and include post-course examinations to measure understanding of the material. Courses lead users through common compliance situations and include scenarios and decision points that help users make sure they understand course content.

FINRA's e-learning courses are developed to provide your firm with an affordable and convenient source for Firm Element and other compliance training.

Table of Contents

Firm Element CE Course Descriptions 1
Anti-Money Laundering Course Descriptions 7
Add Courses To Your Training Program 10
Retired Regulatory Element Program Scenarios 10

E-Learning Course Catalog
Updated May 2013

529 College Savings Plans Sales Practices (EL-ELC122)

This course explains 529 College Savings Plans—including in-state benefits, fees and expenses, investment options, and limitations and restrictions. Practical scenarios illustrate suitability analyses and underscore the consequences of not meeting regulatory requirements.

Annual Compliance Reminders for Institutional Registered Representatives – Vol. 1 (EL-ELC204)

This course uses scenarios adapted from actual FINRA disciplinary actions to remind institutional sales representatives of their compliance obligations. Volume 1 covers social media and public communications, Form U4 disclosures, private securities transactions, handling firm funds and maintaining ethical behavior when fulfilling continuing education requirements.

Annual Compliance Reminders for Institutional Registered Representatives – Vol. 2 (EL-ELC219) **– NEW**

This course uses scenarios adapted from actual FINRA disciplinary actions to remind institutional registered representatives about their compliance obligations. Volume 2 covers responding to FINRA requests for information, borrowing money from clients, ethical behavior and more.

Annual Compliance Reminders for Registered Representatives – Vol. 1 (EL-ELC190)

This course uses scenarios adapted from actual disciplinary actions to remind registered representatives about their compliance obligations. Volume 1 covers outside business activities, private securities transactions, Form U4 disclosures, responding to compliance requests, providing accurate customer information, customer complaints and settlements, email, handling customer and firm funds, trade authorizations and conflicts of interest related to borrowing money from customers.

Annual Compliance Reminders for Registered Representatives – Vol. 2 (EL-ELC203)

This course uses scenarios adapted from actual FINRA disciplinary actions to remind registered representatives about their compliance obligations. Volume 2 covers social media and public communications, trade authorizations, Form U4 disclosures, outside business activities, private securities transactions, handling customer funds related to borrowing money from customers, and maintaining ethical behavior when fulfilling continuing education requirements.

Annual Compliance Reminders for Registered Representatives – Vol. 3 (EL-ELC218) **– NEW**

This course uses scenarios adapted from actual FINRA disciplinary actions to remind registered representatives about their compliance obligations. Volume 3 covers communications with the public, suitability, ethical behavior and more.

Anti-Money Laundering Series

FINRA offers a series of AML courses for firms with retail business, firms with institutional business, and for operations staff. Refer to course descriptions in the AML Compliance Training Courses section on page 7.

Books and Records (EL-ELC131)

This course explains the obligations of registered persons to maintain records of actions undertaken in their capacity as representatives of the firm. Scenarios illustrate and reinforce compliance with recordkeeping and retention requirements when electronic media are involved.

Business Conduct – Institutional: Understanding Information Barriers (EL-ELC199)

This course is designed to help securities industry professionals understand information barriers and the regulatory obligations regarding confidentiality, privacy and conflicts of interest as they relate to material, nonpublic information. It explores related topics such as wall-crossing procedures, restricted and watch lists, physical and electronic separation, and insider trading as it relates to information barriers. Scenarios address information barriers with respect to research and investment banking.

Business Gifts (EL-VLC001)

This course discusses a registered representative's responsibilities when giving business gifts. The program presents rule requirements and best practices around this issue.

Note: Use of FINRA's e-learning courses does not guarantee compliance with regulatory requirements or create a safe harbor from regulatory responsibility.

Business Gifts: Independent Registered Representative Responsibilities (EL-ELC187)

This course presents regulatory requirements and industry compliance practices related to business gifts to help you understand your role as an independent registered representative in complying with FINRA rules. Brief interactive activities and scenarios demonstrate how to determine whether gifts are business-related, and illustrate proper gift-aggregation and recordkeeping techniques.

Business Gifts: Institutional Sales Representative Responsibilities (EL-ELC188)

This course presents regulatory requirements and industry compliance practices related to business gifts to help you understand your role as an institutional sales representative in complying with FINRA rules. Brief interactive activities and scenarios demonstrate how to determine whether gifts are business-related, and illustrate proper gift-aggregation and recordkeeping techniques.

