

Information Notice

Continuing Education Planning

Executive Summary

On October 15, 2010, the Securities Industry/Regulatory Council on Continuing Education (the Council) released the semi-annual Firm Element Advisory (FEA) (see *Regulatory Notice 10-50*). 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	Exchange-Traded Funds • Non-Traditional Exchange-Traded Funds (Podcast)
	Principal-Protected Notes • Principal-Protected Notes (Podcast) • Structured Products (E-Learning)
	Reverse Exchangeable Securities (Reverse Convertibles) • Reverse Convertibles (Podcast)

October 15, 2010

Compliance

- Continuing Education
- Legal
- Training

Key Topics

- Continuing Education
- Firm Element

Referenced Rules & Notices

- Notice 10-50

FIRM ELEMENT ADVISORY TOPIC	FINRA OFFERINGS
Anti-Money Laundering	For Staff Working With Retail Customers: • AML—Retail: Customer Identification Procedures (E-Learning) • AML—Retail: Exploring New Risks (E-Learning) • AML—Retail: Recognizing and Escalating Suspicious Activity (E-Learning) • AML—Retail: Recognizing Red Flags (E-Learning) • AML—Retail: The Responsibility to Know Your Customer (E-Learning) • AML—Retail: Variable Annuities and Variable Life Insurance (E-Learning)
	For Staff Working With Institutional Customers: • AML—Institutional: Customer Identification Procedures (E-Learning) • AML—Institutional: Escalating Concerns of Unusual Activity and Responsibilities for Due Diligence (E-Learning) • 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)
	For Operations Staff: • AML—Operations: Customer Identification Procedures (E-Learning) • AML—Operations: Escalating Concerns of Unusual Activity and Responsibilities for Due Diligence (E-Learning) • AML—Operations: Recognizing Red Flags (E-Learning)
	For Compliance Staff: • AML Law Enforcement Requests (Podcast) • Anti-Money Laundering Template Podcast Series
Business Continuity	• Business Continuity Planning: Recent Survey Findings (Podcast) • FINRA’s Business Continuity Planning Template (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)

FIRM ELEMENT ADVISORY TOPIC	FINRA OFFERINGS
Communications With the Public	Blogs and Social Networking • Electronic Communications: Blogs, Bulletin Boards and Chat Rooms (Podcast) • Electronic Communications: Social Networking Web Sites (Podcast) • Electronic Communications: Web Sites (Podcast) • Use of Social Media for Business Purposes (E-Learning)
Corporate Finance and Institutional Business	Conflicts of Interest • Conflicts of Interest (E-Learning) • Conflicts of Interest in Public Offerings (Podcast) Ethics • Ethical Considerations for Institutional Operations Professionals (E-Learning) • Ethical Considerations for Institutional Registered Representatives (E-Learning) • Ethical Considerations for Institutional Sales Representatives (E-Learning) Member Private Offerings • Private Placements (E-Learning) Resales of Unregistered Restricted Securities • Unregistered Resales of Restricted Securities (Podcast)
Customer Accounts	Consolidated Account Reports • Consolidated Account Reports (Podcast) Customer Account Transfers • Report of the Customer Account Transfer Taskforce (Podcast) • Suitability Issues: Considerations for Product Exchanges (E-Learning) • Variable Annuities: Sales Practice Issues for 1035 Exchanges (E-Learning) Customer Information Security • Customer Information Protection for Registered Representatives (E-Learning) • Customer Information Protection for Supervisors (E-Learning)

FIRM ELEMENT ADVISORY TOPIC	FINRA OFFERINGS
Customer Accounts	Requirements for Customer Assets Requirements for Customer Assets (Podcast)
	Trading Ahead of Customer Limit Orders Life of an Equity Trade (E-Learning)
Finance and Operations	Recordkeeping Requirements - Books and Records (E-Learning) - Record Retention Relief (Podcast)
Registration and Disclosure	Revised Forms U4 and U5 - What to Expect: The U4 and U5 Filing Process (Podcast) - Uniform Forms Electronic Filing Requirements (Podcast)
	Continuing Membership Application Continuing Membership Application Series (Podcast)
Insurance and Annuities	Deferred Variable Annuities - AML—Retail: Variable Annuities and Variable Life Insurance (E-Learning) - Deferred Variable Annuities (Podcast) - 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)
	Variable Life Settlements - AML—Retail: Variable Annuities and Variable Life Insurance (E-Learning) - Variable Life Settlements and Transactions in Related Investment Products—Your Firm's Obligations—Part I & II (Podcast)
Municipal Securities	- Debt Mark-Ups (E-Learning) - MSRB Supervision Rules (E-Learning) - Municipal Securities Podcast Series

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