

Information Notice

Continuing Education Planning

Executive Summary

On April 12, 2013, the Securities Industry/Regulatory Council on Continuing Education (the Council) released the semi-annual Firm Element Advisory (FEA) (see [Regulatory Notice 13-14](#)). 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) • Heightened Supervision of Complex Products – Parts I and II (Podcasts) • Reverse Convertibles (Podcast) • Exchange-Traded Products: Understanding Leveraged and Inverse ETPs (E-Learning) • Understanding Commodity Futures-Linked Securities (E-Learning)
Anti-Money Laundering	• Anti-Money Laundering Series (Podcasts) • Anti-Money Laundering Series (E-Learning)

April 12, 2013

Suggested Routing

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

Key Topics

- ▶ Continuing Education
- ▶ Firm Element

Referenced Rules & Notices

- ▶ Notice 13-14

FIRM ELEMENT ADVISORY TOPICS	FINRA TRAINING
Books and Records	• FINRA Books and Records Rules – Parts I and II (Podcasts) • Books and Records (E-Learning)
Business Continuity	• FINRA's Business Continuity Planning Template (Podcast) • Pandemic Preparedness – Parts I and II (Podcasts)
Communications With the Public	• Communications With the Public Consolidated Rule – Parts I and II (Podcasts) • Understanding Social Media for Retail Registered Representatives (E-Learning) • Use of Social Media for Business Purposes (E-Learning) • Communications With the Public 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) • Requirements for Customer Assets (Podcast)
Dispute Resolution	• Arbitration Panel Composition (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)

FIRM ELEMENT ADVISORY TOPICS	FINRA TRAINING
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)