



Regulatory Circular RG08-071

Date: June 4, 2008  
To: Members and Member Organizations  
From: Division of Regulatory Services  
Subject: Continuing Education Firm Element Advisory

The Securities Industry/Regulatory Council on Continuing Education ("Council") publishes a Firm Element Advisory ("FEA"), as a guide for members or member organizations to utilize when developing their continuing education Firm Element Training for covered registered persons and their supervisors. The Council has updated the FEA for firms to use in identifying topics to include in their Firm Element Training. Topics added to the FEA since the prior publication have been flagged as such.

FEA topics are not exhaustive and are intended for consideration for inclusion in training plans by firms. Each firm should consider whether a FEA topic is relevant, bearing in mind the specific nature of their business, clients, products and services.

The updated Firm Element Advisory can be accessed on the Council's website at: [http://www.cecouncil.com/publications/council\\_publications/](http://www.cecouncil.com/publications/council_publications/)

Questions concerning this Regulatory Circular may be directed to Lawrence J. Bresnahan at 312-786-7713.