

Information Notice

Continuing Education Planning

Executive Summary

On April 14, 2011, the Securities Industry/Regulatory Council on Continuing Education (the Council) released the semi-annual Firm Element Advisory (FEA) (see Regulatory Notice 11-18). 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 TOPICS	FINRA TRAINING
Consolidated FINRA Rulebook	Rulebook Consolidation Series (Podcast)
Alternative Investments	Reverse Exchangeable Securities (Reverse Convertibles) • Reverse Convertibles (Podcast)
	Sales Practice Obligations for Commodity Futures-Linked Securities • Commodity Futures-Linked Securities (Podcast) • Understanding Commodity Futures-Linked Securities (E-Learning)

April 15, 2011

Suggested Routing

- Compliance
- Continuing Education
- Legal
- Training

Key Topics

- Continuing Education
- Firm Element

Referenced Rules & Notices

- Notice 11-18

FIRM ELEMENT ADVISORY TOPICS	FINRA TRAINING
Anti-Money Laundering	• Anti-Money Laundering Series (E-Learning)
Business Continuity	• FINRA's Business Continuity Planning Template (Podcast) • Pandemic Preparedness – Parts I and II (Podcasts)
Communications With the Public	• Electronic Communications Series (Podcasts) • Social Networking (Podcast) • Use of Social Media for Business Purposes (E-Learning) • Electronic Communications Series (E-Learning)
Corporate Finance and Institutional Business	• Private Placements (E-Learning) • Private Placements: Conducting Reasonable Investigations for Regulation D Offerings (E-Learning)
Customer Accounts	• Consolidated Account Reports (Podcast)
Finance and Operations	Verification of Assets at a Non-Member Financial Institution • Independent Verification of Assets (Podcast) Funding and Liquidity Risk Management Practices • Funding and Liquidity Risk Management – Parts I and II (Podcast)
Insurance and Annuities	• Deferred Variable Annuities (Podcast) • Variable Annuities Series (E-Learning)
Municipal Securities	• Municipal Securities Series (Podcast)
Registration and Disclosure	BrokerCheck • BrokerCheck (Podcast) Forms U4 and U5 • Uniform Forms Electronic Filing Requirements (Podcast) • What to Expect: The U4 and U5 Filing Process (Podcast)

FIRM ELEMENT ADVISORY TOPICS	FINRA TRAINING
Sales Practices and Supervision	- Retail Supervision: Sales to Senior Investors (E-Learning) - Supervisory Considerations for Working with Seniors (E-Learning)
Transaction Reporting and Data Dissemination	FINRA Expands the Order Audit Trail System (OATS) to All NMS Stocks - OATS Expansion (Podcast) OTC Equity and Restricted Securities - Reg NMS and OTC Equity Securities (Podcast) Trading Halts - Trading-Pause Pilot Program (Podcast)