



FIRM ELEMENT ADVISORY TOPIC

	Spring 2013	Fall 2013	Spring 2014	Fall 2014	Spring 2015	Fall 2015	CAN BE FOUND IN FIRM ELEMENT ADVISORY VERSION (S):
ALTERNATIVE INVESTMENTS	x	x	x	x	x	x	Fall 2012, Spring 2013, Fall 2013, Spring 2014, Fall 2014, Spring 2015, Fall 2015
Alternative Mutual Funds		x	x	x	x	x	Fall 2013, Spring 2014, Fall 2014, Spring 2015, Fall 2015
Direct Participation Program and Unlisted REIT Securities					x	x	Spring 2015, Fall 2015
Supervision of Complex Products	x	x	x	x	x	x	Spring 2013, Fall 2013, Spring 2014, Fall 2014, Spring 2015, Fall 2015
ANTI-MONEY LAUNDERING (AML)	x	x	x	x	x	x	Fall 2012, Spring 2013, Fall 2013, Spring 2014, Fall 2014, Spring 2015, Fall 2015
AML Compliance	x	x	x	x	x	x	Fall 2012, Spring 2013, Fall 2013, Spring 2014, Fall 2014, Spring 2015, Fall 2015
AML Template		x	x	x	x	x	Fall 2013, Spring 2014, Fall 2014, Spring 2015, Fall 2015
SAR Information Accessibility	x	x	x	x	x	x	Fall 2012, Spring 2013, Fall 2013, Spring 2014, Fall 2014, Spring 2015, Fall 2015
SAR Alert Message Line	x	x	x	x	x	x	Fall 2012, Spring 2013, Fall 2013, Spring 2014, Fall 2014, Spring 2015, Fall 2015
BOOKS AND RECORDS	x						Spring 2013
Preservation of Records for Municipal Securities	x						Spring 2013
SEC Approves Consolidated FINRA Rules Governing Books and Records	x						Spring 2013
BUSINESS CONTINUITY	x	x	x	x	x	x	Spring 2013, Fall 2013, Spring 2014, Fall 2014, Spring 2015, Fall 2015
Business Continuity Planning	x	x	x	x	x	x	Spring 2013, Fall 2013, Spring 2014, Fall 2014, Spring 2015, Fall 2015
COMMUNICATION WITH THE PUBLIC	x	x	x	x	x	x	Spring 2013, Fall 2013, Spring 2014, Fall 2014, Spring 2015, Fall 2015
Advertising Regulation Issues	x	x	x	x	x	x	Spring 2013, Fall 2013, Spring 2014, Fall 2014, Spring 2015, Fall 2015
Blogs and Social Networks	x	x					Spring 2013, Fall 2013
FINRA Rule 2210 to Exclude Research Reports on Exchange-Listed Securities from Filing Requirements				x	x	x	Fall 2014, Spring 2015, Fall 2015
Social Networking Websites and Business Communications			x	x	x	x	Spring 2014, Fall 2014, Spring 2015, Fall 2015
FINRA Provides Guidance on New Rules Governing Communications with the Public (<i>Updated</i>)				x	x	x	Fall 2014, Spring 2015, Fall 2015
Communications with the Public	x	x					Spring 2013, Fall 2013
Telemarketing	x	x					Spring 2013, Fall 2013
SEC Approves Amendments to MSRB Rule G-39		x					Fall 2013
CORPORATE FINANCE	x	x	x	x	x	x	Fall 2012, Spring 2013, Spring 2014, Fall 2014, Spring 2015, Fall 2015
Corporate Financing Rule				x	x	x	Fall 2014, Spring 2015, Fall 2015
New Issue Allocations and Distributions			x	x	x	x	Spring 2014, Fall 2014, Spring 2015, Fall 2015
Private Placement of Securities	x	x	x	x			Spring 2013, Fall 2013, Spring 2014, Fall 2014
Research Analysts and Research Reports	x						Spring 2013
CUSTOMER ACCOUNTS	x	x	x	x	x	x	Fall 2012, Spring 2013, Spring 2014, Fall 2014, Spring 2015, Fall 2015
Disclosure of Fees in Communications Concerning Retail Brokerage Accounts and Individual Retirement Accounts		x	x	x	x	x	Fall 2013, Spring 2014, Fall 2014, Spring 2015, Fall 2015
Extended Hours Trading Risk Disclosure					x	x	Spring 2015, Fall 2015
FINRA Investor Alert - "Phishing" and Other Online Identity Theft Scams: Don't Take the Bait				x	x	x	Fall 2014, Spring 2015, Fall 2015
Rollovers to Individual Retirement Accounts				x	x	x	Fall 2014, Spring 2015, Fall 2015
