



CE Council Guide to Firm Element Continuing Education Programs

Firm Element Training — Needs Analysis Template

The self-regulatory organizations (SROs) of the securities industry have established rules addressing Continuing Education (CE) Firm Element programs that apply to member firms and their registered persons as defined by each of the SROs. Please reference the appropriate SRO rule applicable to the firm.

IDENTIFY COVERED REGISTERED PERSONS AND RELEVANT ASSOCIATED PERSONS
Business Units <i>(may include but are not limited to revenue-generating unit, client-facing unit, etc.)</i>
Support Units <i>(may include but are not limited to Operations, Compliance, Finance, Technology, etc.)</i>

FIRM-SPECIFIC TOPICS (applicable to all areas and job functions) Suggested themes may include but are not limited to the following:
Applicable Securities Laws, Rules and Regulations <i>(Communications with the Public, Conflicts of Interests, Cybersecurity, Elderly Exploitation, Political Contributions, Information Barriers, Suitability/Best Interest, Code of Ethics, OFAC/ABC/AML, Personal Trading, Outside Business Activities, Private Investments)</i>
Changes in Organizational Structure, Business Model, Supervision Framework
Firm Policies and Procedures <i>(new, current and updated)</i>
Industry Trends Related to Firm Business Model

BUSINESS-SPECIFIC TOPICS (applicable to a particular business or support area) Suggested themes may include but are not limited to the following:
Product <i>(new, modified, high risk)</i>
Function <i>(sales, trading, deal execution, research, operations)</i>
Applicable Securities Laws, Rules and Regulations <i>(new, modified, existing)</i>
Supervision Trends or Emerging Risks Identified
Persistent Surveillance/Monitoring Exceptions
Operational Risk and Control Assessment Findings and Remediations
Operational Risk Events, Current Events, and Near Misses* <small>*Incidents that could have led to monetary loss</small>
New or Modified Technology or Vendor Tools
Internal Audit Findings



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REGULATORY DRIVERS

Suggested themes may include but are not limited to the following:

Annual SRO Priorities Letters, Rule Interpretations, Regulatory Notices, Information Notices/Circulars, SEC Guidance

Notices from Clearing Firms (with respect to regulatory items)

Regulatory Enforcement Actions and Disciplinary Cases

Regulatory Findings, Disciplinary Actions, Examination and Interpretive Guidance

Regulatory Inquiries and Sweep Letters

Firm-specific Exam Findings

Approved and Reviewed by: