

# Information Notice

## Continuing Education Planning

### Executive Summary

On October 10, 2014, the Securities Industry/Regulatory Council on Continuing Education (the Council) released the semi-annual Firm Element Advisory (FEA) (see [Regulatory Notice 14-41](#)). 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](http://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](http://www.finra.org/podcasts)).
- ▶ **Webinars:** Free, online video programs that include panel discussions with FINRA staff and/or industry experts, and feature online resource materials (see [www.finra.org/webinars](http://www.finra.org/webinars)).

Send questions regarding this Notice to [education@finra.org](mailto:education@finra.org).

FIRM ELEMENT ADVISORY TOPICS	FINRA TRAINING
Consolidated FINRA Rulebook	<ul style="list-style-type: none"><li>• Rulebook Consolidation Series (<a href="#">Podcasts</a>)</li></ul>
Alternative Investments	<ul style="list-style-type: none"><li>• Commodity Futures-Linked Securities (<a href="#">Podcast</a>)</li><li>• Heightened Supervision of Complex Products – Parts I and II (<a href="#">Podcasts</a>)</li><li>• Reverse Convertibles (<a href="#">Podcast</a>)</li><li>• Exchange-Traded Products: Understanding Leveraged and Inverse ETPs (<a href="#">E-Learning</a>)</li><li>• Understanding Commodity Futures-Linked Securities (<a href="#">E-Learning</a>)</li><li>• Understanding Retail Structured Products (<a href="#">E-Learning</a>)</li></ul>
Anti-Money Laundering	<ul style="list-style-type: none"><li>• Anti-Money Laundering Series (<a href="#">Podcasts</a>)</li><li>• Anti-Money Laundering Series (<a href="#">E-Learning</a>)</li></ul>

October 10, 2014

### Suggested Routing

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

### Key Topics

- ▶ Continuing Education
- ▶ Firm Element

### Referenced Rules & Notices

- ▶ Notice 14-41

FIRM ELEMENT ADVISORY TOPICS	FINRA TRAINING
Business Continuity	<ul style="list-style-type: none"> <li>• FINRA’s Business Continuity Planning Template (<a href="#">Podcast</a>)</li> <li>• Pandemic Preparedness – Parts I and II (<a href="#">Podcasts</a>)</li> </ul>
Communications With the Public	<ul style="list-style-type: none"> <li>• Communications With the Public Consolidated Rule – Parts I and II (<a href="#">Podcasts</a>)</li> <li>• Communications With the Public: Real Estate Investment Programs (<a href="#">Podcast</a>)</li> <li>• Electronic Communications With the Public – Parts I and II (<a href="#">Podcasts</a>)</li> <li>• Understanding Social Media for Retail Registered Representatives (<a href="#">E-Learning</a>)</li> <li>• Use of Social Media for Business Purposes (<a href="#">E-Learning</a>)</li> <li>• Social Media and Personal Electronic Devices Series (<a href="#">Podcasts</a>)</li> <li>• Communications With the Public Series (<a href="#">E-Learning</a>)</li> </ul>
Corporate Finance	<ul style="list-style-type: none"> <li>• Private Placements (<a href="#">E-Learning</a>)</li> <li>• Private Placements: Conducting Reasonable Investigations for Regulation D Offerings (<a href="#">E-Learning</a>)</li> </ul>
Customer Accounts	<ul style="list-style-type: none"> <li>• Communications With the Public: Retail and IRA Fee Disclosure (<a href="#">Podcast</a>)</li> <li>• Consolidated Account Reports (<a href="#">Podcast</a>)</li> <li>• FTC’s Red Flags Rule Template (<a href="#">Podcast</a>)</li> <li>• FACT Act Red Flags Rule (<a href="#">Podcast</a>)</li> <li>• IRA Rollovers – Parts I and II (<a href="#">Podcasts</a>)</li> <li>• Requirements for Customer Assets (<a href="#">Podcast</a>)</li> </ul>
Dispute Resolution	<ul style="list-style-type: none"> <li>• Arbitration Panel Composition (<a href="#">Podcast</a>)</li> </ul>
Municipal Securities	<ul style="list-style-type: none"> <li>• Corporate and Government Bonds: Regulatory Considerations (<a href="#">E-Learning</a>)</li> <li>• MSRB Supervision Rules (<a href="#">E-Learning</a>)</li> <li>• Municipal Bonds: Regulatory Considerations (<a href="#">E-Learning</a>)</li> <li>• Municipal Continuing Disclosure Report (<a href="#">Podcast</a>)</li> <li>• Municipal Securities Series (<a href="#">Podcasts</a>)</li> </ul>

FIRM ELEMENT ADVISORY TOPICS	FINRA TRAINING
Registration and Disclosure	<ul style="list-style-type: none"> <li>• BrokerCheck (<a href="#">Podcast</a>)</li> <li>• Professional Registration Category Series (<a href="#">Podcast</a>)</li> </ul>
Sales Practices and Supervision	<ul style="list-style-type: none"> <li>• Considerations for Working With Seniors Series (<a href="#">Podcasts</a>)</li> <li>• Consolidated Supervision Rules Series (<a href="#">Podcasts</a>)</li> <li>• New Supervision and Supervisory Control Rules (<a href="#">Webinar</a>)</li> <li>• Senior Designations – Parts I and II (<a href="#">Podcasts</a>)</li> <li>• Suitability and Know Your Customer Rules (<a href="#">Podcast</a>)</li> <li>• Suitability: Effective Practices (<a href="#">Podcast</a>)</li> <li>• Suitability Guidance Series (<a href="#">Podcasts</a>)</li> <li>• Outside Business Activities Series (<a href="#">E-Learning</a>)</li> <li>• Senior Investors Suitability Considerations (<a href="#">E-Learning</a>)</li> <li>• Suitability and Know Your Customer Obligations: FINRA Rules 2111 and 2090 (<a href="#">E-Learning</a>)</li> </ul>
Trading Practices and Supervision	<ul style="list-style-type: none"> <li>• Monitoring for Insider Trading and Understanding FINRA’s Regulatory Tip Process (<a href="#">Webinar</a>)</li> </ul>
Transaction Reporting and Data Dissemination	<ul style="list-style-type: none"> <li>• Trading-Pause Pilot Program (<a href="#">Podcast</a>)</li> </ul>