

Financial Professional Gateway

COMPLETING REGULATORY ELEMENT CONTINUING EDUCATION (CE) LEARNING PLANS IN FINPRO

Registered individuals access Regulatory Element Continuing Education (CE) via the Financial Professional Gateway (FinPro). Learn how to access and complete Regulatory Element courses in this guide.

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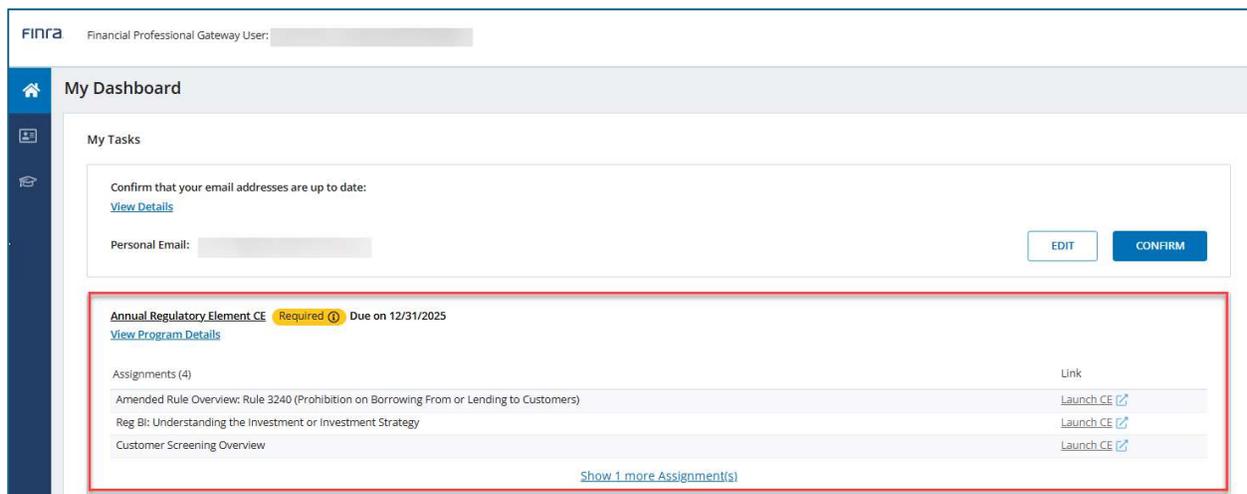
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Regulatory Element Completion in FinPro

FINRA Rule 1240 requires registered persons to complete the Regulatory Element annually by Dec. 31 for each registration that they hold. The Regulatory Element provides training on significant rule changes and other regulatory developments relevant to each registration category. Registered individuals access the Regulatory Element coursework via FinPro.

