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FIRM NAME

## Firm Element Continuing Education Training Plan 20\_\_\_\_\_

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### Supervisory Responsibility

The CCO maintains the responsibility for ensuring that the training plan is implemented in an effective manner or in accordance with its stated scope and objectives.

### Knowledge and Skills to be Addressed by the Program

The goal of the Firm's Continuing Education program is to educate all covered personnel regarding the regulatory rules, regulations, and requirements as they pertain to the following:

**DESCRIBE SPECIFIC SKILLS THAT THE TRAINING WILL TRY AND ADDRESS:**

**EXAMPLE**

- AML – Institutional Recognizing
- AML- Institutional Customer ID
- Insider Trading
- Private Placements
- Mergers & Acquisitions Suitability

### Recent Regulatory Issues and Audit Findings

**DESCRIBE ANY ISSUES NOTED DURING RECENT FINRA, SEC OR STATE EXAMINATIONS THAT WOULD REQUIRE CONTINUING EDUCATION TRAINING**

### Technology to be Used

**SAMPLE LANGUAGE**

The Firm has the computer hardware and technology to use the Internet to access and review continuing education training courses via the Internet. The firm will be required to complete at least 3 CE courses in Ethics, Private Placements and Supervision.

### Specific Training to be Completed

**DESCRIBE THE SPECIFIC TRAINING THAT REGISTERED PERSONNEL WILL COMPLETE.**

## Time Schedule

All covered persons are required to complete all Firm Element Continuing Education Requirements by December 31, **YEAR.**

## Evaluation of the Prior Training Program

After completion of this continuing education program, the CCO will evaluate the program and review feedback from all individuals who completed the training. The CCO will evaluate the effectiveness of prior programs and materials to identify appropriate modifications to existing programs and develop future programs.

## Recordkeeping Requirements

The Firm is required to maintain the following books and records as they pertain to the Continuing Education Program:

- Copy of the annual Needs Analysis
- Copy of the annual Training Plan
- Written documentation of all changes to either the Needs Analysis or Training Plan
- Copies of all relevant articles, publications, and newsletters as required by the Training Plan
- All documentation indicating completion of the requirements of the Training Plan
- Copies of the scores from the FINRA/CRD Regulatory Element of Continuing Education
- Copies of all customer complaints that were used in development of the Firm Element Continuing Education Program
- Feedback from all covered personnel regarding the Firm Element Continuing Education Program
- Notes concerning matters discussed during the continuing education portion of the Annual Compliance Meeting
- All other relevant documentation relating to the Firm Element Continuing Education Program

The CCO will be responsible for maintaining all of the documents

Approval:

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Signature

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Name

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Title

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Date