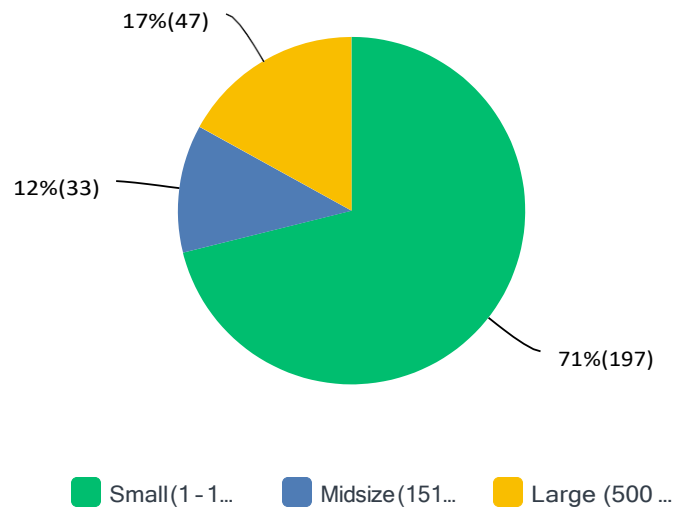


Q1 What is the number of registered persons in your firm?

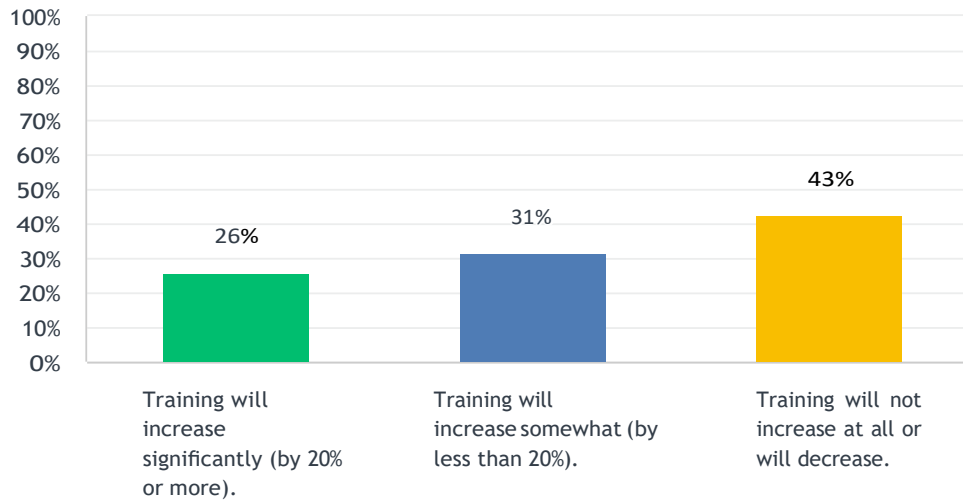
Answered: 277 Skipped: 0



ANSWER CHOICES	RESPONSES	
Small (1 – 150)	71%	197
Midsize (151 – 500)	12%	33
Large (500 or more)	17%	47
TOTAL		277

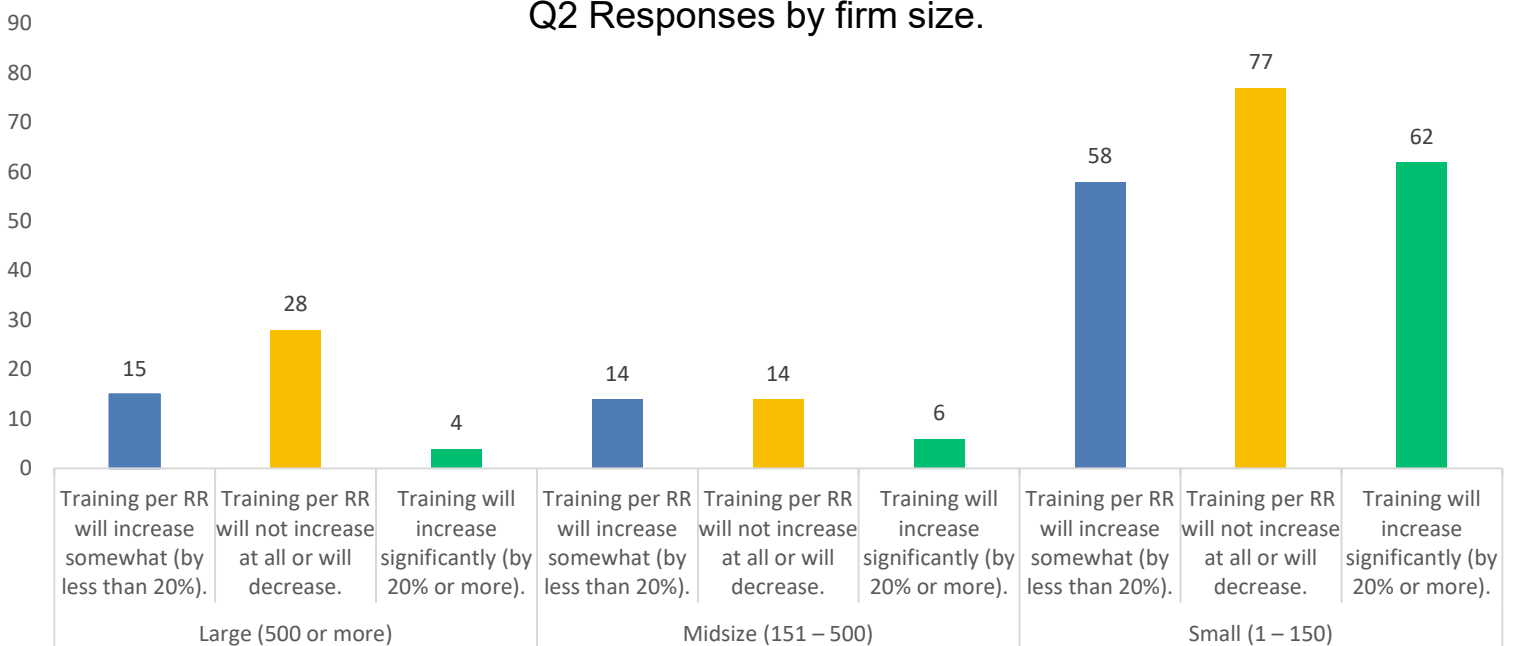
Q2 How do you expect amended FINRA Rules 1210 and 1240 as discussed in Regulatory Notice 21-41 will impact your Firm Element course assignments in 2023 as compared to 2022?

Answered: 277 Skipped: 0



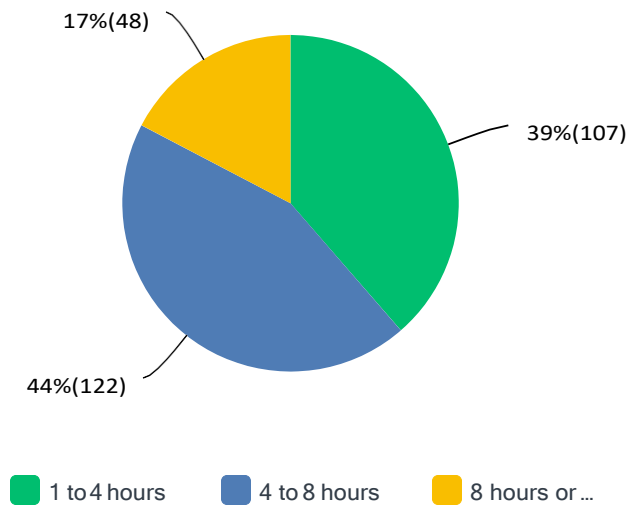
ANSWER CHOICES	RESPONSES	
Training will increase significantly (by 20% or more).	26%	72
Training will increase somewhat (by less than 20%).	31%	87
Training will not increase at all or will decrease.	43%	118
TOTAL		277

Q2 Responses by firm size.

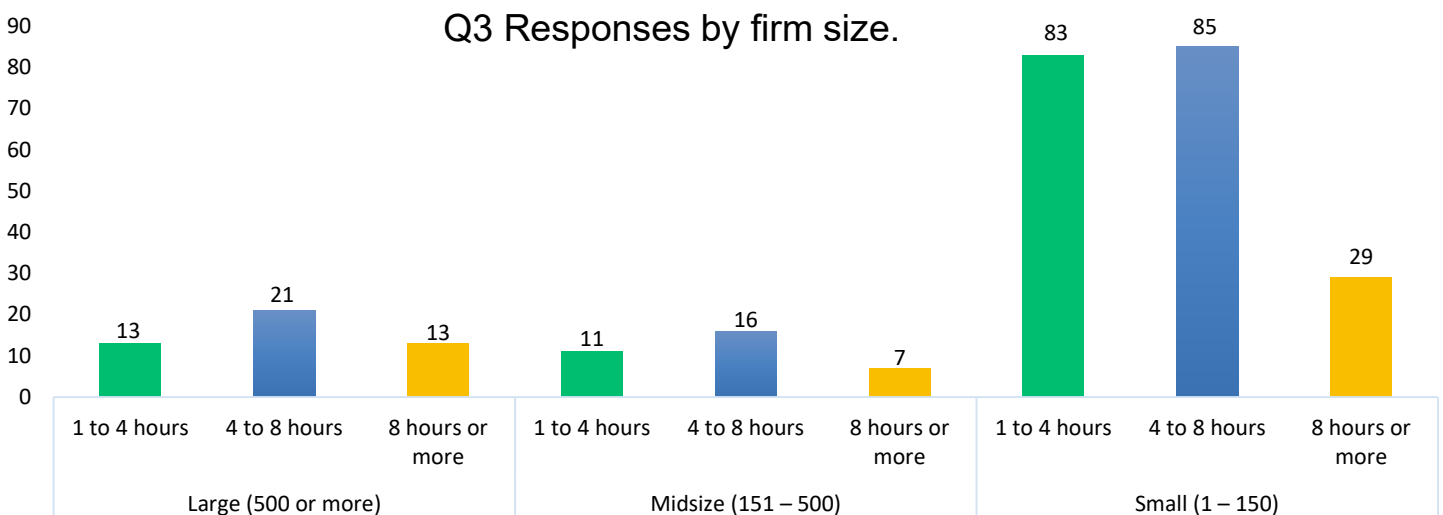


Q3 Please estimate the number of annual firm-administered training compliance hours for a typical RR in 2023 (include Firm Element and training that can be considered Firm Element, i.e., code of conduct/ethics, privacy/cyber training, anti-money laundering (AML), and annual compliance meeting, but exclude Regulatory Element, human resources training, investment adviser representative (IAR) and insurance CE).

Answered: 277 Skipped: 0

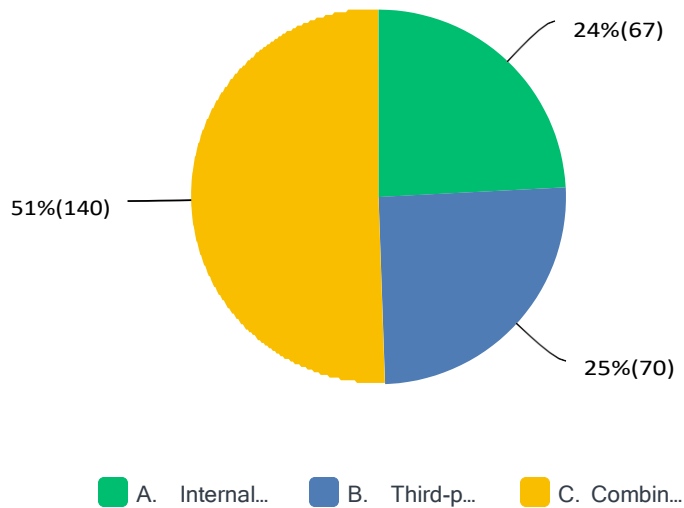


ANSWER CHOICES	RESPONSES	
1 to 4 hours	39%	107
4 to 8 hours	44%	122
8 hours or more	17%	48
TOTAL		277