E-mailed Instructions to Transmit or Withdraw Assets from Customer Accounts	x	x	x	x	x	x	Spring 2013, Fall 2013, Spring 2014, Fall 2014, Spring 2015, Fall 2015
Fair and Accurate Credit Transactions Act of 2003 (FACT Act) Red Flags Rule			x	x	x	x	Spring 2014, Fall 2014, Spring 2015, Fall 2015
FINRA Reminds Firms of Their Responsibilities Concerning IRA Rollovers			x				Spring 2014
CYBERSECURITY						x	Fall 2015
FINRA Report on Cybersecurity Practices (<i>New</i>)						x	Fall 2015
DISPUTE RESOLUTION	x	x	x	x	x	x	Spring 2013, Fall 2013, Spring 2014, Fall 2014, Spring 2015, Fall 2015
Amendments to Mediation Code	x	x					Spring 2013, Fall 2013
Confidentiality Provisions in Settlement Agreements and the Arbitration Discovery Process					x	x	Spring 2015, Fall 2015
Amendments to the Codes of Arbitration Procedure to Increase the Fees Assessed for Late Cancellation or Postponement of a Hearing (<i>New</i>)						x	Fall 2015
Prohibited Conditions Relating to Expungement of Customer Dispute Information				x	x	x	Fall 2014, Spring 2015, Fall 2015
Amendments to the Arbitration Codes to Expand Arbitrators' Authority to Make Referrals During an Arbitration Proceeding					x	x	Spring 2015, Fall 2015
Arbitration Panel Composition			x	x			Spring 2014, Fall 2014
Amendments to Codes of Arbitration Procedure to Require Redaction of Personal Confidential Information From Documents Filed with FINRA				x	x	x	Fall 2014, Spring 2015, Fall 2015
Dispute Resolution				x	x	x	Spring 2014, Fall 2014
Discovery Guide			x	x			Fall 2015
Amendments to Arbitration Codes to Revise the Definitions of Non-Public and Public Arbitrator (<i>New</i>)						x	Spring 2013, Fall 2013
Classification of Mediators	x	x					Spring 2013, Fall 2013
Expungement of Information From CRD			x	x	x	x	Spring 2014, Fall 2014, Spring 2015, Fall 2015
Collective Action Claims	x	x					Spring 2013, Fall 2013
Definition of Public Arbitrator		x	x				Fall 2013, Spring 2014
Simplified Arbitration	x	x					Spring 2013, Fall 2013
Subpoenas and orders to Direct the Appearance of Witnesses and Production of Documents Without Subpoenas	x	x	x				Spring 2013, Fall 2013, Spring 2014



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Whistleblower Disputes	x	x					Spring 2013, Fall 2013
EQUITY and DEBT RESEARCH						x	Fall 2015
Equity Research <i>(New)</i>						x	Fall 2015
Debt Research <i>(New)</i>						x	Fall 2015
FAQs About FINRA's Research Conflict of Interest Rules <i>(New)</i>						x	Fall 2015
FACT ACT RED FLAGS RULE		x					Fall 2013
Fact Act Red Flags Rule		x					Fall 2013
FINANCIAL RESPONSIBILITY RULES FOR BROKER-DEALERS			x	x	x	x	Spring 2014, Fall 2014, Spring 2015, Fall 2015
Consolidated FINRA Financial and Operational Rules			x	x	x	x	Spring 2014, Fall 2014, Spring 2015, Fall 2015
FINRA Announces Updates of the Interpretations of Financial and Operational Rules <i>(Updated)</i>				x	x	x	Fall 2014, Spring 2015, Fall 2015
FINRA Financial Responsibility Rule Amendments Resource Page				x	x	x	Fall 2014, Spring 2015, Fall 2015
Guidance on Liquidity Risk Management Practices <i>(New)</i>						x	Fall 2015
FINRA System Updates				x	x	x	Fall 2014, Spring 2015, Fall 2015
SEC's Financial Responsibility Rule Amendments <i>(Updated)</i>				x	x	x	Fall 2014, Spring 2015, Fall 2015
MARGIN AND MARGIN ACCOUNTS	x	x	x	x	x	x	Spring 2013, Fall 2013, Spring 2014, Fall 2014, Spring 2015, Fall 2015