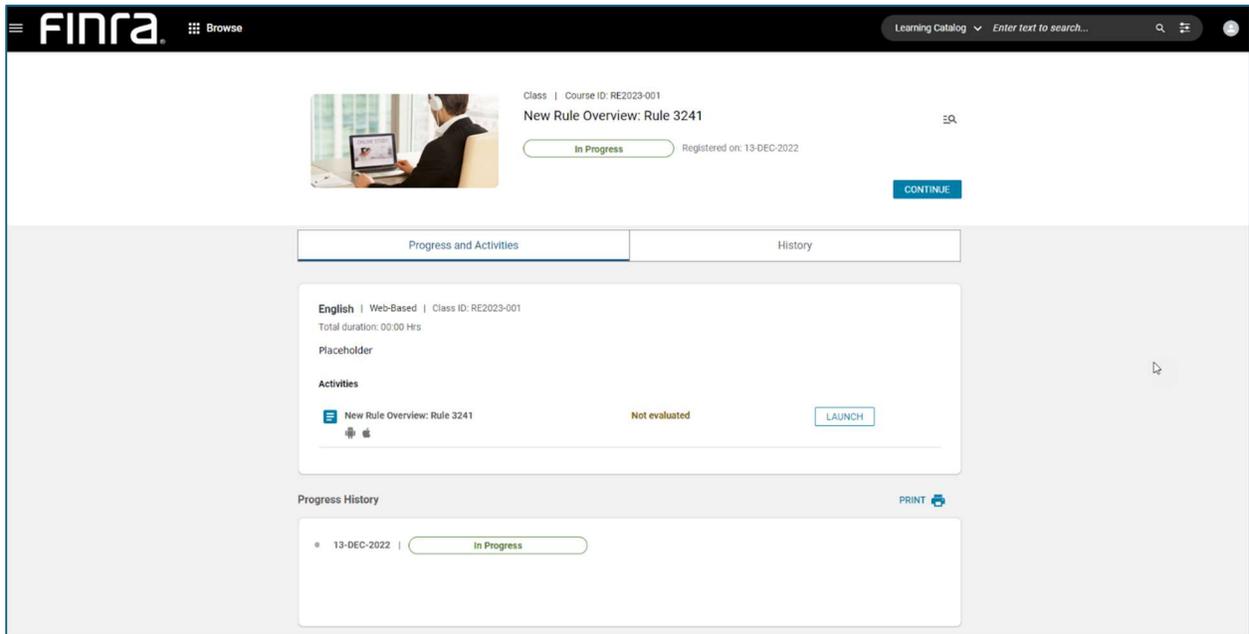
Assigned Regulatory Element Coursework

If you have a "Required" or "CE Inactive" status, you will see an assignment in the **My Tasks** list that displays on the dashboard account landing page. This list will show the coursework and link that will launch the course for you to complete.

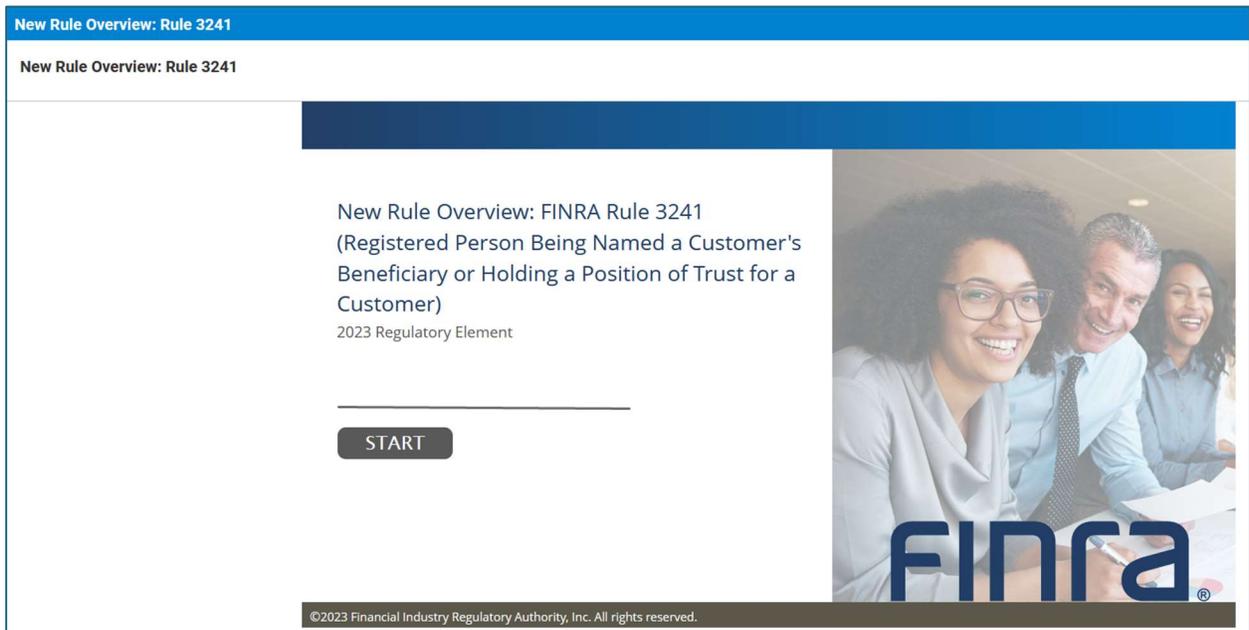


Accessing Regulatory Element Coursework

Select **Launch CE** to open the Regulatory Element course content in a separate browser window.