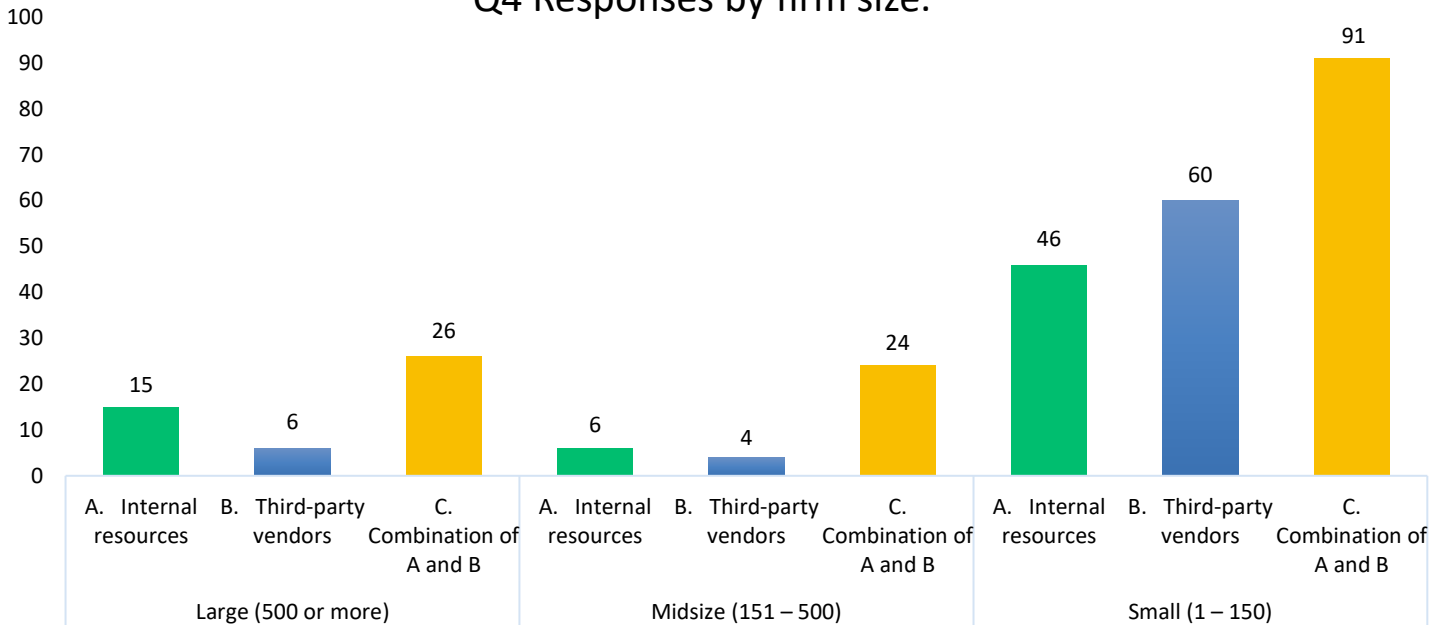
Q4 How is your Firm Element training material developed?