Business Gifts: Registered Representative Responsibilities (EL-ELC165)

This course presents regulatory requirements and industry compliance practices related to business gifts to help you understand your role as a registered representative in complying with FINRA rules. Scenarios demonstrate how to determine whether gifts are business-related, and illustrate proper gift-aggregation and recordkeeping techniques.

Business Gifts: Understanding Compliance Responsibilities (EL-ELC167)

This course presents regulatory requirements and industry compliance practices related to business gifts to help you understand your role as a member of the compliance staff in complying with FINRA rules. Scenarios demonstrate how to determine whether gifts are business-related, and illustrate proper gift-aggregation and recordkeeping techniques.

Business Gifts: Understanding Supervisory Responsibilities (EL-ELC166)

This course presents regulatory requirements and industry compliance practices related to business gifts to help you understand your role as a supervisor in complying with FINRA rules. Scenarios demonstrate how to determine whether gifts are business-related, and illustrate proper gift-aggregation and recordkeeping techniques.

Business Gifts: Understanding Wholesaler Responsibilities (EL-ELC189)

This course presents regulatory requirements and industry compliance practices related to business gifts to help you understand your role as a wholesaler in complying with FINRA rules. Brief interactive activities and scenarios demonstrate how to determine whether gifts are business-related, and illustrate proper gift-aggregation and recordkeeping techniques.

Communications With the Public: Compliance Issues for Independent Registered Representatives (EL-ELC212) **– NEW**

This course helps independent registered representatives understand their compliance responsibilities when communicating with clients. It covers the consequences of noncompliance with requirements for communicating with the public.

Communications With the Public: Compliance Issues for Wholesalers (EL-ELC211) **– NEW**

This course is designed to help wholesalers understand their compliance responsibilities. It covers the consequences of noncompliance with requirements for communications with the public.

Communications With the Public: What Retail Staff Need to Know (EL-ELC210) **– NEW**

This course covers situations retail registered representatives face when communicating with clients, and the consequences of non-compliance with requirements for approval, disclosure and retention of communications with the public.

Conflicts of Interest (EL-VLC007)

This course focuses on how to identify and handle conflicts of interest. It covers FINRA rules around this issue, common sources of conflicts and how to minimize risks.

Customer Information Protection for Registered Representatives (EL-ELC155)

This course covers concepts to help registered representatives understand procedures for protecting confidential personal customer information and detecting possible breaches in information security. It provides suggestions for what to do if customer information is compromised and steps to take to better protect this information.

Customer Information Protection for Supervisors (EL-ELC156)

This course covers concepts to help supervisors implement firm procedures for protecting confidential personal customer information and detecting possible breaches in information security. It provides suggestions for what to do if customer information is compromised and steps to take to better protect this information.

Debt Mark-Ups (EL-ELC143)

This course covers rules and regulatory guidance surrounding the identification of prevailing market price and the factors to consider when determining mark-ups on transactions in debt securities.

E-Learning Library Subscription (EL-ELCL000)

This option provides a full year of access to all of FINRA's e-learning courses, including all newly released courses, for a single low price per user. Search for the E-Learning Library (EL-ELCL000) in our online catalog.

Electronic Communications: What Independent Registered Representatives Need to Know (EL-ELC216) **– NEW**

This course helps independent registered representatives understand their responsibilities with respect to electronic communications. It shows how regulatory standards apply to social media and other electronic communications.

Electronic Communications: What Retail Staff Need to Know (EL-ELC213) **– NEW**

This course helps retail registered representatives understand the requirements applicable to all communications with the public and shows how regulatory standards apply to social media and other electronic communications.

Electronic Communications: What Supervisors Need to Know (EL-ELC214) **– NEW**

This course helps supervisors understand their responsibilities with respect to electronic communications. It shows how regulatory standards apply to social media and other electronic communications.

Electronic Communications: What Wholesalers Need to Know (EL-ELC215) **– NEW**

This course helps wholesalers understand their compliance responsibilities with respect to electronic communications. It shows how regulatory standards apply to social media and other electronic communications.

Ethical Considerations for Institutional Sales Representatives (EL-ELC173)

This course presents six common ethical principles and selected decision-making models for institutional sales representatives to consider when facing ethical dilemmas. Scenarios demonstrate how these models can be practically applied to common ethical challenges faced by securities professionals.

