

FINRA E-Learning Courses Catalog - 2026

No	Course Title	Course ID	Type of content	Course Category	Course Description	Course Duration	CE Category	CE credit	Active CFP Program ID#
1	Foreign Corrupt Practices Act: Avoiding Improper Payments	ELC110	WBT	AML	<p>In conducting business internationally, firms, their registered representatives (RRs) and other individuals are subject to anti-bribery and anti-corruption laws, including the Foreign Corrupt Practices Act (FCPA). The FCPA generally prohibits improper payments to foreign officials in order to obtain or retain business or secure an improper business advantage. If an RR's actions violate the FCPA, the RR will put their firm and themselves at risk for potentially severe civil and criminal penalties.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - Recognizing what is considered an improper payment - Identifying who must comply with the Foreign Corrupt Practices Act (FCPA) - Identifying payments that must be documented - Understanding related accounting requirements - Understanding the consequences of violating the FCPA <p>To proceed through and complete this course, learners must answer each question correctly. If a learner answers incorrectly, they will be asked the question again until they provide the correct response and then can proceed through the course. CFP Credits are available once individuals successfully complete the course.</p> <p>CFP CE: 0.5</p>	30mn	CFP CE	0.5	338610
2	Supervision: Obligations for Broker-Dealers with Institutional Customers	ELC116	WBT	Supervision	<p>This course covers the regulatory and compliance obligations of supervisors at firms servicing institutional customers.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - Training and maintaining qualified staff - How to review and monitor business - Follow-up and escalation procedures - Documentation of supervisory tasks - Delegation of supervisory tasks <p>This course features an optional exam at the end of the course. Some firms may require learners to complete this section.</p> <p>CFP CE: 0</p>	60mn	None	0	N/A

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3	Fixed Income Suitability: Retail Sales Practices	ELC125	WBT	Product	<p>This course is designed to help learners understand the basic characteristics of fixed income products and a registered person's obligations when selling these products.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - Characteristics of fixed income products - Types of bonds - Risk factors of bonds - Credit ratings - SEC Regulation BI and its component obligations - Sales practice obligations <p>To proceed through and complete this course, learners must answer each question correctly. If a learner answers incorrectly, they will be asked the question again until they provide the correct response and then can proceed through the course. CFP Credits are available once individuals successfully complete the course.</p> <p>CFP CE: 1</p>	60mn	CFP CE	1	237226
4	Retail Branch Office Supervision: Understanding Supervisory Responsibilities	ELC127	WBT	Supervision	<p>This course covers the regulatory and compliance obligations of retail branch office managers and supervisors. These include monitoring, managing and mentoring employees and ensuring compliance with industry practices and regulations.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - Hiring sales and support staff - SEC Regulation BI - Supervising sales activity - Supervising communications with the public - Escalating red flags of suspicious activity <p>To proceed through and complete this course, learners must answer each question correctly. If a learner answers incorrectly, they will be asked the question again until they provide the correct response and then can proceed through the course.</p> <p>CFP CE: 0</p>	75mn	None	0	N/A

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5	Books and Records	ELC131	WBT	Firm Operations	<p>This course covers the obligations of registered persons to maintain records of actions undertaken in their capacity as representatives of the firm. It also covers the types of records, the format in which those records must be maintained and supervision of these procedures.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - Basic SEC and FINRA books and records requirements - Records retention, preservation and supervision requirements - Electronic recordkeeping systems - Business communications records <p>To proceed through and complete this course, learners must answer each question correctly. If a learner answers incorrectly, they will be asked the question again until they provide the correct response and then can proceed through the course. CFP Credits are available once individuals successfully complete the course.</p> <p>CFP CE: 1</p>	60mn	CFP CE	1	237211
6	Outside Business Activities and Private Securities Transactions	ELC132	WBT	Compliance and Ethics	<p>This course covers regulations governing the treatment of outside business activities (OBAs) and reviews factors a registered representative should consider before participating in an OBA or conducting a private securities transaction (PST).</p> <p>Content Includes</p> <ul style="list-style-type: none"> - Defining OBAs and PSTs - Requirements of participating in OBAs and PSTs - Disclosure requirements - The consequences of violating firm and regulatory requirements <p>To proceed through and complete this course, learners must answer each question correctly. If a learner answers incorrectly, they will be asked the question again until they provide the correct response and then can proceed through the course. CFP Credits are available once individuals successfully complete the course.</p> <p>CFP CE: 1</p>	60mn	CFP CE	1	237235

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7	Debt Mark-ups and Disclosure Requirements	ELC143	WBT	Market Integrity	<p>This course covers rules and regulatory guidance surrounding the identification of the prevailing market price and the factors to consider when determining markups on transactions in debt securities. It also explains when and how the markup or markdown must be disclosed on the customer confirmation.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - Fair Prices and Commissions (FINRA Rule 2121) - Factors to consider when determining a fair markup or markdown - Determining the prevailing market price and applying waterfall pricing factors - Markup disclosure requirements <p>To proceed through and complete this course, learners must answer each question correctly. If a learner answers incorrectly, they will be asked the question again until they provide the correct response and then can proceed through the course. CFP Credits are available once individuals successfully complete the course.</p> <p>CFP CE: 0.5</p>	30mn	CFP CE	0.5	237221
8	Customer Information Protection for Registered Representatives	ELC155	WBT	Firm Operations	<p>This course covers concepts to help registered representatives understand procedures for protecting confidential personal customer information and detecting possible breaches in information security.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - SEC Regulation S-P and SEC Regulation S-ID - What is personally identifiable information - How information can become compromised - Types of cyber threats and common scams - Methods to safeguard personal customer information - Red flags of compromised information <p>To proceed through and complete this course, learners must answer each question correctly. If a learner answers incorrectly, they will be asked the question again until they provide the correct response and then can proceed through the course. CFP Credits are available once individuals successfully complete the course.</p> <p>CFP CE: 1</p>	60mn	CFP CE	1	237218

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9	Customer Information Protection for Supervisors	ELC156	WBT	Firm Operations	<p>This course covers concepts to help supervisors implement firm procedures for protecting confidential personal customer information and detecting possible breaches in information security.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - SEC Regulation S-P and SEC Regulation S-ID - What is personally identifiable information - How information can become compromised - Types of cyber threats and common scams - Methods to safeguard personal customer information - Red flags of compromised information <p>To proceed through and complete this course, learners must answer each question correctly. If a learner answers incorrectly, they will be asked the question again until they provide the correct response and then can proceed through the course.</p> <p>CFP CE: 0</p>	60mn	None	0	N/A
10	Insider Trading	ELC157	WBT	Prohibited Practices and Fraud	<p>This course explains insider trading and the consequences of the intentional or inadvertent misuse of material nonpublic information (MNPI). It is designed to help learners understand how to protect themselves and their firm from becoming involved in insider trading.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - Defining insider trading and MNPI - Related rules and regulations - Information barriers - Recognizing suspicious customer activity - Reporting suspicious activity - The potential consequences of insider trading and failing to report suspicious activity <p>To proceed through and complete this course, learners must answer each question correctly. If a learner answers incorrectly, they will be asked the question again until they provide the correct response and then can proceed through the course. CFP Credits are available once individuals successfully complete the course.</p> <p>CFP CE: 1</p>	60mn	CFP CE	1	237232

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11	Gifts: Registered Representative Responsibilities	ELC165	WBT	Compliance and Ethics	<p>This course presents regulatory requirements and industry compliance practices related to business gifts to help you understand your role as a registered representative in complying with FINRA rules.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - Influencing or Rewarding Employees of Others (FINRA Rule 3220) - Guidelines for gift giving - Knowing and complying with firm policies - Gift aggregation - Recordkeeping requirements <p>This course features an optional exam at the end of the course. Some firms may require learners to complete this section. Additionally, CFP Credits are available to individuals who pass the exam.</p> <p>CFP CE: 0.5</p>	30mn	CFP CE	0.5	237229
12	Gifts: Understanding Supervisory Responsibilities	ELC166	WBT	Compliance and Ethics	<p>This course presents regulatory requirements and industry compliance practices related to business gifts to help you understand the role of a supervisor in complying with and monitoring FINRA rules.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - Influencing or Rewarding Employees of Others (FINRA Rule 3220) - Guidelines for gift giving - Knowing and complying with firm policies - Gift aggregation - Recordkeeping requirements <p>This course features an optional exam at the end of the course. Some firms may require learners to complete this section.</p> <p>CFP CE: 0</p>	30mn	None	0	N/A
13	Gifts: Understanding Compliance Responsibilities	ELC167	WBT	Compliance and Ethics	<p>This course presents regulatory requirements and industry compliance practices related to business gifts to help you understand the role compliance staff in complying with and monitoring FINRA rules.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - Influencing or Rewarding Employees of Others (FINRA Rule 3220) - Guidelines for gift giving - Knowing and complying with firm policies - Gift aggregation - Recordkeeping requirements <p>This course features an optional exam at the end of the course. Some firms may require learners to complete this section. Additionally, CFP Credits are available to individuals who pass the exam.</p> <p>CFP CE: 0.5</p>	30mn	CFP CE	0.5	237230

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14	Understanding Retail Structured Products	ELC174	WBT	Product	<p>This course covers the basics of retail structured products as an investment class. It describes some of the features, payoff structures and risks of some of the more popular types of structured products.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - Basic features of some of the more common forms of retail structured products - The risks and benefits associated with investing in retail structured products - Principal protection, participation rate and yield enhancement - Payoff structures - Structured certificates of deposit (CDs) - Principal-protected notes (PPNs) - Reverse exchangeable securities - Investment considerations <p>To proceed through and complete this course, learners must answer each question correctly. If a learner answers incorrectly, they will be asked the question again until they provide the correct response and then can proceed through the course. CFP Credits are available once individuals successfully complete the course.</p> <p>CFP CE: 0.5</p>	30mn	CFP CE	0.5	237246
15	Exchange-Traded Products Understanding Leveraged and Inverse ETPs	ELC179	WBT	Product	<p>This course covers exchange-traded products (ETPs), with a particular focus on leveraged and inverse ETPs. It explains how these products are designed and the factors that can affect the performance of these products, including the effect of compounding on daily reset.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - Types of ETPs - Structure of ETPs - How leveraged and inversed ETPs work - Focus on short-term performance - Effects of compounding over time - Risk and benefits of nontraditional ETPs <p>To proceed through and complete this course, learners must answer each question correctly. If a learner answers incorrectly, they will be asked the question again until they provide the correct response and then can proceed through the course. CFP Credits are available once individuals successfully complete the course.</p> <p>CFP CE: 0.5</p>	30mn	CFP CE	0.5	237225

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16	Understanding Commodity Futures-Linked Securities	ELC181	WBT	Product	<p>This course covers commodity futures-linked securities with a primary focus on exchange-traded products (ETPs) that track futures to gain exposure to commodities and the factors that can affect the performance of these products.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - Differences between spot and future prices - The effect of roll yield - Factors that can affect the performance of commodity futures-linked securities - Methodologies to achieve the investment objectives of different commodity futures-linked securities <p>To proceed through and complete this course, learners must answer each question correctly. If a learner answers incorrectly, they will be asked the question again until they provide the correct response and then can proceed through the course. CFP Credits are available once individuals successfully complete the course.</p> <p>CFP CE: 0.5</p>	30mn	CFP CE	0.5	237245
17	Outside Business Activities and Private Securities Transactions for Wholesalers	ELC184	WBT	Compliance and Ethics	<p>This course covers regulations governing outside business activities (OBAs) and private securities transactions (PSTs), with a focus on the perspective of registered persons who market and sell financial products to broker-dealers. It also focuses on the factors that registered persons should consider before participating in an OBA or PST and how firms can choose to limit or prohibit these activities.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - Defining OBAs and PSTs - Participation requirements - Disclosure requirements - The consequences of violating firm and regulatory requirements <p>This course features an optional exam at the end of the course. Some firms may require learners to complete this section.</p> <p>CFP CE: 0</p>	60mn	None	0	N/A

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18	Outside Business Activities and Private Securities Transactions for Independent Registered Representatives	ELC185	WBT	Compliance and Ethics	<p>This course covers regulations governing outside business activities (OBAs) and private securities transactions (PSTs), with a focus on the perspective of independent registered representatives (RRs). It also focuses on the factors that registered persons should consider before participating in an OBA or PST and how firms can choose to limit or prohibit these activities.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - Defining of OBAs and PSTs - Participation requirements - Disclosure requirements - The consequences of violating firm and regulatory requirements <p>To proceed through and complete this course, learners must answer each question correctly. If a learner answers incorrectly, they will be asked the question again until they provide the correct response and then can proceed through the course. CFP Credits are available once individuals successfully complete the course.</p> <p>CFP CE: 1.5</p>	75mn	CFP CE	1.5	237236
19	Private Placements Conducting Reasonable Investigations for Regulation D Offerings	ELC186	WBT	Institutional	<p>This course covers the use of private placements as a source of capital and sales practices pertaining to these products. It highlights the duty to conduct reasonable investigations concerning SEC Regulation D offerings and red flags of abuses that can occur in these offerings.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - Exemptions under Reg D - Duty to conduct due diligence of the issuer and its securities - Investigating issuers and offerings - Red flags of suspicious activity - Preparing a private placement memorandum - Sales practice obligations <p>To proceed through and complete this course, learners must answer each question correctly. If a learner answers incorrectly, they will be asked the question again until they provide the correct response and then can proceed through the course. CFP Credits are available once individuals successfully complete the course.</p> <p>CFP CE: 1</p>	30mn	CFP CE	1	237238

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20	Privacy Considerations: Conducting Business with Institutional Clients	ELC198	WBT	Firm Operations	<p>This course focuses on the importance of maintaining and protecting private client information and the need to maintain confidentiality when suspicious activity is encountered in institutional business dealings. It also examines the risks of violating privacy and confidentiality policies.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - Ways to protect private client information - Sharing information with third parties - How information becomes compromised - Customer information misconceptions and reality - Reporting compromised information - Confidentiality of Suspicious Activity Reports (SARs) <p>To proceed through and complete this course, learners must answer each question correctly. If a learner answers incorrectly, they will be asked the question again until they provide the correct response and then can proceed through the course.</p> <p>CFP CE: 0</p>	30mn	None	0	N/A
21	Supervision: Obligations When Monitoring Sales and Trading	ELC202	WBT	Supervision	<p>This course reviews a supervisor's obligations to manage their broker-dealer's risk by ensuring that the customer's best interests are looked after while meeting production and operational goals. These obligations include identifying required areas of supervision, meeting supervisory obligations and understanding the potential consequences of failing to carry out supervisory responsibilities.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - Monitoring accounts for suspicious trading activity - Supervising transactions for compliance with SEC Regulation BI - Form CRS requirements - Reviewing accounts for excessive trading and churning <p>To proceed through and complete this course, learners must answer each question correctly. If a learner answers incorrectly, they will be asked the question again until they provide the correct response and then can proceed through the course.</p> <p>CFP CE: 0</p>	30mn	None	0	N/A

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22	Communications With the Public: What Retail Staff Need to Know	ELC210	WBT	Business Conduct	<p>This course covers concepts to help registered representatives understand what constitutes communication with the public and the regulations and obligations that these communications must comply with.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - Types of communications with the public - Communications content standards - Off-channel communications - Approval, recordkeeping and filing requirements - Scenarios to recognize the importance of complying with communications with the public requirements when working with customers <p>This course features an optional exam at the end of the course. Some firms may require learners to complete this section. Additionally, CFP Credits are available to individuals who pass the exam.</p> <p>CFP CE: 0.5</p>	30mn	CFP CE	0.5	237214
23	Communications With the Public: Compliance Issues for Wholesalers	ELC211	WBT	Business Conduct	<p>This course covers concepts to help wholesalers understand what constitutes communication with the public as well as the regulations and obligations that apply. It also reminds wholesalers that, while their day-to-day business does not involve interaction with the retail customers, the communications the wholesalers created may end up in customers' hands.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - Types of communications with the public - Communications content standards - Approval, recordkeeping and filing requirements - Scenarios to recognize the importance of reviewing communications before use <p>This course features an optional exam at the end of the course. Some firms may require learners to complete this section.</p> <p>CFP CE: 0</p>	30mn	None	0	N/A

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24	Communications With the Public: Compliance Issues for Independent Registered Representatives	ELC212	WBT	Business Conduct	<p>This course covers concepts to help independent registered representatives understand what constitutes communication with the public and the regulations and obligations that these communications must comply with.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - Types of communications with the public - Communications content standards - Off-channel communications - Approval, recordkeeping and filing requirements - Scenarios that emphasize the importance of complying with communications with the public requirements when working with customers <p>This course features an optional exam at the end of the course. Some firms may require learners to complete this section. Additionally, CFP Credits are available to individuals who pass the exam.</p> <p>CFP CE: 0.5</p>	30mn	CFP CE	0.5	237213
25	Electronic Communications: What Retail Staff Need to Know	ELC213	WBT	Business Conduct	<p>This course is designed to help retail registered representatives understand the rules and regulations applicable to using social media and other electronic communications for business purposes.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - Communications with the public regulations - Using social media for business purposes - Off-channel communications - Supervision requirements - Approval, recordkeeping and filing requirements <p>This course features an optional exam at the end of the course. Some firms may require learners to complete this section. Additionally, CFP Credits are available to individuals who pass the exam.</p> <p>CFP CE: 0.5</p>	30mn	CFP CE	0.5	237223

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26	Electronic Communications: What Supervisors Need to Know	ELC214	WBT	Business Conduct	<p>This course is designed to help supervisors understand the rules and regulations applicable to using social media and electronic communications for business purposes and to make sure that the registered representatives whom they supervise comply with the rules.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - Communications with the public regulations - Using social media for business purposes - Off-channel communications - Supervision requirements - Approval, recordkeeping and filing requirements <p>This course features an optional exam at the end of the course. Some firms may require learners to complete this section.</p> <p>CFP CE: 0</p>	30mn	None	0	N/A
27	Electronic Communications: What Wholesalers Need to Know	ELC215	WBT	Business Conduct	<p>This course is designed to help individuals working for wholesaler firms understand the rules and regulations applicable to electronic communications. This applies even if their day-to-day business does not involve interaction with customers because communications they created may end up in their hands.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - Communications with the public regulations - Using social media for business purposes - Off-channel communications - Supervision requirements - Approval, recordkeeping and filing requirements <p>This course features an optional exam at the end of the course. Some firms may require learners to complete this section.</p> <p>CFP CE: 0</p>	30mn	None	0	N/A