Answered: 277 Skipped: 0



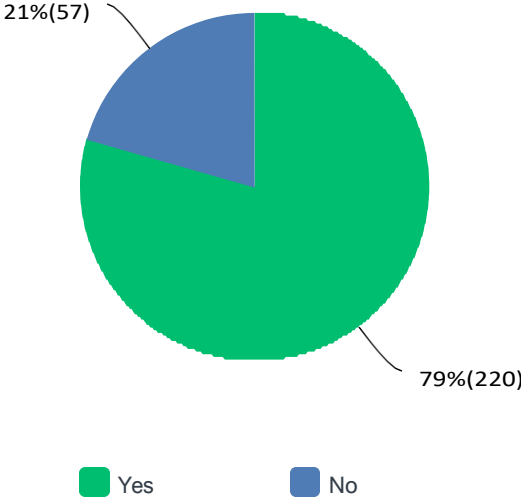
ANSWER CHOICES	RESPONSES	
A. Internal resources	24%	67
B. Third-party vendors	25%	70
C. Combination of A and B	51%	140
TOTAL		277

Q4 Responses by firm size.



Q5 Does your Firm Element training contain any knowledge check or assessments?

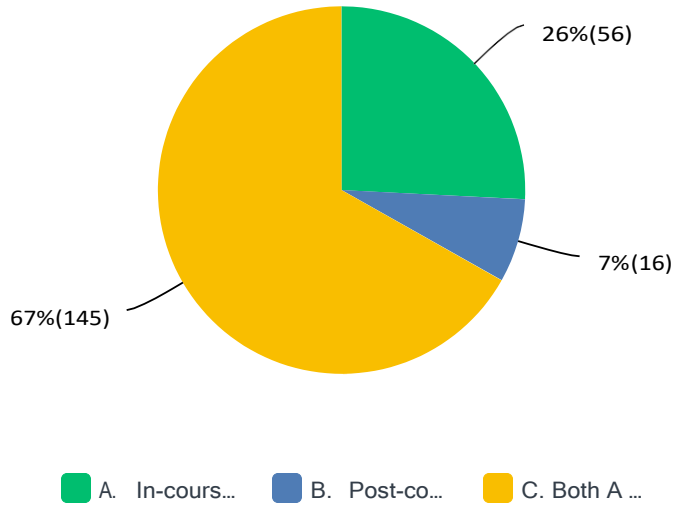
Answered: 277 Skipped: 0



ANSWER CHOICES	RESPONSES
Yes	79% 220
No	21% 57
TOTAL	277

Q6 You indicated that your Firm Element training includes knowledge checks and/or assessments. Select which type applies to your training.

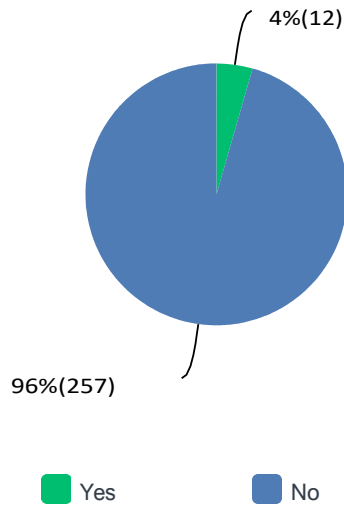
Answered: 217 Skipped: 60



ANSWER CHOICES	RESPONSES	
A. In-course knowledge check questions	26%	56
B. Post-course exam that RRs are required to pass	7%	16
C. Both A and B	67%	145
TOTAL		217

