

Regulatory Element Learning Plan Extension Request Form

FINRA Rule 1240 requires registered persons to complete the Regulatory Element annually by Dec. 31 for each registration that they hold. If a registered person experiences circumstances that prevent them from completing the assigned CE by their due date, FINRA may—upon written application, with supporting documentation, and a showing of good cause—allow for additional time for the registered person to complete their CE. Please note that good cause and related documentation must demonstrate that substantive circumstances beyond the registered person’s control prevented them from completing their CE by the due date. Regulatory Element learning plan extension requests provide a formal process for firms to submit such requests to FINRA so that FINRA is able to determine whether an extension may be granted.

Instructions: To submit a request, the registered person’s firm must complete this form using the editable fields below. The completed form and supporting documentation should be emailed to: LPEExtensionRequests@finra.org. As this submission may contain confidential information, please do not include additional FINRA email addresses on this submission.

Part 1: Registered Person Information

Please provide the following information about the registered person for whom an extension is being requested:

*First Name

*Last Name

*CRD Number

*Detailed written explanation of why the registered person requires an extension to complete their Regulatory Element learning plan

1,000 characters

Part 2: Firm Information

*Firm CRD Number

Firm compliance officer:

*First Name

*Last Name

*CRD Number

*Email Address

*Confirm Email Address

*Daytime Phone

Individual submitting this form:

*First Name

*Last Name

*Title

*Email Address

*Confirm Email Address

*Daytime Phone