Ethical Considerations for Operations Professionals (EL-ELC172)

This course presents six common ethical principles and selected decision-making models for operations professionals to consider when facing ethical dilemmas. Scenarios demonstrate how these models can be practically applied to common ethical challenges faced by securities professionals.

Ethical Considerations for Registered Representatives (EL-ELC170)

This course presents six common ethical principles and selected decision-making models for registered representatives to consider when facing ethical dilemmas. Scenarios demonstrate how these models can be practically applied to common ethical challenges faced by securities professionals.

Ethical Considerations for Supervisors (EL-ELC171)

This course presents six common ethical principles and selected decision-making models for supervisors to consider when facing ethical dilemmas. Scenarios demonstrate how these models can be practically applied to common ethical challenges faced by securities professionals.

Exchange-Traded Products: Understanding Leveraged and Inverse ETPs (EL-ELC179)

This course explains exchange-traded products (ETPs), with a particular focus on leveraged and inverse ETPs. It describes the factors that can affect the performance of these products, including the effect of compounding on daily reset, and identifies the benefits and risks of investing in these non-traditional ETPs.

Fixed Income Suitability: Retail Sales Practices (EL-ELC125)

This course reviews fixed income product characteristics and risk factors, and illustrates the unique suitability considerations and regulatory subtleties associated with the sale of these securities.

Foreign Corrupt Practice Act: Avoiding Improper Payments: (EL-ELC110)

In today's international business climate, securities professionals must understand and comply with regulations governing corruption and bribery in business practices around the globe. The course covers handling of indirect payments, interactions with intermediaries and government officials, recordkeeping and due diligence.

Hedge Funds: Understanding Sales Practice Responsibilities (EL-ELC118)

This course explains a registered representative's sales practice obligations when recommending hedge funds and/or funds of hedge funds to retail investors. Scenarios reinforce the importance of balanced disclosure in sales efforts and illustrate customer-specific suitability determinations.

Insider Trading (EL-ELC157)

This course explains insider trading and the consequences of the intentional or inadvertent misuse of material, nonpublic information. Scenarios illustrate typical situations and emphasize the importance of maintaining confidentiality when in possession of material, nonpublic information.

Life of an Equity Trade (EL-VLC008)

This course provides an overview of the equity trading process. It describes the path of an equity trade from order through entry, execution and settlement. It also highlights several important equity trading rules.

MSRB Supervision Rules (EL-VLC009)

Under the rules of the Municipal Securities Rulemaking Board (MSRB), firms must supervise their municipal securities business. This course provides an overview of municipal securities supervision requirements.

Outside Business Activities (EL-ELC132)

This course covers regulations governing the treatment of outside business activities and reviews factors a registered representative should consider before participating in an outside business activity or conducting a private securities transaction.

Outside Business Activities for Independent Registered Representatives (EL-ELC 185)

This course covers regulations governing the treatment of outside business activities and reviews factors an independent registered representative should consider before participating in an outside business activity or conducting a private securities transaction. Using real industry scenarios, this course illustrates how regulatory requirements for outside business activities apply to independent registered representatives.

Outside Business Activities for Wholesalers (EL-ELC 184)

This course covers regulations governing the treatment of outside business activities and reviews factors registered wholesalers—who are required to know and follow FINRA rules as well as firm policies and procedures governing outside business activities—should consider before participating in an outside business activity or conducting a private securities transaction.

Penny Stock Sales (EL-ELC160)

This course explains the penny stock rules and a registered representative's sales practice obligations when recommending penny stocks. Scenarios reinforce the importance of disclosure and customer-specific suitability determinations.

Privacy Considerations: Conducting Business With Institutional Clients (EL-ELC198)

This course addresses two distinct privacy considerations that institutional sales representatives may encounter in their day-to-day business activities: the importance of protecting private client information and the need to maintain confidentiality when suspicious activity is encountered. Activities and case studies provide opportunities to explore and reinforce how to apply core concepts.

Private Placements (EL-VLC010)

This course covers private and public securities offerings that do not require registration under federal securities laws. It explains what registered representatives should know to comply with related requirements, including rules that govern the resale of these securities.

Private Placements: Conducting Reasonable Investigations for Regulation D Offerings (EL-ELC186)

This course uses case studies adapted from FINRA enforcement actions to illustrate the duty to conduct reasonable investigations concerning Regulation D offerings. It covers the use of private placements as a source of capital and sales practice abuses that can occur with such securities.

