

# Regulatory Notice

# 14-41

## Continuing Education

### Securities Industry/Regulatory Council on Continuing Education Issues Firm Element Advisory Update

The Securities Industry/Regulatory Council on Continuing Education (Council) has released its Fall 2014 Firm Element Advisory (FEA). The Council produces the FEA to identify regulatory and sales practice topics that firms should consider in their Firm Element training plans. Topics updated or added since the prior FEA are indicated in the document as such.

The updated FEA is available at: <http://cecouncil.com/media/237443/FEA-Semi-Annual-Update.pdf>[\[cecouncil.com\]](http://cecouncil.com).

The FEA topics are not exhaustive and are intended as a guide to firms when they determine what to include in their training plans. Firms should consider the specific nature of their business, clients, products and services when creating their training plans.

[Previous editions](#) of the FEA, as well as a [matrix](#) indicating the topics covered in those editions, are available at the Council's website at [www.cecouncil.com](http://www.cecouncil.com).

Questions concerning this *Notice* should be directed to:

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- ▶ Roni Meikle, Director, Continuing Education, FINRA, at (212) 858-4084.

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#### Notice Type

- ▶ Guidance

#### Suggested Routing

- ▶ Compliance
- ▶ Continuing Education
- ▶ Legal
- ▶ Registration
- ▶ Senior Management

#### Key Topics

- ▶ Continuing Education
- ▶ Firm Element

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