

Continuing Education Requirements

With precious few exceptions, every associated person of a Broker-Dealer who has contact with a public customer is subject to meeting the Continuing Education requirements specified by the NASD. Continuing Education is extremely important. Properly designed and administered, the firm's Continuing Education program communicates current and essential product, processing, and regulatory knowledge to its associated persons resulting in better customer service.

There are two (2) parts to continuing Education:

- The Regulatory Element administered by the NASD via computer based training; and
- The Firm Element created and administered by the Broker-Dealer.

NCCI can provide the necessary materials for your firm to:

- Meet the stringent requirements for preparation and maintenance of related books and records
- Perform requisite firm-specific annual needs analyses
- Identify "covered persons"
- Design the firm element
- Implement training programs
- Track compliance for Regulatory and Firm Elements