Retail Branch Office Supervision: Compliance With Regulations (EL-ELC126)

Focusing on retail branch offices, this course reviews key supervisory obligations. Participants review topics on the supervision of sales practices and the consequences of failing to adequately supervise.

Retail Branch Office Supervision: Understanding Supervisory Responsibilities (EL-ELC127)

This course covers the regulatory and compliance obligations of retail branch office managers and supervisors. Scenarios address hiring practices, monitoring of sales activity and communications, and delegation—and the consequences of not fulfilling supervisory obligations.

Retail Supervision: Sales to Senior Investors (EL-ELC139)

This course reviews the supervisory obligations of retail broker-dealers. Participants review scenarios involving suitability analyses and supervisory challenges relating to sales seminars, designations and suitability of products geared toward senior investors.

Senior Investor Issues: Diminished Decisional Capacity (EL-ELC158)

This course consolidates the insights and research of leading academic, medical and legal professionals, psychologists and organizations on the topic of diminished decisional capacity. It provides information that registered representatives may find useful for identifying, working with and responding to senior investors or other customers with potential diminished—or diminishing—decisional capacity.

Suitability and Know Your Customer Obligations: FINRA Rules 2111 and 2090 (EL-ELC197)

This course demonstrates the key requirements of FINRA's suitability and know your customer rules, and specific obligations of firms and associate persons under those rules.

Supervision: Obligations for Firms With Institutional Clients (EL-ELC116)

This course covers the regulatory and compliance obligations of supervisors at firms servicing institutional clients. Scenarios highlight responsibilities of supervisors in various business areas, including trading, institutional sales, proprietary trading and investment banking. Participants review the challenges in hiring and supervising staff, delegation and failure to document, and the consequences of failing to perform supervisory duties.

Supervision: Obligations When Monitoring Sales and Trading (EL-ELC202)

This course uses case studies adapted from actual disciplinary actions to remind supervisors of their obligations to monitor sales and trading. It helps supervisors better understand the potential consequences of failing to carry out their supervisory responsibilities.

Supervisory Considerations for Working With Seniors (EL-VLC002)

This course describes what to be aware of when supervising sales to seniors, and focuses on suitability and important communications issues.

Understanding Commodity Futures-Linked Securities (EL-ELC 181)

This course explains commodity futures-linked securities and the factors that can affect the performance of these products.

Understanding Retail Structured Products (EL-ELC174)

This course explains the basics of retail structured products as an investment class. It also describes the features of some of their more common forms and related risks associated with them.

Understanding Social Media for Retail Registered Representatives (EL-ELC217) **– NEW**

This course helps registered representatives understand the requirements that apply when using social media for business communications with the public. It also shows how regulatory standards apply to the use of social media.

Use of Social Media for Business Purposes (EL-ELC163)

This course is designed to help registered representatives and other industry professionals understand how to comply with the regulatory requirements relating to the use of social media, such as stock blog postings, Facebook status updates, "tweets" and more.

Variable Annuities: Sales Practice Issues for 1035 Exchanges (EL-ELC119)

This course explains 1035 exchanges and suitability factors that must be considered before recommending an exchange. Scenarios reinforce suitability considerations, mandatory disclosure requirements and the consequences of failing to meet 1035 exchange requirements.

Variable Annuities: Suitability and Disclosure for New Purchases (EL-ELC113)

This course explains variable annuities and the unique suitability factors that must be considered before recommending this complex investment product. Scenarios lead participants through suitability determinations based on a customer's financial situation and investment objectives.

Group Purchases

Purchase library subscriptions for three or more employees at your firm and receive a training manager login to track completion records and review employee performance. With a training manager login, you can also set deadlines for employees, which trigger automatic emails and alerts to remind staff about pending or overdue completion deadlines.

For more information on group purchase options and pricing, visit *www.finra.org/elearning/group,* or contact us at *education@finra.org* or (800) 321-6273.

FINRA's anti-money laundering (AML) e-learning courses cover concepts and strategies for detecting and preventing money-laundering activity. Each course presents unique scenarios that illustrate typical money-laundering situations.

AML – Independents Series

AML – Independents: Understanding Your Compliance Obligations (EL-ELC206)

In this course, scenarios highlight risks independent firms and registered representatives face when handling unusual account activity and expediting the account-opening process.

AML – Institutional Series

AML – Institutional: Customer Identification Procedures (EL-ELC152)

Scenarios illustrate the customer identification process and address typical situations involving institutional customers.

