Information Notice

Continuing Education Planning

November 26, 2007

Suggested Routing

- Compliance
- Continuing Education
- Legal
- Training

Key Topic(s)

- Continuing Education
- Firm Element

Referenced Rules & Notices

- Notice 07-56

Executive Summary

In November 2007, the Securities Industry/Regulatory Council on Continuing Education (the Council) released the semi-annual Firm Element Advisory. The Council suggests that firms consult this guide when developing their Firm Element needs analysis.

FINRA's training resource library includes a range of online offerings that address many of the topics that the Council has outlined in the Firm Element Advisory and may be suitable for Firm Element training.

FINRA's online training resources for frontline staff are available in two formats:

- Webcasts – on-demand streaming video presentations that are generally 10 minutes in length. Webcasts are available at no charge and offer monthly completion tracking.
- E-Learning Courses – in-depth, 25- to 30-minute online courses with optional post-course assessments. E-Learning courses are available for a nominal charge and offer on-demand completion tracking and course completion certificates.

This *Notice* outlines the FINRA webcasts and e-learning courses that relate to specific Firm Element Advisory topics. Firms may find these resources useful as they develop their Firm Element training plans.

For more information about FINRA's online training courses, visit *www.finra.org/webcast* and *www.finra.org/elearning*.

FINRA™
Financial Industry Regulatory Authority

Firm Element Advisory Topics	FINRA Online Learning Options
Anti-Money Laundering	**For frontline staff and supervisors:** Anti-Money Laundering: Do You Know Your Customer? (Webcast) Anti-Money Laundering: Examples of Red Flags (Webcast) Anti-Money Laundering – Retail (E-Learning Course) Anti-Money Laundering – Retail: Exploring New Risks (E-Learning Course) Anti-Money Laundering – Retail: Recognizing and Escalating Suspicious Activity (E-Learning Course) Anti-Money Laundering – Retail: The Responsibility to Know Your Customer (E-Learning Course) **For firms with institutional clients:** Anti-Money Laundering – Institutional (E-Learning Course) Anti-Money Laundering – Institutional: Exploring New Risks (E-Learning Course) Anti-Money Laundering – Institutional: Identification and Reporting Issues (E-Learning Course) Anti-Money Laundering – Institutional: Identifying and Managing Higher-Risk Clients (E-Learning Course) Anti-Money Laundering – Institutional: Know Your Customer (Webcast) **For operations staff:** Anti-Money Laundering: Responsibilities of Operations Staff (E-Learning Course) Anti-Money Laundering for Operations Staff (Webcast)

Firm Element Advisory Topics	FINRA Online Learning Options
Communications *Approval of Correspondence* *Electronic Communications (Supervision)*	Communications with the Public: An Introduction to Compliance Issues (E-Learning Course) Communications with the Public: What a Registered Representative Should Know (Webcast)
Electronic Communications (Recordkeeping)	Books and Records (E-Learning Course) Books and Records: What a Registered Representative Needs to Know (Webcast)
Gifts and Business Entertainment *Gifts and Gratuities*	Business Gifts (Webcast)
Influencing or Rewarding Employees of Others	Business Entertainment (Webcast)
Insurance Annuities *Life Settlements*	Life Settlements (Webcast)
Sale of Unregistered Equity-Indexed Annuities	Equity-Indexed Annuities Considerations (Webcast)
Margin and Margin Accounts	Margin Accounts (Webcast)
Markups/Markdowns	Debt Mark-Ups (E-Learning Course) Debt Mark-Ups (Webcast)
Municipal Securities *Municipal Fund Securities* *Political Contributions and Solicitation of Municipal Securities Business*	MSRB Issues (Webcast)

Firm Element Advisory Topics	FINRA Online Learning Options
Sales Practices	
Mutual Fund/Variable Annuity Sales Practices and Supervision	Mutual Fund Breakpoints (Webcast)
	Mutual Funds Sales Practice: Share Classes and Breakpoints (E-Learning Course)
	Suitability Issues: Considerations for Product Exchanges (Webcast)
	Variable Annuity: Principal Review (Webcast)
	Variable Annuities: Sales Practice Issues for 1035 Exchanges (E-Learning Course)
	Variable Annuities: Suitability and Disclosure for New Purchases (E-Learning Course)
	Variable Annuities: Suitability Issues (Webcast)
New Products	Equity-Indexed Annuity Considerations (Webcast)
	New Products Suitability Considerations (Webcast)
	Structured Products (Webcast)
Senior Investors	Considerations for Working with Seniors (Webcast)
	Retail Supervision: Emerging Investor Issues (E-Learning Course)
	Senior Investor Suitability Considerations (E-Learning Course)
	Supervisory Considerations for Working with Seniors (Webcast)
Supervision	
Customer Complaints	Customer Complaint Handling (E-Learning Course)
Supervising Recommendations of Newly Associated Registered Representatives to Sell a Product and Replace it with Another	Suitability Issues: Considerations for Product Exchanges (Webcast)
	Variable Annuities: Sales Practice Issues for 1035 Exchanges (E-Learning Course)