

Continuing Education

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

Executive Summary

This Notice advises firms of the second-quarter 2009 Securities Industry/Regulatory Council on Continuing Education Firm Element Advisory, which identifies regulatory and sales practice topics that firms should consider in their Firm Element training plans. Topics updated or added since the prior Advisory are indicated in the document as such.

The updated Firm Element Advisory is available at www.cecouncil.com/publications/council_publications/FEA_Semi_Annual_Update.pdf

Questions concerning this Notice should be directed to:

- cecounciladmin@finra.org; or
- Roni Meikle, Director, Continuing Education, FINRA, at (646) 315-8688.

Background/Discussion

The Securities Industry/Regulatory Council on Continuing Education (the Council) publishes the Firm Element Advisory (FEA) to highlight current regulatory and sales practice issues for possible inclusion in Firm Element training plans. The topics have been identified from a review of industry regulatory and self-regulatory organization publications and announcements of significant events.

The Advisory 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.

The updated FEA is available on the Council's Web site at www.cecouncil.com/publications/council_publications/FEA_Semi_Annual_Update.pdf

May 2009

Notice Type

- Guidance

Suggested Routing

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

Key Topic(s)

- Continuing Education
- Firm Element

In addition to the FEA, the Council offers the Firm Element Organizer as a resource that can assist firms in developing their Firm Element training plans. The Firm Element Organizer is a Web-based tool that enables the search of an extensive database of regulatory resources related to specific investment products or services and is available at www.cecouncil.com/firm_element/organizer.