Options and Margin Requirements			x	x	x	x	Spring 2014, Fall 2014, Spring 2015, Fall 2015
FINRA Rule 4210 Margin Requirements		x					Fall 2013
Definition of "Ready market" for Certain Foreign Equity Securities		x					Fall 2013
SEC No-Action Guidance Expanding the Definition of "Ready Market" for Certain Foreign Equity Securities	x						Spring 2013
MUNICIPAL SECURITIES	x	x	x	x	x	x	Spring 2013, Fall 2013, Spring 2014, Fall 2014, Spring 2015, Fall 2015
MSRB Rule G-18 on Best Execution of Transactions in Municipal Securities and Related Amendments to Exempt Transactions with Sophisticated Municipal Market Professionals <i>(Updated)</i>					x	x	Spring 2015, Fall 2015
SEC Approves Adoption of new MSRB Rules G-47, D-15 and G-48, and Amendments to MSRB Rules G-19 and G-8			x	x	x		Spring 2014, Fall 2014, Spring 2015
MSRB Registration			x	x	x	x	Spring 2014, Fall 2014, Spring 2015, Fall 2015
Bank Loan Disclosure Advisory <i>(New)</i>						x	Fall 2015
SEC Approves Rule Amendments to Create Professional Qualification Standards for Municipal Advisors					x		Spring 2015
Amendments to MSRB Rule G-3 on Professional Qualification Requirements				x	x	x	Fall 2014, Spring 2015, Fall 2015
Amendments to MSRB Rule G-3 Regarding Continuing Education					x	x	Spring 2015, Fall 2015
Application of MSRB Rule G17 to Underwriters of Municipal Securities	x	x					Spring 2013, Fall 2013
529 College Savings Plans			x				Spring 2014
Guidance Relating to Firm Short Positions and Fails-to-Receive in Municipal Securities <i>(New)</i>						x	Fall 2015
MSRB Fair Pricing Rule				x	x	x	Fall 2014, Spring 2015, Fall 2015
Build America and Direct Pay Bonds		x					Fall 2013
MSRB Rule G-44 on Supervisory and Compliance Obligations of Municipal Advisors, and Amendments to MSRB Rules G-8 and G-9					x	x	Spring 2015, Fall 2015
Electronic Municipal Market Access	x	x					Spring 2013, Fall 2013
MSRB Files Content Outline for Municipal Advisor Representative Qualification Examination (Series 50) <i>(New)</i>						x	Fall 2015
Interdealer Dollar Price Reporting Requirement	x	x					Spring 2013, Fall 2013
SEC Approves Amendments to MSRB Rule G-11 - Changes to Bond Authorizing Documents			x				Spring 2014
Amendments to MSRB Rule G-14 and Real-Time Transaction Reporting System <i>(New)</i>						x	Fall 2015
Investor Toolkit	x						Spring 2013
New Issue Information Submission Requirements Under MSRB Rules G-32 and G-34		x					Fall 2013
Political Contributions		x					Fall 2013
Regulation of Broker's Broker	x	x					Spring 2013, Fall 2013
Retail Order Periods			x	x	x		Spring 2014, Fall 2014, Spring 2015
SEC Approves Registration Rules for Municipal Advisors			x	x			Spring 2014, Fall 2014
Sophisticated Municipal Market Professionals (SMMPs)	x						Spring 2013
OPTIONS	x	x	x	x	x	x	Spring 2013, Fall 2013, Spring 2014, Fall 2014, Spring 2015, Fall 2015
Allocation Methodology for Option Exercise Assignment Notices	x						Spring 2013
CBSX Record of Written Complaints	x	x					Spring 2013, Fall 2013
Continuing Education Firm Element	x						Spring 2013
Trade Nullification and Adjustment of Options Transactions Including Obvious Errors <i>(Updated)</i>					x	x	Spring 2015, Fall 2015
Tied to Stock Order Marking and Reporting Requirements <i>(Updated)</i>					x	x	Spring 2015, Fall 2015
Extension of Registration and Qualifications Examination Deadline and Additional Information Regarding the Waiver Process	x						Spring 2013
