



## Regulatory Circular RG07-128

Date: November 21, 2007

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 will be flagged as such, and will also appear in the year-end FEA.

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/)

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