

Overview of the Securities Industry/Regulatory Council on Continuing Education (“CE Council” or “Council”)

The CE Council consists of industry members from broker-dealers that represent a broad cross section of industry firms and of representatives from self-regulatory organizations (SROs). and has advisory and consultative responsibilities to the Securities Industry Continuing Education Program, which include:

- ◆ maintaining liaison with appropriate industry groups and regulators;
- ◆ recommending updates to the specific content of the Regulatory Element;
- ◆ providing guidance for the implementation of Firm Element training programs;
- ◆ recommending updates to the specific content of the Practical Element component of the MQP; and
- ◆ promoting effective implementation of meaningful CE to the securities industry, and
- ◆ maintaining the program on a revenue-neutral basis subject to adequate financial reserves.

Membership Requirements for Industry Members

- ◆ Industry members must be associated with a broker-dealer in a registered capacity when they join the CE Council and typically remain as such during their term.
- ◆ A firm or its affiliate (s) can only have one representative as each industry member represents one vote on the Council.
- ◆ Industry members serve a term of four calendar years commencing in January. The terms of one-fourth of the industry members expire each year.
- ◆ CE Council members are required to attend quarterly meetings for one-and-a-half days. Attendance is required for both meeting days and in person attendance is strongly encouraged. While quarterly meetings are currently held in a hybrid format; there is no guarantee that online attendance will continue to be available.
- ◆ Members are required to be actively engaged in one of the Council subcommittees (e.g., Regulatory and Practical Elements or Firm Element).
- ◆ Each industry member must complete their Regulatory Element CE requirements within the first three calendar months (by March 31st) of each year.
- ◆ Each industry member must participate in a CE Content Committee meeting within 12 months of becoming a member of the Council. An industry member who currently is or has recently been a member of the CE Content Committee will be considered to have satisfied this requirement.

Travel Arrangements and Expenses

FINRA arranges or reimburses CE Council members for reasonable travel expenses related to attending CE Council meetings.

Nomination Process

The Vice Chairperson of the Council heads the Nominating Committee. Nominees to replace outgoing industry representatives are obtained from referrals from members of the Council and the CE Content Committee, as well as online. We look for a diverse group of candidates from various segments of the securities industry considering firm size, geographic location, business functions, product lines and affiliations with other financial services industries.

By July 31st, nominees must submit an application and their resume for review and consideration by the Nominating Committee. Interviews may take place shortly thereafter.

The Nominating Committee reviews the candidates and identifies proposed persons to fill the open industry membership positions. This slate of nominees is presented to the full Council for review and approval at the September meeting. The approved slate of nominees will be invited to attend the Council’s December meeting as part of an orientation to help familiarize them with the structure and workings of the Council, and these individuals will officially become industry voting members in January.

Other Information

For additional information regarding the CE Council you can reference [Regulatory Notice 21-41](#) or [Regulatory Notice 18-26](#). Please feel free to submit questions regarding the nomination process to cecounciladmin@finra.org.

Click the link to complete an indication of interest form:

[Apply to become a member](#)