Amended Order Ticket Requirements for Complex Orders With More Than 12 Legs <i>(New)</i>						x	Fall 2015
FINRA Designates Additional Index Available for Conventional Equity Option position Limits Calculation		x	x	x			Fall 2013, Spring 2014, Fall 2014
CBOE Rule 6.79 - Floor Broker Practices <i>(New)</i>						x	Fall 2015
30-Day Implementation Period for Margin Increases for Volatility Index Options				x	x	x	Fall 2014, Spring 2015, Fall 2015
Margin Requirements for Mini Options		x					Fall 2013
Notification to the CBOE of Disciplinary Action		x	x	x	x	x	Fall 2013, Spring 2014, Fall 2014, Spring 2015, Fall 2015
Options Disclosure Document	x	x					Spring 2013, Fall 2013
Prearranged Trades <i>(Updated)</i>	x	x	x	x	x	x	Spring 2013, Fall 2013, Spring 2014, Fall 2014, Spring 2015, Fall 2015
Proprietary Trader Continuing Education Program (S501)		x	x	x			Fall 2013, Spring 2014, Fall 2014
Extended Trading Hours Session Pre-Open Order Entry Time Extension <i>(New)</i>						x	Fall 2015



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Regulatory Information Tools	x						Spring 2013
Exchange Liability <i>(New)</i>						x	Fall 2015
Sales Practice and Supervision-Annual Reporting	x	x					Spring 2013, Fall 2013
Standard Monthly Option Expiration Date Moved From Saturday to Friday	x	x	x	x	x	x	Spring 2013, Fall 2013, Spring 2014, Fall 2014, Spring 2015, Fall 2015
Transactions Below \$1 Per Option Contract	x	x	x	x	x	x	Spring 2013, Fall 2013, Spring 2014, Fall 2014, Spring 2015, Fall 2015
PRIVATE PLACEMENTS						x	Fall 2015
Electronic Filing Depository						x	Fall 2015
PUBLIC OFFERINGS						x	Fall 2015
FINRA Filing Requirements and Review of Regulation A Offerings <i>(New)</i>						x	Fall 2015
REGISTRATION AND DISCLOSURE	x	x	x	x	x	x	Spring 2013, Fall 2013, Spring 2014, Fall 2014, Spring 2015, Fall 2015
FINRA Enhances BrokerCheck® Capabilities	x						Spring 2013
SEC Approves Changes to Expand the Categories of Civil Judicial Disclosure Permanently Included in BrokerCheck and to Include in BrokerCheck Information About Member Firms and Their Associated Persons of Any Registered National Securities Exchange That Uses the CRD System for Registration Purposes			x	x	x	x	Spring 2014, Fall 2014, Spring 2015, Fall 2015
FINRA Revises Examination Programs <i>(Updated)</i>				x	x	x	Fall 2014, Spring 2015, Fall 2015
Continuing Education Firm Element	x						Spring 2013
Web Delivery of the Continuing Education Regulatory Element Program <i>(New)</i>						x	Fall 2015
SEC Approves Amendments to Uniform Branch Office Registration Form (Form BR)			x	x	x		Spring 2014, Fall 2014, Spring 2015
Background Checks on Registration Applicants					x	x	Spring 2015, Fall 2015
Payments to Unregistered Persons					x	x	Spring 2015, Fall 2015
FINRA Revises the Series 55 and Series 16 Examinations Programs		x	x				Fall 2013
FINRA Revises the Series 6, 55 and 16 Examination Programs			x				Spring 2014
New Criteria and Process for Candidates Whose Primary Language is Not English	x	x					Spring 2013, Fall 2013
SALES PRACTICES AND SUPERVISION	x	x	x	x	x	x	Spring 2013, Fall 2013, Spring 2014, Fall 2014, Spring 2015, Fall 2015
Unregistered Sales Assistants				x	x	x	Fall 2014, Spring 2015, Fall 2015
Know-Your-Customer and Suitability Obligations	x	x	x	x	x	x	Spring 2013, Fall 2013, Spring 2014, Fall 2014, Spring 2015, Fall 2015
