

Information Notice

Continuing Education

Changes to the S101 and S106 Regulatory Element Continuing Education Programs

On January 4, 2010, FINRA will implement redesigned versions of the S101 and S106 Regulatory Element Programs in an effort to improve and keep the Continuing Education Program current and relevant. The S101 Regulatory Element Program (*i.e.*, the General Program) is required for all registration categories except for Series 6 or supervisory/principals. The S106 Regulatory Element Program is required for Series 6 registered persons.

Individuals who schedule an S101 or S106 session on or after January 4 will see the redesigned programs, which include new story-based cases and an updated user interface. The new programs, which have been streamlined to include only four modules, integrate topics such as ethics and business conduct, as well as compliance, registration/licensing and reporting requirements.

To help individuals become familiar with the revised programs, FINRA has made available online the related content outlines, an animated orientation and brief sample case at www.finra.org/ce/training.

The registration process for the S101 and S106 Regulatory Element Programs is unchanged. Individuals may continue to register online for sessions through the Pearson and Prometric test center Web sites or via telephone.

Further information about the redesigned programs, including how to register, is available at www.finra.org/ce/training.

Questions about this *Notice* may be directed to:

- John Kalohn, Vice President, Testing and Continuing Education, at (240) 386-5800; or
- Roni Meikle, Director, Continuing Education, at (646) 315-8688.

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Suggested Routing

- Compliance
- Continuing Education
- Registered Representatives
- Registration
- Training

Key Topics

- Continuing Education
- Regulatory Element Program
- Series 6 and 7