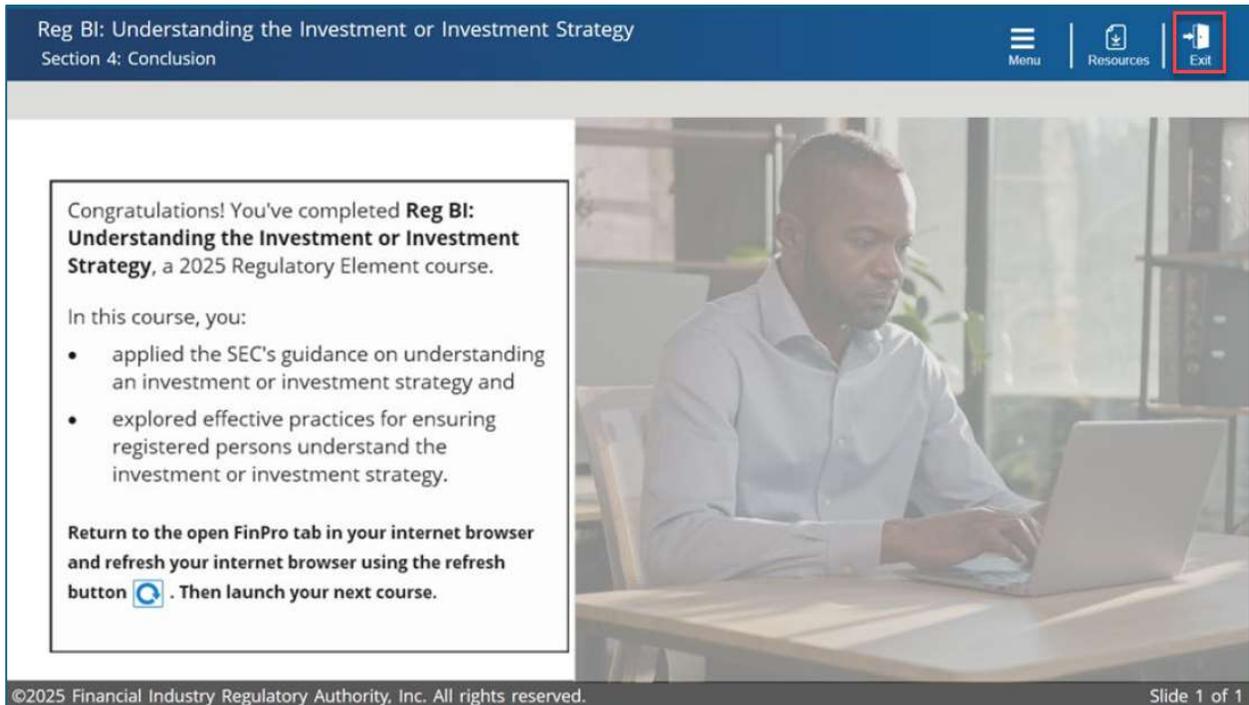


Select **Launch** to open the course, then **Start** to begin.



