

Information Notice

Continuing Education Planning

Executive Summary

On April 11, 2014, the Securities Industry/Regulatory Council on Continuing Education (the Council) released the semi-annual Firm Element Advisory (FEA) (see [Regulatory Notice 14-16](#)). 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).
- ▶ **Webinars:** Free live, online video programs that include panel discussions with FINRA staff and/or industry experts, and feature online resource materials (see www.finra.org/webinars).

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) • Understanding Retail Structured Products (E-Learning)
Anti-Money Laundering	• Anti-Money Laundering Series (Podcasts) • Anti-Money Laundering Series (E-Learning)

April 11, 2014

Suggested Routing

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

Key Topics

- ▶ Continuing Education
- ▶ Firm Element

Referenced Rules & Notices

- ▶ Notice 14-16

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	• Communications With the Public Consolidated Rule – Parts I and II (Podcasts) • Communications With the Public: Real Estate Investment Programs (Podcast) • Electronic Communications With the Public Parts I and II (Podcasts) • Understanding Social Media for Retail Registered Representatives (E-Learning) • Use of Social Media for Business Purposes (E-Learning) • Social Media and Personal Electronic Devices Series (Podcasts) • Communications With the Public Series (E-Learning)
Corporate Finance	• Private Placements (E-Learning) • Private Placements: Conducting Reasonable Investigations for Regulation D Offerings (E-Learning)
Customer Accounts	• Communications With the Public: Retail and IRA Fee Disclosure (Podcast) • Consolidated Account Reports (Podcast) • FTC's Red Flags Rule Template (Podcast) • FACT Act Red Flags Rule (Podcast) • Requirements for Customer Assets (Podcast)
Dispute Resolution	• Arbitration Panel Composition (Podcast)
Municipal Securities	• MSRB Supervision Rules (E-Learning) • Municipal Continuing Disclosure Report (Podcast) • Municipal Securities Series (Podcasts)

FIRM ELEMENT ADVISORY TOPICS	FINRA TRAINING
Registration and Disclosure	• BrokerCheck (Podcast) • Professional Registration Category Series (Podcast)
Sales Practices and Supervision	• Considerations for Working With Seniors Series (Podcasts) • New Supervision and Supervisory Control Rules (Webinar) • Senior Designations – Parts I and II (Podcasts) • Suitability and Know Your Customer Rules (Podcast) • Suitability: Effective Practices (Podcast) • Suitability Guidance Series (Podcasts) • Outside Business Activities Series (E-Learning) • Understanding Supervisory Controls (Podcast) • Senior Investors Suitability Considerations (E-Learning) • Suitability and Know Your Customer Obligations: FINRA Rules 2111 and 2090 (E-Learning) • Suitability: Findings and Industry Practices (Webinar)
Transaction Reporting and Data Dissemination	• Trading-Pause Pilot Program (Podcast)