Supervision Rules			x	x	x	x	Spring 2014, Fall 2014, Spring 2015, Fall 2015
Enforcement Actions Against Licensed Broker Sales Agents					x	x	Spring 2015, Fall 2015
Supervision of Registered Persons Using Senior Designations	x	x	x	x			Spring 2013, Fall 2013, Spring 2014, Fall 2014
SANCTION GUIDELINES						x	Fall 2015
The National Adjudicatory Council (NAC) Revises the Sanction Guidelines Related to Misrepresentations and Suitability <i>(New)</i>						x	Fall 2015
TRADING PRACTICES AND SUPERVISION	x	x	x	x	x	x	Spring 2013, Fall 2013, Spring 2014, Fall 2014, Spring 2015, Fall 2015
Best Execution Rule	x	x	x	x	x	x	Spring 2013, Fall 2013, Spring 2014, Fall 2014, Spring 2015, Fall 2015
CBOE Best Execution and Interpositioning Rule Effective Date		x	x				Fall 2013, Spring 2014
CBOE Supplement to Regulatory Circular RG13-098 Changes to Information Barrier Requirements		x	x				Fall 2013, Spring 2014
Clearly Erroneous Executions				x	x	x	Fall 2014, Spring 2015, Fall 2015
CBOE Changes to Information Barrier Requirements		x	x				Fall 2013, Spring 2014
SEC Issued an Order Approving the National Market System (NMS) Plan to Implement a Tick Size Pilot Program by the National Securities Exchanges and FINRA <i>(New)</i>						x	Fall 2015
Payments for Market Making Certification Requirement for FINRA Form 211				x	x	x	Fall 2014, Spring 2015, Fall 2015
Consolidated Front Running Rule		x	x	x			Fall 2013, Spring 2014, Fall 2014
Limit Up/Limit Down Plan Pilot Program	x	x	x	x	x	x	Spring 2013, Fall 2013, Spring 2014, Fall 2014, Spring 2015, Fall 2015
Insider Trading				x	x	x	Fall 2014, Spring 2015, Fall 2015
SEC Approves Amendments Relating to Stop Orders	x						Spring 2013
SEC Approves Consolidated Front Running Rule	x						Spring 2013
Stop Orders		x	x				Fall 2013, Spring 2014
TRANSACTION REPORTING AND DATA DISSEMINATION	x	x	x	x	x	x	Spring 2013, Fall 2013, Spring 2014, Fall 2014, Spring 2015, Fall 2015
Amendments to Trade Reporting and Compliance Engine (TRACE) Reporting	x	x					Spring 2013, Fall 2013
Self-Trades				x	x	x	Fall 2014, Spring 2015, Fall 2015
FINRA and ISG Extend Effective Date for Certain Electronic Blue Sheet Data Elements		x	x	x	x	x	Fall 2013, Spring 2014, Fall 2014, Spring 2015, Fall 2015
Amendments to Require Firms to Identify Transactions With Non-Member Affiliates in TRACE Trade Reports <i>(New)</i>						x	Fall 2015
Interpretation to Clarify the Classification and Trade Reporting of Certain "Hybrid" Securities to FINRA				x	x	x	Fall 2014, Spring 2015, Fall 2015
Elimination of OTC Bulletin Board Historical Research Reports, Fees for ORF Trade Reporting and Data					x	x	Spring 2015, Fall 2015
Reporting of OTC Transactions in Equity Securities		x	x	x	x	x	Fall 2013, Spring 2014, Fall 2014, Spring 2015, Fall 2015
Guidance on Effective Supervision and Control Practices for Firms Engaged in Algorithmic Trading Strategies <i>(New)</i>						x	Fall 2015
Trade Reporting and Compliance Engine (TRACE) Reporting			x	x	x	x	Spring 2014, Fall 2014, Spring 2015, Fall 2015
Amendments to Disseminate Additional Asset-Backed Securities Transactions and to Reduce the Reporting Time for Such Transactions			x	x	x	x	Spring 2014, Fall 2014, Spring 2015, Fall 2015
Trading Pause Pilot (Trading Halts)	x	x					Spring 2013, Fall 2013
TRADING HALTS		x					Fall 2013
Trading and Quotation Halts in OTC Equity Securities		x					Fall 2013