Information Notice

April 15, 2010

Continuing Education Planning

Executive Summary

On April 14, 2010, the Securities Industry/Regulatory Council on Continuing Education (the Council) released the semi-annual Firm Element Advisory (FEA) (see *Regulatory Notice 10-20*). The Council suggests that firms consult the FEA when developing their Firm Element training needs analysis.

FINRA offers the following online training resources that address many of the topics that the Council has outlined in the FEA.

E-Learning Courses: Online training featuring assessment tests, scenarios, real-time completion tracking and certificates of completion (see *www.finra.org/elearning*).

Podcasts: Short audio recordings on specific targeted topics, which can be heard online or downloaded to a portable media player (see *www.finra.org/podcasts*).

Send questions regarding this *Notice* to *education@finra.org*.

FIRM ELEMENT ADVISORY TOPIC	FINRA OFFERINGS
FINRA Consolidated Rulebook	Rulebook Consolidation Podcast Series
Alternative Investments	**Reverse Exchangeable Securities (Reverse Convertibles)** **Principal Protected Notes** • Structured Products (E-Learning) • Reverse Convertibles (Podcast)
	Exchange-Traded Funds • Non-Traditional Exchange-Traded Funds (Podcast)

Financial Industry Regulatory Authority

Suggested Routing

- Compliance
- Continuing Education
- Legal
- Training

Key Topics

- Continuing Education
- Firm Element

Referenced Rules & Notices

- Notice 10-20

FIRM ELEMENT ADVISORY TOPIC	FINRA OFFERINGS
Anti-Money Laundering	**For Staff Working With Retail Customers:** • AML—Retail: Exploring New Risks (E-Learning) • AML—Retail: Recognizing and Escalating Suspicious Activity (E-Learning) • AML—Retail: The Responsibility to Know Your Customer (E-Learning) • AML—Retail: Recognizing Red Flags (E-Learning) • AML—Retail: Customer Identification Procedures (E-Learning)
	For Staff Working With Institutional Customers: • AML—Institutional: Exploring New Risks (E-Learning) • AML—Institutional: Identification and Reporting Issues (E-Learning) • AML—Institutional: Identifying and Managing Higher-Risk Clients (E-Learning) • AML—Institutional: Recognizing Red Flags (E-Learning) • AML—Institutional: Customer Identification Procedures (E-Learning)
	For Operations Staff: • AML—Operations: Recognizing Red Flags (E-Learning) • AML—Operations: Customer Identification Procedures (E-Learning)
	For Compliance Staff: • AML Law Enforcement Requests (Podcast)
Business Continuity	• Business Continuity Planning: Recent Survey Findings (Podcast) • Pandemic Preparedness – Parts I & II (Podcast)
Communications With the Public	• Communications With the Public: An Introduction to Compliance Issues (E-Learning) • Principal Approval of Sales Material (Podcast) • Seniors: Communications (Podcast)
	Blogs and Social Networking • Use of Social Media for Business Purposes (E-Learning) • Electronic Communications: Social Networking Web Sites (Podcast) • Electronic Communications: Blogs, Bulletin Boards and Chat Rooms (Podcast) • Electronic Communications: Web Sites (Podcast)

FIRM ELEMENT ADVISORY TOPIC	FINRA OFFERINGS
Corporate Finance and Institutional Business	**Conflicts of Interest** • Conflicts of Interest (E-Learning)
	Member Private Offerings • Private Placements (E-Learning)
	Resales of Unregistered Restricted Securities • Unregistered Resales of Restricted Securities (Podcast)
Customer Accounts	**Customer Account Transfers** • Report of the Customer Account Transfer Taskforce (Podcast)
	Trading Ahead of Customer Limit Orders • Life of an Equity Trade (E-Learning)
	Customer Information Security • Customer Information Protection for Registered Representatives (E-Learning) • Customer Information Protection for Supervisors (E-Learning)
Finance and Operations	**Recordkeeping Requirements** • Record Retention Relief (Podcast) • Books and Records (E-Learning)
Registration and Disclosure	**Revised Forms U4 and U5** • What to Expect: The U4 and U5 Filing Process (Podcast)
Insurance and Annuities	**Deferred Variable Annuities** • Variable Annuities: Sales Practice Issues for 1035 Exchanges (E-Learning) • Variable Annuities: Suitability and Disclosure for New Purchases (E-Learning) • Variable Annuities: Requirements for Representatives (E-Learning) • Variable Annuities: Requirements for Supervisors (E-Learning) • Deferred Variable Annuities (Podcast)
	Variable Life Settlements • Variable Life Settlements and Transactions in Related Investment Products - Your Firm's Obligations - Part I & II (Podcast)

FIRM ELEMENT ADVISORY TOPIC	FINRA OFFERINGS
Municipal Securities	• MSRB Supervision Rules (E-Learning) • Debt Mark-Ups (E-Learning)
Research	**Trading Ahead of Research Reports** • Trading Ahead of Research Reports (Podcast)
Sales Practices and Supervision	• Retail Branch Office Supervision: Compliance With Regulations (E-Learning) • Retail Branch Office Supervision: Understanding Supervisory Responsibilities (E-Learning) • Supervision: Obligations for Firms With Institutional Clients (E-Learning) • Supervision of Recommendations After a Registered Representative Changes Firms (Podcast) • Understanding Supervisory Controls (Podcast) • Supervisory Considerations for Working With Seniors (E-Learning) • Retail Supervision: Sales to Senior Investors (E-Learning) • Unauthorized Proprietary Trading (Podcast) • 529 College Savings Plan Sales Practices (E-Learning)
Trading Practices and Supervision	• Insider Trading (E-Learning) • Penny Stock Sales (E-Learning) • Mutual Fund Sales Practice (E-Learning)
Transaction Reporting and Data Dissemination	• Life of an Equity Trade (E-Learning)