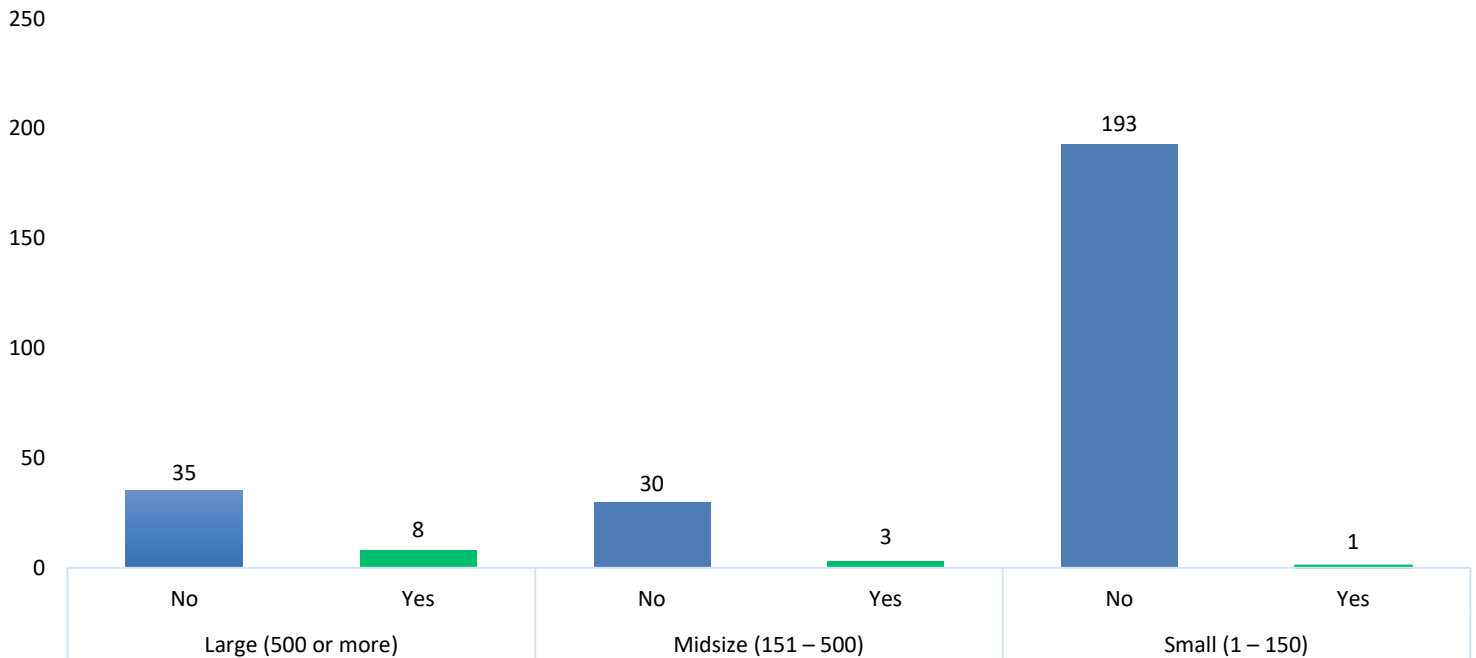
Q7 Does your firm allow RRs to take a quiz prior to completing Firm Element training that, if they pass, allows them to skip or take an abbreviated version of the training?

Answered: 269 Skipped: 8



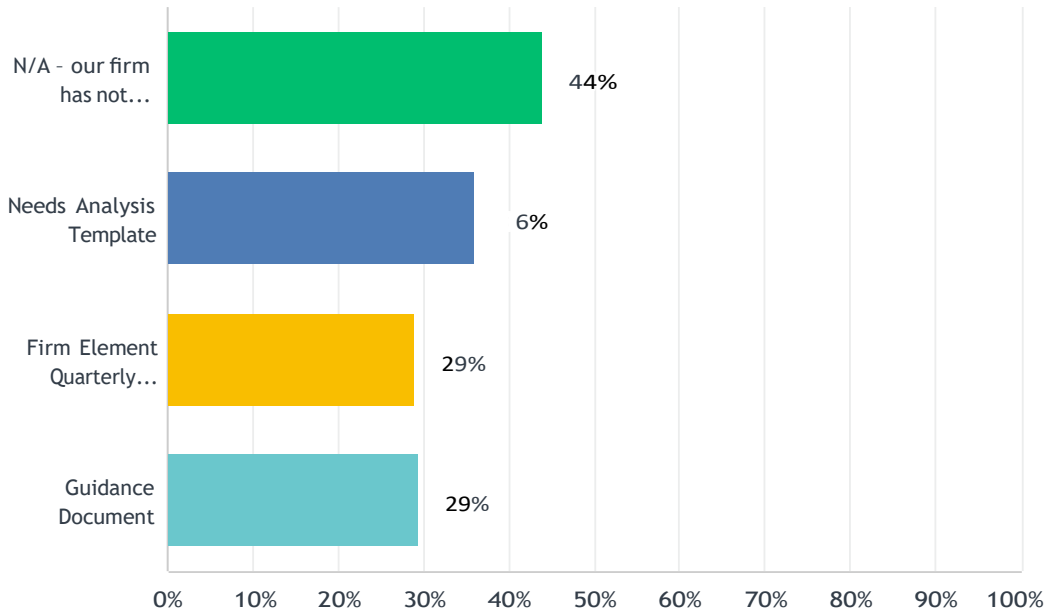
ANSWER CHOICES	RESPONSES	
Yes	4%	12
No	96%	257
TOTAL		269