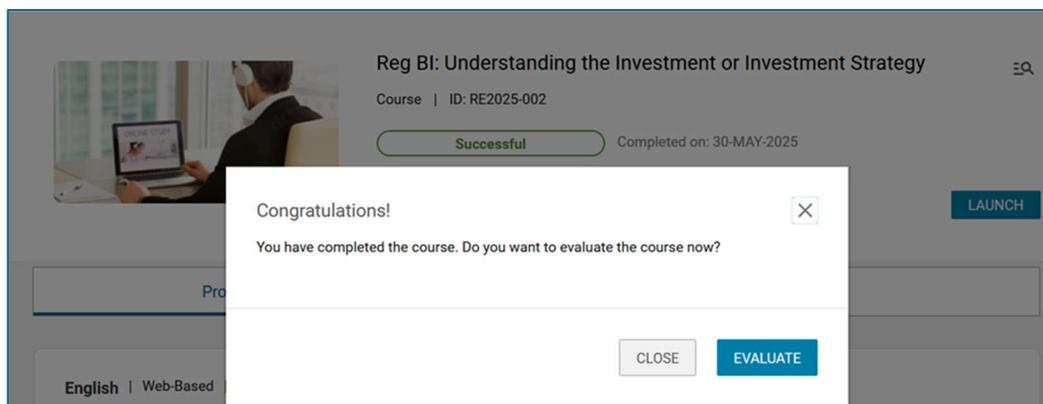
Course Completion

Once you have successfully completed the course, select the **Exit** button to exit the course.

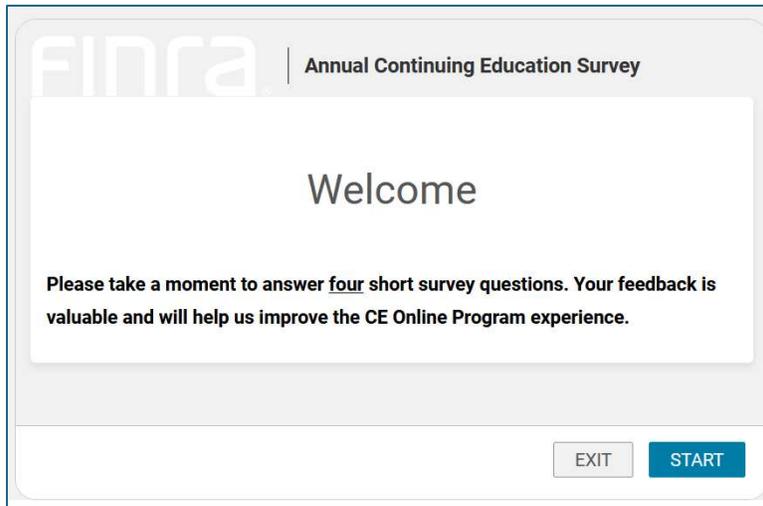


Course Evaluation

After you exit the course, a window will open with an invitation for you to evaluate the course. If you want to do so, select **Evaluate**.



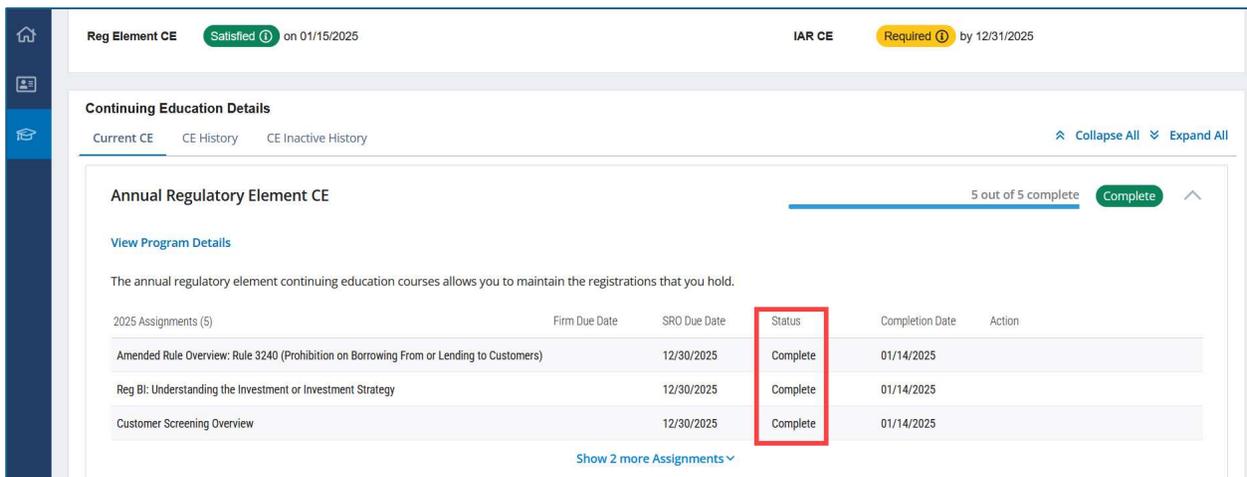
The evaluation is conducted through the Annual Continuing Education Survey. Select **Start** to give your feedback on your experience.



