



Regulatory Circular RG09-128

To: Members and Member Organizations
From: Division of Member and Regulatory Services
Date: November 11, 2009
Re: 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 publications have been identified 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/

Members and member organizations have asked for more resources to help with Firm Element Planning. In response to such requests, the Council has developed tools for use in addition to or in conjunction with the Firm Element Advisory:

- Guide to Firm Element Needs Analysis and Training Plan Development:
www.cecouncil.com/publications/council_publications/Guide_to_Firm_Element.pdf
- Firm Element Organizer:
www.cecouncil.com/firm_element_organizer
- Training Resources: Included in the FEA, is a listing of training resources that can be useful for Firm Element training or can assist individuals when preparing for their Regulatory Element sessions.

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

[Replaces Regulatory Circular RG 09-60](#)