Q7 Responses by firm size.



Q8 Which of the following materials on the CE Council website does your firm utilize when developing Firm Element? (Select all that apply)

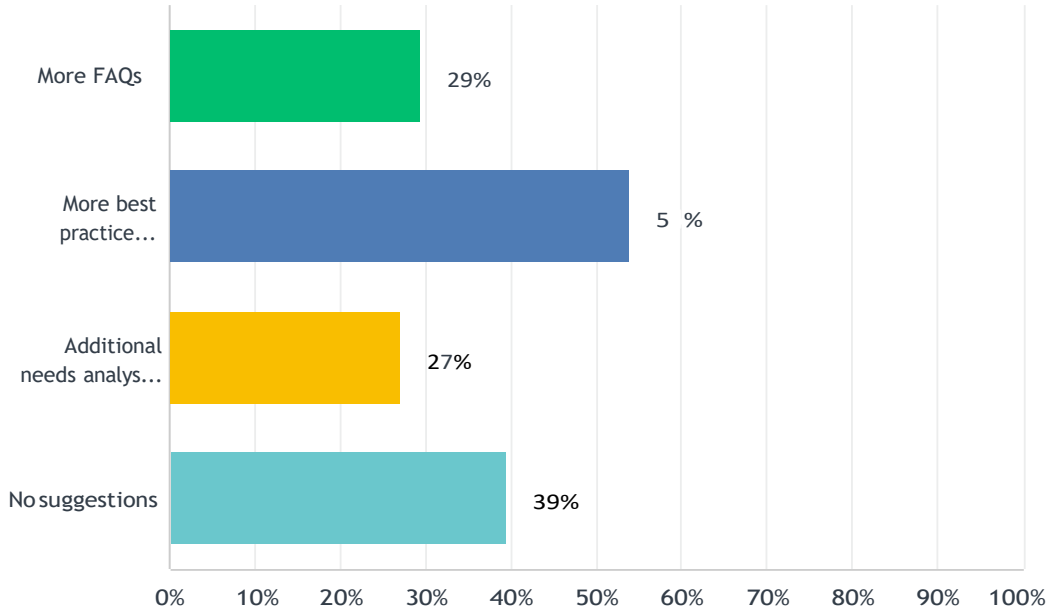
Answered: 269 Skipped: 8



ANSWER CHOICES	RESPONSES	
N/A – our firm has not utilized materials on the CE Council website.	44%	118
Needs Analysis Template	36%	97
Firm Element Quarterly Highlights	29%	78
Guidance Document	29%	79
Total Respondents: 269		

Q9 What types of information would be useful for you to see on the CE Council website? (Select all that apply)

Answered: 269 Skipped: 8



ANSWER CHOICES	RESPONSES	
More FAQs	29%	79
More best practice guidance	54%	145
Additional needs analysis templates	27%	73
No suggestions	39%	106
Total Respondents: 269		