



FINRA Gateway Reports Investment Adviser Continuing Education (IAR CE) Data Definition

Version 0.3

10-25-22

DATE	AUTHOR	VERSION	DESCRIPTION
10-04-19	Sarah Rose	0.1	Initial draft
07-14-22	Sarah Rose	0.2	Updated IAR CE Status
07-14-22	Sarah Rose	0.3	Updated IA CE Status Code, IA CE Status Description, IA CE Requirement Code and IA CE Requirement Description

About the Data Dictionary

- Referring to the table below, the rows of data shown on a white background are available to add to the main table within FINRA Gateway Reports. The rows of data shown with a blue background are hierarchical and will appear in a subtable. The rows of data that are blue and white indicate the data point you will click on to expand the subtable.
- When you want to export data to a CSV file, you can include the main table (white rows) plus one subtable (blue rows). The export will flatten the hierarchy and present all data points in a single row.
- Sample values are listed for each field. If you want to know all the values available for a given field, you can use the Group tool in FINRA Gateway Reports and group by the given field. The grouped view will show you all values for that field available within your data at that point in time.
- If there is no data for a given field, it may show as "Missing" or "Other."

IAR CE Report

Data Field	Data Description	Sample Value(s)
Individual CRD #	Unique Central Registration Depository (CRD) number for the individual.	45689
Last Name	Individual's last name	Smith
First Name	Individual's first name	Jane
IA CE Year	IAR CE requirement year	2022
IA CE Status Code	Status of IAR CE for individual. Same information as included in IA CE Status Description expressed in fewer characters.	REQUIRED NOTREQUIRED SATISFIED INACTIVE FAIL TO RENEW TERMED
IA CE Requirement Code	Indicator as to if individual is subject to the IAR CE requirement. Same information as included in IA CE Requirement Description expressed in fewer characters.	INCOMPLETE NOTREQUIRED COMPLETE
PP Credits Completed	Products & Practices (PP) credits completed	3.00
EPR Credits Completed	Ethics and Professional Responsibility (EPR) credits completed	3.00
Total Credits Completed	Combined total of PP and EPR credits completed	6.00
Employment Active	Indicates if the individual's employment is active	Yes No

IA CE Requirement Description	Indicator as to if individual is subject to the IA CE requirement	Incomplete Not Required Complete
IA CE Status Description	IAR CE status of individual	IARCE Required IARCE Not Required IARCE Satisfied IARCE Inactive IARCE Fail to Renew IARCE Termed
Organization CRD #	Unique Central Registration Depository (CRD) number for the organization	65389
Organization Primary Business Name	Organization primary business name	Financial Services LLC

IAR CE- Course Providers

Data Field	Data Description	Sample Value(s)
Course Provider	Name of the course provider	ACME Educational Services
Course Provider ID	Same as course ID – is this intentional?	S123456
Course ID	Identification number for a course	S123456
Course Type Code	Indicates if the course materials are related Ethics and Professional Responsibility (EPR) or Products and Practices (PP)	EPR PP
Instructor First Name	Course instructor's first name, if available	John
Instructor Last Name	Course instructor's last name, if available	Smith
Instructor ID	Course instructor's ID, if available	7896
Credit Hours	How many credit hours the course covers	1.00
Rate per Credit	How much the course costs per credit	3.00
Total Amount	Rate for the course based on the total number of credits	3.00
Individual CRD#	Unique Central Registration Depository (CRD) number for the individual	44568
First Name	Individual's first name	Sarah
Last Name	Individual's last name	Conner
IA CE Year	The IAR CE year	2022
Completion Date	Date the individual completed the CE course	YYYY-MM-DD

IAR CE – Regulator Report

Data Field	Data Description	Sample Value(s)
Organization CRD #	Unique Central Registration Depository (CRD) number for the organization	4563
Organization Primary Business Name	Organization primary business name	Financial Services LLC
Individual CRD #	Unique Central Registration Depository (CRD) number for the individual.	12345
Last Name	Individual's last name	Doe
First Name	Individual's first name	Jane
IA CE Year	IAR CE year	2022
IA CE Status Code	Status of IAR CE for individual. Same information as included in IA CE Status Description expressed in fewer characters.	REQUIRED NOTREQUIRED SATISFIED INACTIVE FAIL TO RENEW TERMED
IA CE Requirement Code	Indicator as to if individual is subject to the IAR CE requirement. Same information as included in IA CE Requirement Description expressed in fewer characters.	INCOMPLETE NOTREQUIRED COMPLETE
PP Credits Completed	Products & Practices (PP) credits completed	0.00
EPR Credits Completed	Ethics and Professional Responsibility (EPR) credits completed	0.00
Total Credits Completed	Combined total of PP and EPR credits completed	0.00
REGISTRATIONS	Count of registrations held by the individual. Click to see detailed registration information.	11

Organization CRD	Unique Central Registration Depository (CRD) number for the organization	5612
Registration Approved?	Indicator as to if the registration is approved	Yes No
Registration Status Code	Code for the current status of the registration.	Termed Approved t_noreg
Registration Status Name	Name of the current status of the registration.	Termed Approved Termed without registration
Regulator Code	Code for the regulator	AZ
Regulator Name	Regulator name	Arizona
Employment Active?	Indicator as to if the individual is actively employed	Yes No
IA CE Requirement Description	Indicator as to if individual is subject to the IAR CE requirement	INCOMPLETE NOTREQUIRED COMPLETE
IA CE Status Description	IAR CE status of individual	IARCE Required IARCE Not Required IARCE Satisfied IARCE Inactive IARCE Fail to Renew IARCE Termed