

# Information Notice

## Continuing Education Planning

### Executive Summary

On October 23, 2015, the Securities Industry/Regulatory Council on Continuing Education (the Council) released the semi-annual Firm Element Advisory (FEA) (see [Regulatory Notice 15-38](#)). 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>• Real Estate Investment Trusts (REITs): Regulatory Considerations (<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>

October 23, 2015

### Suggested Routing

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

### Key Topics

- ▶ Continuing Education
- ▶ Firm Element

### Referenced Rules & Notices

- ▶ Notice 15-38

FIRM ELEMENT ADVISORY TOPICS	FINRA TRAINING
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>
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>• Social Media and Personal Electronic Devices Series (<a href="#">Podcasts</a>)</li> <li>• Communications With the Public Series (<a href="#">E-Learning</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> </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>

FIRM ELEMENT ADVISORY TOPICS	FINRA TRAINING
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>• FACT Act Red Flags Rule (<a href="#">Podcast</a>)</li> <li>• FTC’s Red Flags Rule Template (<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>
Cybersecurity	<ul style="list-style-type: none"> <li>• Cybersecurity: Understanding Your Role (<a href="#">E-Learning</a>)</li> <li>• Cybersecurity (<a href="#">Webinar</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>• Municipal Continuing Disclosure Report (<a href="#">Podcast</a>)</li> <li>• Municipal Securities Series (<a href="#">Podcasts</a>)</li> <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> </ul>
Private Placements	<ul style="list-style-type: none"> <li>• Private Placements: Conducting Reasonable Investigations for Regulation D Offerings (<a href="#">E-Learning</a>)</li> </ul>
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> <li>• Qualification Exam Restructuring and Web CE Delivery (<a href="#">Webinar</a>)</li> </ul>

FIRM ELEMENT ADVISORY TOPICS	FINRA TRAINING
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>• 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>• AML Supervisors: Understanding Your Role (<a href="#">E-Learning</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> <li>• Senior Investor Initiative (<a href="#">Webinar</a>)</li> </ul>
Trading Practices and Supervision	<ul style="list-style-type: none"> <li>• Insider Trading (<a href="#">E-Learning</a>)</li> </ul>