AML – Institutional: Due Diligence for Foreign Correspondent Accounts (EL-VLC013)

This course describes anti-money laundering due diligence requirements for working with foreign correspondent accounts. It includes a discussion of what correspondent accounts are and a focus on due diligence requirements for them.

AML – Institutional: Escalating Concerns of Unusual Activity and Responsibilities for Due Diligence (EL-ELC176)

Scenarios demonstrate the need to obtain proper customer identification for institutional accounts and emphasize the importance of due diligence.

AML – Institutional: Exploring New Risks (EL-ELC135)

Scenarios cover situations involving a suspect sub-account, including account opening and subsequent trading and funding activity, and due diligence with a high-risk client.

AML – Institutional: Identification and Reporting Issues (EL-ELC121)

Scenarios cover trading activity inconsistent with investment objectives, extra due diligence requirements for an acquisition and new account opening with a politically exposed person.

AML – Institutional: Identifying and Managing Higher-Risk Clients (EL-ELC112)

Scenarios include situations involving new account openings with institutional customers, including a hedge fund and a client with existing accounts elsewhere at the firm.

AML – Institutional: Recognizing Red Flags (EL-ELC144)

Scenarios illustrate the customer identification process and address typical situations involving institutional customers.

AML – Institutional: Understanding Your Compliance Obligations (EL-ELC207)

In this course, scenarios highlight risks institutional firms and registered representatives face when handling unusual account activity and expediting the account-opening process.

AML – Institutional: Your Role in Detecting and Deterring Money-Laundering Activity (EL-ELC192)

Activities in this course demonstrate why prompt escalation of suspicious activities is essential. Your firm does not need to confirm that a crime has been committed before it files a report, and you do not need evidence that a transaction involves illegal activity before you escalate the situation.

Does your firm use a vendor for its training needs? Your Firm Element training vendor may offer FINRA's courses. If not, ask.

AML – Operations Series

AML – Operations: Customer Identification Procedures (EL-ELC153)

Scenarios focus on the responsibility of all employees to escalate suspicious activity and possible red flags, and illustrate the value of account monitoring by operations staff.

AML – Operations: Escalating Concerns of Unusual Activity and Responsibilities for Due Diligence (EL-ELC177)

Scenarios demonstrate how an operations professional can recognize methods money launderers may use and when to escalate concerns related to unusual account activity.

AML – Operations: Recognizing Red Flags (EL-ELC150)
Scenarios illustrate the customer identification process and address typical situations involving retail customers.

AML – Operations: Your Role in Detecting and Deterring Money-Laundering Activity (EL-ELC193)

Scenarios demonstrate the role of operations professionals in detecting and reporting suspicious activity. Firms are required to report a broad range of suspicious activities even if they do not have actual knowledge that a transaction involves criminal activity.

AML – Operations Staff: Understanding Your Compliance Obligations (EL-ELC208)

In this course, scenarios highlight risks operations staff face when handling unusual account activity and expediting the account-opening process.

AML – Retail Series

AML – Retail: Due Diligence for Private Banking Accounts (EL-VLC014)

This course describes anti-money laundering due diligence requirements for working with private banking clients. It includes a discussion of what private banking accounts are and a focus on due diligence requirements for them.

AML – Retail: Customer Identification Procedures (EL-ELC154)

This course illustrates the customer identification process and addresses typical situations involving retail customers.

AML – Retail: Exploring New Risks (EL-ELC136)

Scenarios address challenges in customer identification procedures when the new client is a friend or acquaintance, or a politically exposed person; and appropriate courses of action for a representative who unknowingly becomes involved in questionable transactions.

AML – Retail: Recognizing and Escalating Suspicious Activity (EL-ELC111)

Scenarios address customer identification and suspicious activity monitoring in different account opening situations—with a new client, a new account for a long-term client, and a non-U.S. customer.

AML – Retail: Recognizing Red Flags (EL-ELC145)

Scenarios cover customer identification program requirements for new accounts with a referred customer, and emphasize the importance of knowing your customer and the nature of the customer's business when monitoring an account.

AML – Retail: Customer Due Diligence (EL-ELC120)

Scenarios review the importance of "knowing your customer," with situations involving a newly referred client and a new account for the real estate LLC of a long-term client.

AML – Retail: Understanding Your Compliance Obligations (EL-ELC205)

In this course, scenarios highlight risks retail firms and registered representatives face when handling unusual account activity and expediting the account-opening process.