The main CE platform screen will update as you progress through your CE courses, and each course will show a **Successful** status when completed.

You can now close the browser tab with the CE program and return to the open FinPro browser tab. Refresh the FinPro browser tab to view your updated course assignment status. In FinPro, on the **My Continuing Education** page, under the **Continuing Education Details** the **Current CE** tab will show the specific course assigned status is **Complete**.

Note: There may be up to a five-minute delay in displaying updated course status in FinPro.

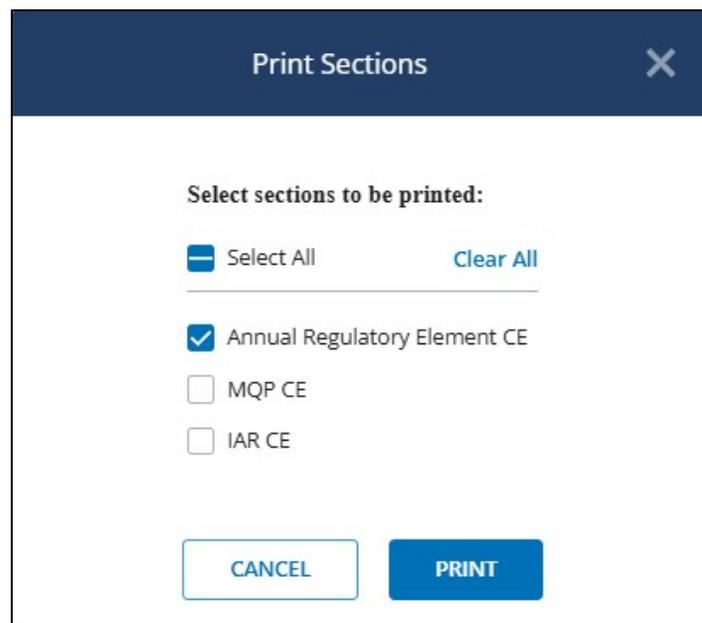


Printing Your Transcript

Select **Print CE Transcript** from your dashboard shortcuts links or at the top right of the Continuing Education page.



Select the sections you want to print, then select **Print** for a preview or **Cancel** to return to the Continuing Education page.



FINRA

Annual Regulatory Element CE Incomplete

2025 Assignments (4)	SRO Due Date	Status	Completion Date
Amended Rule Overview: Rule 3240 (Prohibition on Borrowing From or Lending to Customers)	12/31/2025	Assigned	-
Reg BI: Understanding the Investment or Investment Strategy	12/31/2025	Assigned	-
Customer Screening Overview	12/31/2025	Assigned	-
Communicating Compliantly	12/31/2025	Assigned	-

2024 Assignments (4)	SRO Due Date	Status	Completion Date
Mitigating Cybersecurity Risks	12/31/2024	Complete	07/06/2024
Combating Financial Exploitation: Protecting Seniors and Those With Diminished Capacity	12/31/2024	Complete	07/06/2024
Managing Online Presence: Communications with the Public and Social Media	12/31/2024	Complete	07/06/2024
Applying Regulation BI	12/31/2024	Complete	07/06/2024

2023 Assignments (5)	SRO Due Date	Status	Completion Date
New Rule Overview: Rule 3241	12/31/2023	Complete	08/19/2023
Navigating Regulation BI	12/31/2023	Complete	08/19/2023
2023 Regulatory Element Introduction and Required Acknowledgements	12/31/2023	Complete	08/19/2023
Amended Rules 1210 and 1240: CE Transformation	12/31/2023	Complete	08/19/2023
Information Protection	12/31/2023	Complete	08/19/2023

Your name and CRD number will appear at the top of the page. Once you are satisfied, select **Print** or **Cancel** to return to your Continuing Education page in FinPro.