

Information Notice

CE Online and S101 Personalization

This *Notice* advises firms and registered representatives of several upcoming changes to the S101 Regulatory Element CE Program.

As of January 4, 2016, the S101 Regulatory Element Program will be available through the CE Online Program. Individuals who have an S101 CE enrollment window that is open on January 4, 2016, may take it using the FINRA CE Online System™ instead of going to a testing center. The session will need to be completed by the required end date of their Regulatory Element CE 120-calendar-day window. Please see FINRA's [CE Online](#) Web page for further information about satisfying the S101 Regulatory Element Program via CE Online.

FINRA is revising the S101 Regulatory Element CE Program to include a self-selection module based on job function. Participants will be presented with a minimum of one case from Modules A, B and C. These three modules have been revised to be more general in nature. In Module D, participants will select a category that is most relevant to their job function, allowing them to receive content focused on their specific responsibilities. The modules will cover the following subject matter:

- ▶ **Module A:** Responsibilities to Customers: Communications with the Public, Suitability, and Basic Product Knowledge
- ▶ **Module B:** Operational Responsibilities: Customer Accounts, Trade and Settlement, New and Secondary Offering Procedures
- ▶ **Module C:** Regulatory Responsibilities: Registration Requirements, Complaints, Reporting Requirements, Prohibited and Fraudulent Behavior, Anti-Money Laundering
- ▶ **Module D:** This module is organized into five common job functions:
 - D.1 Retail Sales
 - D.2 Institutional Sales
 - D.3 Trading
 - D.4 Operations
 - D.5 Investment Banking and Research

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Suggested Routing

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

Key Topic(s)

- ▶ Continuing Education
- ▶ Equity Trader
- ▶ Proprietary Trader
- ▶ Regulatory Element
- ▶ Securities Trader

The new S101 Personalized Content Outline is available on [FINRA's website](#).

The Securities Trader (TD) registration (S57), replaces the Equity Trader (ET) registration (S55) and the Proprietary Trader (PT) registration (S56), which will be retired on January 4, 2016. Persons holding the PT and/or ET Registrations will automatically receive the TD Registration. Participants who hold the TD registration will be required to take the S101 CE Program and can select Trading for their personalized module. For more information, please see FINRA's [CE Online](#) page.

Questions about this *Notice* may be directed to:

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