

INFORMATIONAL

Continuing Education

Securities Industry/Regulatory Council On Continuing Education Announces Continuing Education Web Site

SUGGESTED ROUTING

The Suggested Routing function is meant to aid the reader of this document. Each NASD member firm should consider the appropriate distribution in the context of its own organizational structure.

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

KEY TOPICS

- Continuing Education
- Firm Element
- Regulatory Element

Executive Summary

The Securities Industry/Regulatory Council on Continuing Education (Council), on which the National Association of Securities Dealers, Inc. (NASD®) participates, has developed a Web Site containing information, publications, and reference materials relative to the Securities Industry Continuing Education Program. The Web Site's address is www.securitiescep.com and was launched on October 26, 2001.

In addition to its value as an archive of continuing education information, the Council Web Site contains the following features.

- An easy-to-use software application, the Firm Element Organizer, can aid member firms in the development of their Firm Element training plans. The Firm Element Organizer prompts the user to identify specific investment products or services and select training topics from a defined list. The Firm Element Organizer then searches an extensive database and provides a report listing relevant resources sorted by investment product or service. A user can then edit the report with a word processing program to help create a written Firm Element plan.
- Retired scenarios from the Regulatory Element may be ordered for a nominal fee from a catalogue on the Web Site. Available on CDs, these scenarios can be used for development of training for the Firm Element or for other compliance needs. Registered persons taking the Regulatory

Element for the first time may also find them helpful. At this time only scenarios from the Regulatory Element General Program (S101) are available, but scenarios from the Supervisor's Program (S201) will be available in the near future.

- A user can register for e-mail alerts of new rules, regulations, and other subjects of interest related to securities industry continuing education.
- A "Contact Us" feature allows the user to submit questions regarding the Regulatory and Firm Elements.

Questions/Further Information

Questions about this *Notice* may be directed to John Linnehan, Director, Continuing Education, NASD Regulation, Inc., at (240) 386-4684; or Heather Bevans, Continuing Education Communications Coordinator, NASD Regulation, Inc., at (240) 386-4685.

Background

The Council includes 14 members representing a cross-section of securities firms and six SROs.¹ The Council facilitates industry/regulatory coordination of the administration and future development of the Continuing Education Program. The Council recommends and helps develop specific content and questions for the Regulatory Element programs and minimum core curricula for the Firm Element.

Endnote

- 1 The American Stock Exchange, Inc., the Chicago Board Options Exchange, Inc., the Municipal Securities Rulemaking Board, the National Association of Securities Dealers, Inc., the New York Stock Exchange, Inc., and the Philadelphia Stock Exchange, Inc., are members of the Council.

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