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28	Electronic Communications: What Independent Registered Representatives Need to Know	ELC216	WBT	Business Conduct	<p>This course is designed to help independent registered representatives understand the rules and regulations applicable to using social media and electronic communications for business purposes.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - Communications with the public regulations - Using social media for business purposes - Off-channel communications - Supervision requirements - Approval, recordkeeping and filing requirements <p>This course features an optional exam at the end of the course. Some firms may require learners to complete this section. Additionally, CFP Credits are available to individuals who pass the exam.</p> <p>CFP CE: 0.5</p>	30mn	CFP CE	0.5	237222
29	Understanding Social Media for Retail Registered Representatives	ELC217	WBT	Business Conduct	<p>This course is designed to help registered representatives understand the rules and regulations applicable to using social media websites and how to comply with them.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - Types of communications and applicable content standards - Approval, recordkeeping and filing requirements - Interactive and static content on social media sites - Third-party posts - Off-channel communications - Special considerations when using social media <p>This course features an optional exam at the end of the course. Some firms may require learners to complete this section. Additionally, CFP Credits are available to individuals who pass the exam.</p> <p>CFP CE: 0.5</p>	30mn	CFP CE	0.5	237247

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30	Corporate and Government Bonds: Regulatory Considerations	ELC226	WBT	Product	<p>This course examines different types of bonds, including corporate and government bonds such as Treasury, agency and government-sponsored enterprise (GSE) bonds. It reviews bond fundamentals, risks and regulatory concepts related to bond sales.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - Bonds characteristics and attributes - Bonds pricing and yield - SEC Regulation BI and suitability - Regulatory issues when communicating with customers - Trade reporting issues and compliance - Investment risks associated with bonds <p>This course features an optional exam at the end of the course. Some firms may require learners to complete this section. Additionally, CFP Credits are available to individuals who pass the exam.</p> <p>CFP CE: 1.0</p>	60mn	CFP CE	1	237217
31	Municipal Bonds: Regulatory Considerations	ELC231	WBT	Product	<p>This course covers the basics of municipal bonds and some of the inherent risks associated them. It is designed to help you better understand risks, sales practice issues, rules and regulations related to these bonds.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - Municipal bond characteristics - Types of municipal bonds - Features of municipal bonds - Bond pricing and yield - Regulation of bond markets - Suitability and SEC Regulation BI - Fair dealing - Best execution - Fair pricing and markup policy - The Electronic Municipal Market Access (EMMA) platform - Investment risks <p>To proceed through and complete this course, learners must answer each question correctly. If a learner answers incorrectly, they will be asked the question again until they provide the correct response and then can proceed through the course. CFP Credits are available once individuals successfully complete the course.</p> <p>CFP CE: 1</p>	60mn	CFP CE	1	237234

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32	Real Estate Investment Trusts (REITs): Regulatory Considerations	ELC234	WBT	Product	<p>This course is designed to help you better understand Real Estate Investment Trusts (REITs) and their associated risks, regulations and sales practice issues. It addresses some of the features and benefits of these products, as well as the regulatory implications that apply when selling them.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - What is a REIT? - Qualifying as a REIT - Types of features of REITs - Investment risks associated with REITs - Communications with the public regarding REITs - REIT valuation on account statements <p>To proceed through and complete this course, learners must answer each question correctly. If a learner answers incorrectly, they will be asked the question again until they provide the correct response and then can proceed through the course. CFP Credits are available once individuals successfully complete the course.</p> <p>CFP CE: 1</p>	60mn	CFP CE	1	237240
33	Cybersecurity: Understanding Your Role	ELC238	WBT	Firm Operations	<p>This course focuses on the necessity for cybersecurity controls in your day-to-day business. It will help you identify some of the cyberthreats that can harm you, your customers and your firm. The course will also help you better understand the rules and regulations that apply to cybersecurity.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - SEC Regulation S-P and SEC Regulation S-ID - Creating response plans to cyberattacks - Phishing, email hacking and other common scams - Protection from cyberattacks <p>To proceed through and complete this course, learners must answer each question correctly. If a learner answers incorrectly, they will be asked the question again until they provide the correct response and then can proceed through the course. CFP Credits are available once individuals successfully complete the course.</p> <p>CFP CE: 0.5</p>	30mn	CFP CE	0.5	340840

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34	Conflicts of Interest	ELC242	WBT	Compliance and Ethics	<p>This course highlights conflicts of interests that could arise between registered representatives, customers and firms in the securities industry.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - How to identify conflicts of interests - Understanding obligations when conflicts of interest arise - Relevant rules and regulations - Methods to mitigate and manage conflicts of interests <p>This course features an optional exam at the end of the course. Some firms may require learners to complete this section. Additionally, CFP Credits are available to individuals who pass the exam.</p> <p>CFP CE: 0.5</p>	30mn	CFP CE	0.5	237215
35	Senior Investor Issues: Financial Exploitation	ELC247	WBT	Senior	<p>This course focuses on different forms of financial exploitation, especially those typically targeted toward senior investors. It also reminds registered representatives that fulfilling their regulatory obligations can help protect senior investors from financial exploitation.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - FINRA Rule 2090 (Know Your Customer) and FINRA Rule 4512 (Customer Account Information) - SEC Regulation BI - FINRA Rule 2210 (Communications with the Public) - Red flags of financial exploitations to seniors - Reporting responsibility and regulatory obligations - Effective practices to protect senior investors from financial exploitations <p>To proceed through and complete this course, learners must answer each question correctly. If a learner answers incorrectly, they will be asked the question again until they provide the correct response and then can proceed through the course. CFP Credits are available once individuals successfully complete the course.</p> <p>CFP CE: 1</p>	60mn	CFP CE	1	237242

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36	Insider Trading: Understanding Your Responsibilities	ELC248	WBT	Prohibited Practices and Fraud	<p>This course covers specific rules and regulations that prohibit insider trading and provides registered representatives with examples of material, nonpublic information (MNPI). Scenarios are designed to help learners identify and escalate potential insider trading by their customers and others.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - Defining insider trading - Applicable rules and regulations - What is MNPI? - Procedures to prevent the misuse of MNPI - Recognizing and reporting suspicious activities <p>To proceed through and complete this course, learners must answer each question correctly. If a learner answers incorrectly, they will be asked the question again until they provide the correct response and then can proceed through the course. CFP Credits are available once individuals successfully complete the course.</p> <p>CFP CE: 1</p>	60mn	CFP CE	1	237233
37	Books and Records for Operations Professionals	ELC256	WBT	Firm Operations	<p>This course covers the obligations of operations professionals in maintaining books and records when conducting firm business. It emphasizes the importance of adhering to regulatory recordkeeping and retention requirements and firm-specific guidance.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - FINRA Rule 4510 (Books and Records Requirements) - FINRA Rule 2210 (Communications with the Public) - Integrity of books and records - Retention periods - Recordkeeping format - Compliant electronic storage media - Consequences of failing to meet books and records requirements <p>To proceed through and complete this course, learners must answer each question correctly. If a learner answers incorrectly, they will be asked the question again until they provide the correct response and then can proceed through the course. CFP Credits are available once individuals successfully complete the course.</p> <p>CFP CE: 0.5</p>	30mn	CFP CE	0.5	250701

