

Continuing Education Update

New for 2010: Redesigned S101 and S106 Regulatory Element Programs

FINRA introduced redesigned versions of the S101 and S106 Regulatory Element Programs in 2010. Displayed through an updated user interface, the programs:

- ▶ have been streamlined into four modules, presented in the order chosen by the participant;
- ▶ present realistic story-based cases;
- ▶ feature learning objectives at the start of each case to help focus the participant's attention;
- ▶ integrate rule-based concepts and product knowledge with ethics and business conduct topics; and
- ▶ include useful resources, such as definitions, to help candidates understand the terms used in each case.

Learn More

Visit www.finra.org/ce/training to learn more about the redesigned programs:

- ▶ Revised content outlines
- ▶ An animated orientation that reviews navigation functions and built-in resources for help
- ▶ An abbreviated sample case that demonstrates the programs' interactive formats

The screenshot displays a user interface for the redesigned S101 and S106 Regulatory Element Programs. It features four distinct modules, each with a title, a brief description, and a 'SELECT' button. The modules are: 1. 'Communications with the Public' (blue header) with a description of advertising and sales materials. 2. 'Suitability' (yellow header) with a description of client suitability determinations. 3. 'Handling Customer Accounts, Trade, and Settlement Practices' (purple header) with a description of prohibited and fraudulent activities. 4. 'New and Secondary Offerings' (green header) with a description of prospectus requirements and distribution issues.

About the S101 and S106 Regulatory Element Programs

As required under NASD Rule 1120, registered representatives must satisfy the regulatory element of their continuing education requirement within 120 days of the second anniversary of their registration approval date and every three years thereafter. They must do so by completing and passing the computer-based S101 program (for all registration categories except for Series 6 or supervisory/principals) or S106 program (for Series 6 registered persons).

For more information, including how to register for a program, visit www.finra.org/ce/training.

