



Regulatory Circular RG 09 – 060

To: Members and Member Organizations
From: Division of Member and Regulatory Services
Date: May 26, 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 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/

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