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38	529 Savings Plans and ABLE Programs	ELC258	WBT	Product	<p>This course covers the unique characteristics and common costs associated with 529 savings plans and Achieving a Better Life (ABLE) programs. It also emphasizes a registered representative's regulatory responsibilities when recommending these products to customers.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - Relevant rules and regulations - 529 savings plan features and eligibility requirements - Qualified education expenses - ABLE program features and eligibility requirements - Qualified disability expenses - Contribution limits - Investment options and risks - Fees and expenses - Account distributions <p>To proceed through and complete this course, learners must answer each question correctly. If a learner answers incorrectly, they will be asked the question again until they provide the correct response and then can proceed through the course. CFP Credits are available once individuals successfully complete the course.</p> <p>CFP CE: 1</p>	30mn	CFP CE	1	254420
39	Financial Exploitation of Senior and Vulnerable Adults	ELC261	WBT	Senior	<p>This course is designed to help registered representatives understand their responsibilities in protecting senior and vulnerable adult clients from financial exploitation. It also covers the red flags of common fraudulent schemes and how to escalate them.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - FINRA Rule 2165 (Financial Exploitation of Specified Adults) Temporary holds on disbursements - FINRA Rule 4512 (Customer Account Information) and trusted contacts - Recognizing signs of diminished capacity - Senior Safe Act - Red flags of financial exploitation - Appropriate escalation and reporting procedures - Understanding potential risks for customers, registered representatives and firms <p>To proceed through and complete this course, learners must answer each question correctly. If a learner answers incorrectly, they will be asked the question again until they provide the correct response and then can proceed through the course. CFP Credits are available once individuals successfully complete the course.</p> <p>CFP CE: 1</p>	60mn	CFP CE	1	268336

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No	Course Title	Course ID	Type of content	Course Category	Course Description	Course Duration	CE Category	CE credit	Active CFP Program ID#
40	Regulation BI (Best Interest) Compliance for Registered Representatives and Their Supervisors	ELC263	WBT	Business Conduct	<p>This course is intended to provide information on the obligations of SEC Regulation BI to registered representatives and their supervisors while closely reviewing the text of the rule.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - When SEC Reg BI applies - The component obligations of Reg BI - Maintaining compliance with Reg BI <p>This course features an optional exam at the end of the course. Some firms may require learners to complete this section. Additionally, CFP Credits are available to individuals who pass the exam.</p> <p>CFP CE: 1</p>	60mn	CFP CE	1	275751
41	面向注册代表及其主管的《最佳利益法规》(Reg BI) 合规性课程	ELC263C	WBT	Business Conduct, Language	<p>本课程旨在向注册代表 (Registered Representative/RR) 及其主管介绍有关美国证券交易委员会 (SEC) 《最佳利益法规》(Reg BI) 的各项义务。同时仔细了解该规则的文本。</p> <p>内容包括:</p> <ul style="list-style-type: none"> - SEC Reg BI 的适用范围 - Reg BI 的核心义务 - 如何保持 Reg BI 合规 <p>This course features an optional exam at the end of the course. Some firms may require learners to complete this section.</p> <p>CFP CE: 1</p>	60mn	CFP CE	1	275751
42	Cumplimiento de la regulación de mejor interés (Reg BI) para representantes registrados y sus supervisores	ELC263S	WBT	Business Conduct, Language	<p>Este curso tiene como objetivo brindar información sobre las obligaciones de la Regulación BI de la SEC a los representantes registrados y sus supervisores mientras se revisa de cerca el texto de la norma</p> <p>contenido incluye:</p> <ul style="list-style-type: none"> - Cuando se aplica la Reg BI de la SEC - Las obligaciones que componen la Reg BI - Cómo cumplir la Reg BI <p>This course features an optional exam at the end of the course. Some firms may require learners to complete this section.</p> <p>CFP CE: 1</p>	60mn	CFP CE	1	275751

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No	Course Title	Course ID	Type of content	Course Category	Course Description	Course Duration	CE Category	CE credit	Active CFP Program ID#
43	Information Barriers: Protecting MNPI and Preventing Insider Trading	ELC264	WBT	Supervision	<p>This course is designed to help securities industry professionals understand information barriers relating to safeguarding material nonpublic information (MNPI) and preventing insider trading.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - Relevant laws and regulations - Information barriers - Risks of information barrier failure - Wall crossing procedures - Restricted list and watch lists - Risk control strategies <p>This course features an optional exam at the end of the course. Some firms may require learners to complete this section. Additionally, CFP Credits are available to individuals who pass the exam.</p> <p>CFP CE: 0.5</p>	30mn	CFP CE	0.5	278279
44	Fixed Income ETFs	ELC265	WBT	Product	<p>This course covers the underlying products and mechanics of exchange-traded funds (ETFs) to help learners understand fixed income ETFs. The course also highlights the advantages and disadvantages of investing in fixed income ETFs and provides guidelines to compare them to one another as well as to other products available on the market.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - Fixed income product basics - Risk factors of fixed income products and ETFs - ETF basics - ETF creation and redemption - Types of fixed income ETFs - Leveraged and inverse ETFs <p>To proceed through and complete this course, learners must answer each question correctly. If a learner answers incorrectly, they will be asked the question again until they provide the correct response and then can proceed through the course. CFP Credits are available once individuals successfully complete the course.</p> <p>CFP CE: 0.5</p>	30mn	CFP CE	0.5	293897

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45	Compliance Reminders for Supervisors	ELC266	WBT	Annual Reviews	<p>This course covers the obligations of supervisors when overseeing registered representatives and the applicable securities laws, regulations and firm written supervisory procedures (WSPs) that they must comply with.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - Regulatory framework of supervision - Reviews of correspondence and internal communications - Transaction review and investigation - Customer complaints - Outside business activities (OBAs) and private securities transactions - FINRA Form U4 obligations <p>To proceed through and complete this course, learners must answer each question correctly. If a learner answers incorrectly, they will be asked the question again until they provide the correct response and then can proceed through the course.</p> <p>CFP CE: 0</p>	30mn	None	0	N/A
46	Treasury Securities	ELC267	WBT	Product	<p>This course provides an in-depth analysis of Treasury securities, a cornerstone of fixed-income markets. It is designed to help learners differentiate between several types of Treasury securities, describe their markets, and understand common trading strategies featuring these products.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - The types of Treasury securities offered and their features - Treasury auctions - Trading Treasury securities on secondary markets - Bond pricing and quotations - The yield curve - Common trading strategies related to Treasury securities and their risks - Taxation of Treasury securities <p>To proceed through and complete this course, learners must answer each question correctly. If a learner answers incorrectly, they will be asked the question again until they provide the correct response and then can proceed through the course. CFP Credits are available once individuals successfully complete the course.</p> <p>CFP CE: 0.5</p>	30mn	CFP CE	0.5	313096