AML – Retail: Variable Annuities and Variable Life Insurance (EL-ELC164)

Scenarios demonstrate how to detect methods money launderers may use to exploit provisions in variable annuities and variable life insurance contracts—including the loan provision, free-look provision and gifting—in order to prevent money-laundering activity.

AML – Retail: Your Role in Detecting and Deterring Money-Laundering Activity (EL-ELC191)

Scenarios demonstrate the need to detect and report suspicious activity. Firms are required to report a broad range of suspicious activities even if they do not have actual knowledge that a transaction involves criminal activity.

AML – Wholesaler Series

AML – Wholesalers: Understanding Your Compliance Obligations (EL-ELC209)

In this course, scenarios highlight risks wholesale firms and registered representatives face when handling unusual account activity and expediting the account-opening process.

AML – Wholesalers: Your Role in Detecting and Deterring Money- Laundering Activity (EL-ELC194)

Brief scenarios demonstrate the need to detect and report suspicious activity. If you see something, say something—even if you don't work directly with individual customers. Firms are required to report a broad range of suspicious activities even if they do not have actual knowledge that a transaction involves criminal activity.

AML – Compliance Series

AML – Compliance: Suspicious Activity Surveillance – Part 1 (EL-ELC195)

This course is the first course in a two-part anti-money laundering series for compliance staff. The activities in this course aim to help compliance professionals identify the types of red flags that could trigger a SAR filing, and illustrate ways to examine and respond to red flags.

AML – Compliance: Suspicious Activity Surveillance – Part 2 (EL-ELC196)

This course is the second in a two-part anti-money laundering series for compliance staff. The case studies in this course demonstrate monitoring techniques to prepare broker-dealer compliance staff to identify, investigate and report suspicious activity in customer accounts. It also includes practice on how to write an effective SAR narrative.

E-Learning Library Subscription – the Firm Element Option

You can access all of FINRA's e-learning courses, including all newly released courses, for a full year, for a single low price per user. Search for the E-Learning Library (EL-ELCL000) in our online catalog.

Retired Regulatory Element Program Scenarios

FINRA offers an archive of interactive scenarios that were formerly part of CE Regulatory Element. These scenarios depict situations in which regulatory or compliance issues arise and include interactive questions and exercises.

Note that scenarios reflect the industry rules and regulations in effect at the time they were active in the Regulatory Element. Scenario users should consult the FINRA Manual for the most up-to-date rules.

Browse FINRA's online catalog for scenario titles by topic or keyword. Or choose the Scenarios Library (EL-RCEL000) for access to all retired regulatory element program scenarios.

FINRA's e-learning courses cover a wide range of compliance topics, such as:

- Anti-Money Laundering
- Books and Records
- Business Conduct, including Conflicts of Interest and Ethics
- Communications with the Public, including Social Media
- Fraud Detection and Prevention
- Insurance and Annuity Products
- Sales Practices, including Senior Investor Sales Practice Issues
- Securities Products
- Suitability and Know Your Customer Obligations
- Trading Practices

And, many courses address more than one of these subject areas.

Search the Online Catalog for Courses and Pricing

Access the online catalog in FINRA's Learning Management System to browse for courses by subject area, or search for courses using specific key words or phrases.

Are you already using FINRA e-learning courses for your firm's training program?

If you identify a new course that you want to take or that you want to assign to an employee at your firm, visit *www.finra.org/finraeducation*, log in to FINRA's learning management system, search for and select the course, and add it to the appropriate user's learning plan.

Are you new to FINRA e-learning courses and work for a FINRA firm?

FINRA's e-learning courses offer affordable compliance solutions for firmwide Firm Element training and targeted training on specific issues. And, we offer discounted pricing for purchasers from FINRA firms. Visit *www.finra.org/finraeducation/member* to search the online catalog for courses and for member firm pricing.

Are you new to FINRA e-learning courses and work for a non-member firm?

FINRA's e-learning courses provide affordable online training on the industry's most important compliance issues. Visit *www.finra.org/finraeducation/nonmember* to search the online catalog for courses and non-member pricing.

Does your firm already have a vendor for its training needs?

Your Firm Element training vendor may offer FINRA's courses. If not, ask them to carry FINRA courses.

New courses are added throughout the year. Visit *www.finra.org/elearning/catalog* for the most up-to-date version of this catalog.

Investor protection. Market integrity.

1735 K Street, NW
Washington, DC 20006-1506
www.finra.org

© 2013 FINRA. All rights reserved.
13_0074.4 – 05/13