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FINRA CONTINUING EDUCATION STUDY GUIDE

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FINRA, in conjunction with other self-regulatory organizations and the Securities Industry/Regulatory Council on Continuing Education, administers the continuing education program for the securities industry. (See FINRA Rule 1240.) Continuing education consists of two mandatory programs: the Regulatory Element and the Firm Element.

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Our comprehensive FINRA Series Examination study guides are written by our exam experts, who painstakingly researched the topics and the concepts that you need to know to do your best on the FINRA Series Exam. Our original research into the FINRA administered qualification examinations, offered by the Financial Industry Regulatory Authority (FINRA), reveals the specific content areas and the essential skills that are critical for you to know on your FINRA exam. We've taken the ...

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Web Delivery of the Continuing Education Regulatory Element Program FINRA has transitioned the delivery of the Continuing Education (CE) Regulatory Element to an online format called the CE Online Program. The CE Online Program provides participants with the flexibility to satisfy their CE Regulatory Element requirement from a home or office computer—anytime, anywhere.

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The testing center will then notify FINRA, who in turn will make this information available to your firm via Web CRD, FINRA's Central Registration Depository. How to Prepare for the Series 7 Exam Structured learning at a steady pace, as well as regular review and improvement of weak areas are the key components of an effective strategy.

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FINRA views this problem as high-priority and will be looking for evidence that a firm is making a good-faith effort to identify risks and taking steps to guard against their occurrence. Even if no customer is harmed, regulators may still bring an enforcement action if non-public information has been exposed to unauthorized persons. Training personnel on how to recognize and respond to threats ...

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Firm Element Continuing Education FINRA requires broker dealers to establish a formal training program to keep covered registered persons up to date on job- and product-related subjects. In planning, developing and implementing its FIRM Element program, each broker dealer must consider its size, structure, scope of business and regulatory concerns.

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This guide includes recommended study hours, how to use your study materials effectively, and test-taking tips. Access the guide and other free materials here. Additional Details. For more exam details, including fees and passing score, please visit FINRA. Attention Colorado Students. Kaplan Financial Education is approved and regulated by the Colorado Department of Higher Education, Private ...

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Guide to Firm Element Needs Analysis and Training Plan Development Background Self-regulatory organization ("SRO") rules, including NASD Rule 1120 (Continuing Education Requirements) require each broker-dealer to maintain a continuing and current education program for its "covered registered persons" to enhance their securities knowledge, skills and professionalism. A "covered ...

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Based on the response to the questionnaire each representative will be assigned continuing education courses to complete. Your firm may have you attend a seminar, webinar or take an online course to satisfy the firm element continuing education requirement. You will also be required to complete the regulatory continuing education requirement, which is administered by FINRA. You will be ...

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We transition teams to new firms, handle TROs, fight off non-competes and non-solicits, ensure that the broker recruiting protocol is followed (for signatories), defend against promissory note enforcement, help financial advisors, Branch Managers and financial executives with severance, regulatory issues, letters of education and FINRA investigations. We have a track record of recovering FAs ...

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