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47	Form U4: A Tool for Transparency	ELC268	WBT	Firm Operations	<p>This course provides important reminders regarding the reporting obligations that registered individuals have with Form U4 throughout different phases of their careers and proactive steps they can take to meet this obligation.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - Purpose of Form U4 - The sections of the Form U4 - Disclosure obligations - When to update a Form U4 - Form U5 - Obligations after leaving the industry - Steps to register and file Form U4 through the Financial Professional Gateway (FinPro) system <p>To proceed through and complete this course, learners must answer each question correctly. If a learner answers incorrectly, they will be asked the question again until they provide the correct response and then can proceed through the course. CFP Credits are available once individuals successfully complete the course.</p> <p>CFP CE: 0.5</p>	30mn	CFP CE	0.5	316771
48	Identifying and Escalating Customer Complaints	ELC269	WBT	Compliance and Ethics	<p>This course covers the role that registered representatives (RRs) play in properly identifying and escalating customer complaints. It highlights some common errors in these areas, along with the potential ramifications for both RRs and firms. The course also examines the regulatory framework for these requirements and what happens to a complaint once it is reported to FINRA.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - Proper handling of customer complaints - Common misconceptions about customer complaints - How customer complaint information appears on RRs' records - FINRA Rule 4513 (Record of Written Customer Complaints) - FINRA Rule 4530 (Reporting Requirements) <p>To proceed through and complete this course, learners must answer each question correctly. If a learner answers incorrectly, they will be asked the question again until they provide the correct response and then can proceed through the course. CFP Credits are available once individuals successfully complete the course.</p> <p>CFP CE: 0.5</p>	30mn	CFP CE	0.5	316772

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49	Ethical Decision Making	ELC270	WBT	Compliance and Ethics	<p>This course examines the importance of acting ethically for registered representatives (RRs) and what to do if they see unethical behavior in the workplace. It also explains how to recognize and mitigate ethical dilemmas in the financial industry through real world examples.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - Understanding why it is important to act ethically - Recognizing ethical dilemmas and conflicts of interest - Common conflicts of interest in the financial industry - Reporting unethical behavior in the workplace <p>To proceed through and complete this course, learners must answer each question correctly. If a learner answers incorrectly, they will be asked the question again until they provide the correct response and then can proceed through the course.</p> <p>CFP CE: 0</p>	30mn	None	0	N/A
50	Prohibited Conduct in Customer Relationships	ELC272	WBT	Prohibited Practices and Fraud	<p>This course provides awareness of certain prohibited practices surrounding customer relationships. It covers a wide range of job functions and registrations by taking a thematic approach to identifying and analyzing certain prohibited practices related to fair dealing with customers.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - Unauthorized account activity - Discretionary accounts and trading authorization - Excessive trading and churning - Communications standards - Misuse of material non-public information <p>To proceed through and complete this course, learners must answer each question correctly. If a learner answers incorrectly, they will be asked the question again until they provide the correct response and then can proceed through the course. CFP Credits are available once individuals successfully complete the course.</p> <p>CFP CE: 0.5</p>	30mn	CFP CE	0.5	318199

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51	Written Supervisory Procedures	ELC276	WBT	Supervision	<p>This course covers the creation and maintenance of written supervisory procedures (WSPs) and common areas that they cover.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - Basic WSP requirements - Maintenance and documentation of WSPs - Supervision and conflicts of interest - Communication reviews - Customer account reviews - Transaction review and investigation <p>This course features an optional exam at the end of the course. Some firms may require learners to complete this section.</p> <p>CFP CE: 0</p>	30mn	None	0	N/A
52	Supervisory Sytems	ELC277	WBT	Supervision	<p>This course covers the basic framework of a supervisory system required under FINRA rules, including the requirements for office and personnel registrations, internal inspections and annual compliance meetings.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - Basic components for a supervisory control system specified by FINRA's Supervision Rule (Rule 3110) - Written supervisory procedures (WSPs) - Types of offices and the business that is permitted to be conducted at each office - Supervision of offices and registered persons - Annual compliance meeting requirements Internal inspections <p>This course features an optional exam at the end of the course. Some firms may require learners to complete this section.</p> <p>CFP CE: 0</p>	30mn	None	0	N/A

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53	Regulatory Considerations for New Products	ELC278	WBT	Product	<p>This course covers the review process that vets a new product for regulatory concerns per FINRA guidelines. As the learner explores the vetting process, they are reminded that registered persons are only permitted to sell products that the firm with which they are associated offers.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - Definition of a new product - Vetting procedures guidelines - Internal product review - Formal approval - Understanding of why it is imperative to only sell approved firm products - Resources for additional considerations for specific products <p>This course features an optional exam at the end of the course. Some firms may require learners to complete this section.</p> <p>CFP CE: 0</p>	30mn	None	0	N/A
54	Returning to the Industry: Hybrid Work Environments	ELC279	WBT	Firm Operations	<p>This course prepares learners for working in a hybrid work environment, which includes working remotely and returning to an office setting. It also provides guidance on applying firm policies and procedures while working in each environment.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - Setting up a home office - Gifts and entertainment policies - Cybersecurity and protecting confidential information - Returning to the office - Applying firm policies and procedures in remote and office settings <p>This course features an optional exam at the end of the course. Some firms may require learners to complete this section.</p> <p>CFP CE: 0</p>	30mn	None	0	N/A

