

Information Notice

Continuing Education Planning

Executive Summary

On October 19, 2012, the Securities Industry/Regulatory Council on Continuing Education (the Council) released the semi-annual Firm Element Advisory (FEA) (see [Regulatory Notice 12-43](#)). 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 (Podcasts)
Alternative Investments	• Commodity Futures-Linked Securities (Podcast) • Hightened Supervision of Complex Products – Parts I and II (Podcasts) • Reverse Convertibles (Podcast) • Understanding Commodity Futures-Linked Securities (E-Learning)
Anti-Money Laundering	• Anti-Money Laundering Series (Podcasts) Anti-Money Laundering Series (E-Learning)
Dispute Resolution	• Arbitration Panel Composition (Podcast)
Books and Records	• FINRA Books and Records Rules – Parts I and II (Podcasts) • Books and Records (E-Learning)

October 19, 2012

Suggested Routing

- ▶ Compliance
- ▶ Continuing Education
- ▶ Legal
- ▶ Training

Key Topics

- ▶ Continuing Education
- ▶ Firm Element

Referenced Rules & Notices

- ▶ Notice 12-43

FIRM ELEMENT ADVISORY TOPICS	FINRA TRAINING
Business Continuity	• FINRA's Business Continuity Planning Template (Podcast) • Pandemic Preparedness – Parts I and II (Podcasts)
Communications With the Public	• Advertising Regulation Guidance (Podcast) • Electronic Communications Series (Podcasts) • Social Media and Personal Electronic Devices Series (Podcasts) • Social Networking (Podcast) • Use of Social Media for Business Purposes (E-Learning) • Communications With the Public Series (E-Learning)
Customer Accounts	• Consolidated Account Reports (Podcast) • Requirements for Customer Assets (Podcast)
FACT Act Red Flags Rule	• FTC's Red Flags Rule Template (Podcast) • FACT Act Red Flags Rule (Podcast)
Insurance and Annuities	• Deferred Variable Annuities (Podcast) • Variable Annuities: Sales Practice Issues for 1035 Exchange (E-Learning) • Variable Annuities: Suitability and Disclosure for New Purchases (E-Learning)
Municipal Securities	• Municipal Continuing Disclosure Report (Podcast) • Municipal Securities Series (Podcasts)
Registration and Disclosure	• BrokerCheck (Podcast) • Professional Registration Category Series (Podcast)
Sales Practices and Supervision	• Senior Designations – Parts I and II (Podcasts) • Suitability and Know Your Customer Rules (Podcast) • Suitability Guidance Series (Podcasts) • Outside Business Activities Series (E-Learning) • Senior Investors Suitability Considerations (E-Learning) • Suitability and Know Your Customer Obligations: FINRA Rules 2111 and 2090 (E-Learning)
Transaction Reporting and Data Dissemination	• Trading-Pause Pilot Program (Podcast)