

S201 Regulatory Element Study Guide

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S201 Regulatory Element Study Guide Author: vps1.nordictrack.vn-2020-10-31-17-32-45 Subject: S201 Regulatory Element Study Guide Keywords: s201,regulatory,element,study,guide Created Date: 10/31/2020 5:32:45 PM

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Training Materials. The Regulatory Element Program consists of periodic computer-based training on regulatory, compliance, ethical, supervisory subjects and sales practice standards. Registered persons are required to participate and complete a designated Regulatory Element within a 120-day period that commences with the second anniversary of their initial securities registration, and reoccur every three years thereafter for as long as they remain in the securities business.

CE Council | Training Materials

The first part, the Regulatory Element, consists of a series of 4 Continuing Education programs. The second part, the Firm Element, is a system implemented and designed in each FINRA member firm. The S201 Regulatory CE requirement may be completed through the new FINRA CE Online Program. This program provides each participant the opportunity to study and be tested on the material over the course of 120 days following registration.

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S101 Regulatory Continuing Education Preparation Course Online

Regulatory Element, consists of a series of 4 Continuing Education programs. S201 Regulatory Continuing Education Prep Course Online 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

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There are two Regulatory Element Programs: S101 Program – for registered persons; S201 Program – for registered Supervisors/Principals; The S101 and S201 Programs are available to complete online using the CE Online Program which provides you with the flexibility to satisfy your Regulatory Element of Continuing Education requirement from a home or office computer— anytime, anywhere within the 120-day period.

Maintaining Your Registration | FINRA.org

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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