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55	2024 Annual Compliance Review	ELC280	WBT	Annual Reviews	<p>This course aims to help learners understand registered persons' compliance obligations through scenarios based on real enforcement actions.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - Personal securities accounts and investments away from the firm - Securities transactions away from the firm - Markups, commissions and fees charged for services - Handling customer complaints - Cooperating with FINRA staff - Speaking up <p>This course features an optional exam at the end of the course. Some firms may require learners to complete this section. Additionally, CFP Credits are available to individuals who pass the exam.</p> <p>CFP CE: 0.5</p>	30mn	CFP CE	0.5	324237
56	2024 Annual Industry Priorities Review	ELC281	WBT	Annual Reviews	<p>This annual course highlights select industry priorities from FINRA's Examinations and Risk Monitoring Program report. It works to familiarize learners with resources and methods for staying current on their own.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - Manipulative trading - Regulatory events reporting Private placements - Segregation of assets and customer accounts <p>This course features an optional exam at the end of the course. Some firms may require learners to complete this section.</p> <p>CFP CE: 0</p>	30mn	None	0	N/A

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57	2024 Annual AML Review	ELC282	WBT	Annual Reviews	<p>This course reviews basic anti-money laundering (AML) program requirements and established practices for creating and maintaining a robust AML program, with a focus on detecting and reporting suspicious activity. It also focuses on current industry trends and the consequences of failing to identify red flags of suspicious activity.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - Fundamentals - Identifying and reporting suspicious activity - Fraud and cyber schemes - ACATS fraud - FinCEN's Customer Due Diligence Requirements (the CDD Rule) - Sanctions, anti-bribery and anti-corruption <p>This course features an optional exam at the end of the course. Some firms may require learners to complete this section. Additionally, CFP Credits are available to individuals who pass the exam.</p> <p>CFP CE: 0.5</p>	30mn	CFP CE	0.5	326180
58	2024 Supervisory Trends Review	ELC283	WBT	Annual Reviews	<p>This course provides learners with a resource for staying current with trends in the regulatory landscape. It reviews important reminders from the previous year and uses scenarios to have learners practice making decisions regarding registered persons' actions.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - FINRA's Supervision Rule (FINRA Rule 3110) - Annual Report on FINRA's Examination and Risk Monitoring Program - Outside business activities (OBAs) and private securities transactions (PSTs) - Communications with the public - Regulatory events and other disclosures <p>This course features an optional exam at the end of the course. Some firms may require learners to complete this section.</p> <p>CFP CE: 0</p>	30mn	None	0	N/A

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59	Securities Regulation Fundamentals	ELC284	WBT	Securities Regulations	<p>This course reviews major legislation that shapes the structure of U.S. securities regulation and the regulators who create and enforce these rules. The course also works to describe the mission and jurisdiction of these regulators and helps learners distinguish between different types of investment professionals in the securities industry.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - Federal and state regulators that govern the securities sector - The mission and jurisdiction of regulators in the securities industry - Self-regulatory organizations (SROs), including security exchanges, FINRA and the MSRB - Distinguish between participants in the securities markets <p>This course features an optional exam at the end of the course. Some firms may require learners to complete this section.</p> <p>CFP CE: 0</p>	30mn	None	0	N/A
60	AML Overview	ELC285	WBT	AML	<p>This course highlights FINRA's Anti-Money Laundering (AML) Compliance Program (FINRA Rule 3310) and the Bank Secrecy Act (BSA) and its implementing regulations. Required procedures are covered, and learners are given the choice between scenarios targeted at retail representatives, operations professionals and institutional sales.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - Written AML compliance programs - Customer identification program (CIP) and customer due diligence - Beneficial ownership information - Verifying customer identification information - Red flags of suspicious activity - Reporting suspicious activity <p>This course features an optional exam at the end of the course. Some firms may require learners to complete this section. Additionally, CFP Credits are available to individuals who pass the exam.</p> <p>CFP CE: 1.5</p>	75mn	CFP CE	1.5	328895

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61	AML Overview: Understanding the Supervisor's Role	ELC286	WBT	AML	<p>This course explores why anti-money laundering (AML) compliance programs and ongoing customer due diligence are necessary. It also describes with a focus on the supervisor's role in recognizing and escalating suspicious activity.</p> <p>Content Includes:</p> <ul style="list-style-type: none"> - Customer Identification Programs - Verification of Customer Information - Beneficial Ownership - Assessing Money Laundering Risk - Detecting Suspicious Activities - Reporting Suspicious Activity <p>This course features an optional exam at the end of the course. Some firms may require learners to complete this section.</p> <p>CFP CE: 0</p>	60min	None	0	N/A
62	AML Compliance: Suspicious Activity Reporting	ELC287	WBT	AML	<p>This course examines the key elements of completing and filing suspicious activity reports (SARs). It also covers procedures surrounding SAR filings and how firms are expected to follow up them.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - When to File a SAR - Recordkeeping - Confidentiality - SAR Filing Procedures - Writing a SAR Narrative - Amending SARs and Continuing Activity <p>To proceed through and complete this course, learners must answer each question correctly. If a learner answers incorrectly, they will be asked the question again until they provide the correct response and then can proceed through the course.</p> <p>CFP CE: 0</p>	30min	CFP CE	0.5	333728

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63	AML Compliance: Account Monitoring	ELC288	WBT	AML	<p>This course focuses on the requirements of the Bank Secrecy Act (BSA) and common red flags of money laundering that may be present in customer interactions and transaction reviews.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - Customer Due Diligence - Suspicious Activity Reports - Account Opening Flags - Transaction Reviews - Suspicious Transactions and Money Movements - Low-Priced Securities - Investigations <p>To proceed through and complete this course, learners must answer each question correctly. If a learner answers incorrectly, they will be asked the question again until they provide the correct response and then can proceed through the course. CFP Credits are available once individuals successfully complete the course.</p> <p>CFP CE: 0.5</p>	30min	CFP CE	0.5	335341
64	Regulatory Concerns for New Product	ELC289	WBT	Product	<p>This course provides learners with updates on current regulatory concerns surrounding products. Learners will also be provided with effective practices for registered persons and supervisors.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - Complex Products Features and Risks - Complex Products Investor Protection Concerns - Private Placements Regulatory Considerations - Reasonable Investigation of Private Placements - Supervising Private Placement Recommendation <p>To proceed through and complete this course, learners must answer each question correctly. If a learner answers incorrectly, they will be asked the question again until they provide the correct response and then can proceed through the course. CFP Credits are available once individuals successfully complete the course.</p> <p>CFP CE: 0.5</p>	30min	CFP CE	0.5	335534

