

Information Memo

New York Stock Exchange, Inc.
20 Broad Street
New York, NY 10005



Member Firm Regulation

Number 02-2
January 4, 2002

ATTENTION: MANAGING PARTNER, CHIEF EXECUTIVE OFFICER, BRANCH OFFICE MANAGERS, COMPLIANCE OFFICER, TRAINING AND HR DIRECTORS

TO: ALL MEMBERS AND MEMBER ORGANIZATIONS

SUBJECT: CONTINUING EDUCATION - NEW PROGRAM FOR SERIES 6 REGISTERED PERSONS

Rule 345A (Continuing Education for Registered Persons) permits the Exchange, as appropriate, to designate specific Continuing Education Regulatory Element programs for various registration categories. As announced in Information Memo No. 01-32, a new program has been developed specifically for Series 6 (Investment Company Products/Variable Contracts Limited Representative) examination qualified registered persons.

Effective January 14, 2002, all Series 6 registered persons, who will take the Regulatory Element, will participate in the S106 Program instead of the S101 General Program. All Supervisors/Principals will continue to take the Supervisors Program (S201). All other registration categories will continue to take the General Program (S101).

The S106 Program differs from the existing General Program (S101) in that all seven modules of the S106 Program will deal only with mutual funds or variable contracts. In addition, module 7 of the S106 Program is called Application of Product Knowledge to Sales Practice. This replaces New and Secondary Offerings, which is module 7 in the General Program.

A combined Content Outline for both the S101 and S106 program was issued with Information Memo No. 01-32. The outline can also be viewed or downloaded from www.securitiescep.com, the website of the Securities Industry/Regulatory Council on Continuing Education.

Any questions relating to this memorandum may be directed to Roni Meikle, Continuing Education Manager at (212) 656-2156 or Pat DeVita, Continuing Education Senior Coordinator at (212) 656-2746.

Salvatore Pallante
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