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65	Analyzing Investor Growth	ELC290	WBT	Business Conduct	<p>This course provides learners an opportunity to get a better understanding of investors who entered the investment market during the pandemic. Learner's will discover this segment of investor's motives, investment knowledge and preferred engagement styles.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - Comparison of Experienced Investor v. New Investors - Investor Motives for Opening Accounts - Investor Goals for Entering the Market - Investor Knowledge - Investor Engagement <p>To proceed through and complete this course, learners must answer each question correctly. If a learner answers incorrectly, they will be asked the question again until they provide the correct response and then can proceed through the course. CFP Credits are available once individuals successfully complete the course.</p> <p>CFP CE: 0.5</p>	30min	CFP CE	0.5	335733
66	Annual 2025 AML Review	ELC291	WBT	Annual Reviews	<p>This course reviews basic anti-money laundering (AML) program requirements and established practices for creating and maintaining a robust AML program, with a focus on detecting and reporting suspicious activity. It also focuses on current industry trends and the consequences of failing to identify red flags of suspicious activity.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - AML fundamentals - Identifying and reporting suspicious activity - Verification of customer identity - Identifying AML red flags at account opening - Crypto Confidence Scams - Sanctions, anti-bribery and anti-corruption <p>To proceed through and complete this course, learners must answer each question correctly. If a learner answers incorrectly, they will be asked the question again until they provide the correct response and then can proceed through the course. CFP Credits are available once individuals successfully complete the course.</p> <p>CFP CE: 0.5</p>	30min	CFP CE	0.5	335346

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67	2025 Annual Industry Priorities Review	ELC292	WBT	Annual Reviews	<p>This course will provide learners with updates on select industry priorities, including FINRA findings and effective practices, resources to stay abreast of industry priorities and methods for obtaining these resources.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - Cybersecurity and new account opening identify validation - Crypto asset developments - Books and records - Trusted contact persons - Resources and methods for staying current <p>To proceed through and complete this course, learners must answer each question correctly. If a learner answers incorrectly, they will be asked the question again until they provide the correct response and then can proceed through the course. CFP Credits are available once individuals successfully complete the course.</p> <p>CFP CE: 0.5</p>	30min	CFP CE	0.5	335734
68	Investor Trends: Exploring the Changing Investor Landscape	ELC293	WBT	Business Conduct	<p>This course provides information that can help learners understand the changing investor landscape and financial capability among U.S. adults. It examines possible effects of the pandemic as well as data on investor practices, knowledge and information sources.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - Overview of the NFCS - Possible Effects of the Pandemic - Characteristics of Investors - Financial Capability - Demographic Differences - Investing Practices - Characteristics of New Investors - Risk Tolerance - Fraud Concerns - Investor Knowledge <p>To proceed through and complete this course, learners must answer each question correctly. If a learner answers incorrectly, they will be asked the question again until they provide the correct response and then can proceed through the course. CFP Credits are available once individuals successfully complete the course.</p> <p>CFP CE: 0.5</p>	30min	CFP CE	0.5	335348

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69	2025 Supervisory Trends	ELC294	WBT	Supervision	<p>This course allows learners to interact with a key resource for staying current with trends in the regulatory landscape, review important reminders and practice making decisions regarding registered persons' actions.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - Introduction to the FINRA Annual Regulatory Oversight Report - OBAs and PSTs - Communications with the Public - Regulatory Events and Other Disclosures <p>To proceed through and complete this course, learners must answer each question correctly. If a learner answers incorrectly, they will be asked the question again until they provide the correct response and then can proceed through the course.</p> <p>CFP CE: 0.0</p>	30min	None	0	N/A
70	2025 Annual Compliance Review	ELC295	WBT	Annual Reviews	<p>This course will explore common compliance obligations - and areas of potential risk - as highlighted by actual enforcement actions by FINRA from the past year. Using these events, the course will explore registered persons' obligations to their broker-dealers, their customers and to FINRA, as well as the relevant rules and regulations that underpin them.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - Securities Transactions Away From BD - Conflicts of Interest - Opening Accounts & Rule 2090 - Reg BI - Obligations to FINRA <p>To proceed through and complete this course, learners must answer each question correctly. If a learner answers incorrectly, they will be asked the question again until they provide the correct response and then can proceed through the course. CFP Credits are available once individuals successfully complete the course.</p> <p>CFP CE: 0.5</p>	30min	CFP CE	0.5	335350

FINRA E-Learning Courses Catalog - 2026

No	Course Title	Course ID	Type of content	Course Category	Course Description	Course Duration	CE Category	CE credit	Active CFP Program ID#
71	Detecting Financial Crimes: Money Laundering	ELC296	WBT	Prohibited Practices and Fraud	<p>In this course, individuals will learn about money laundering techniques in order to recognize attempts to conceal illegally obtained money and evade relevant AML rules.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - Anti-money laundering rules - SAR reporting requirements - Account opening red flags - The money laundering process - Customer account monitoring - Identifying terrorist financing <p>To proceed through and complete this course, learners must answer each question correctly. If a learner answers incorrectly, they will be asked the question again until they provide the correct response and then can proceed through the course.</p> <p>CFP CE: 0.5</p>	30min	CFP CE	0.5	340841
72	Detecting Financial Crimes: Insider Trading and Market Manipulation	ELC297	WBT	Prohibited Practices and Fraud	<p>This course review several fraudulent activities that occur in financial markets. It also explains how to recognize and escalate these activities for reporting.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - Ponzi Schemes - New Account Fraud - Forgery and Counterfeiting - Types of Market Manipulation - Red Flags of Insider Trading and Market Manipulation - An RR's Responsibility to Identify Illicit Activities <p>To proceed through and complete this course, learners must answer each question correctly. If a learner answers incorrectly, they will be asked the question again until they provide the correct response and then can proceed through the course.</p> <p>CFP CE: 0.5</p>	30min	CFP CE	0.5	340842

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No	Course Title	Course ID	Type of content	Course Category	Course Description	Course Duration	CE Category	CE credit	Active CFP Program ID#
73	Detecting Financial Crimes: Cybercrimes	ELC298	WBT	Prohibited Practices and Fraud	<p>In this course, the learner will review the rules in place to protect customers against cybercrimes and common methods in which cybercrimes occur. The learner will be provided with effective practices to mitigate or help prevent cybercrimes.</p> <p>Content Includes</p> <ul style="list-style-type: none"> - Emerging Cyberthreats - Common Cybercrimes - Red Flags of Cybercrimes - Effective Cybersecurity Practices <p>To proceed through and complete this course, learners must answer each question correctly. If a learner answers incorrectly, they will be asked the question again until they provide the correct response and then can proceed through the course.</p> <p>CFP CE: 0.5</p>	30min	CFP CE	0.5	340842