



FINRA Gateway Reports Continuing Education (CE) Data Definition

Version 1.0

02-19-21



Revision History

DATE	AUTHOR	VERSION	DESCRIPTION
02-19-21	Sarah Rose	0.1	Initial draft.

About the Data Dictionary

- 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."

Data Field	Data Description	Example Data
Individual CRD	Individual's CRD ID number.	1234
Organization CRD	Firm's CRD ID.	5678
First Name	Individual's primary first name.	John
Middle Name	Individual's primary middle name.	Steward
Last Name	Individual's primary last name.	Smith
Suffix	Individual's primary suffix.	Jr.
Individual Billing Code	Individual's billing code.	123-ABC
Employment start date	The date the individual's employment with the firm began.	YYYY-MM-DD
New Hire?	Flag to indicate if the individual is a new hire to the firm or not.	Yes No
CE Base Date	The date used to calculate an individual's CE anniversary schedule. Can be used to forecast individual's CE requirement windows.	YYYY-MM-DD
Appointment Progress	The individual's progress in CE training.	0 Modules Completed 0 of 4 Modules Completed 1 of 4 Modules Completed 2 of 4 Modules Completed 3 of 4 Modules Completed 4 of 4 Modules Completed
Appointment Date	The date of the individual's CE appointment.	YYYY-MM-DD
Appointment Status Code	Individual's appointment status code.	Cancel In Progress Late Cancel No Show Official Result Rescheduled Scheduled Withdraw

Data Field	Data Description	Example Data
Last Accessed Date	The date individual last accessed online CE for this session.	YYYY-MM-DD
Next Window Begin Date	The begin date of the next CE window. The individual is required to complete the next CE starting from this date.	YYYY-MM-DD
Requirement Type	The CE requirement type.	Anniversary
Session State	Used to indicated if the individual's CE session is per an active requirement or future obligation window.	Future Active
Session Type	The type of CE session.	Registered Representative Session
Session Type Code	Code indicating the type of CE Regulatory Element the individual is required to satisfy	S101 S201
Window Begin Date	The date the individual's CE window begins.	YYYY-MM-DD
Window End Date	The date the individual's CE window ends.	YYYY-MM-DD
CE Status	Individual's current CE status.	2 year termed from industry CE 2 year termed CE inactive No CE status Required Satisfied Graduated
CE Session Status	The status of a CE Session for a given point in time. This differs from CE Status in that an individual can have more than one CE Session Status in their CE records. The CE Status will always be the individual's current CE status, while the CE Session Status may refer to one or more previous sessions.	2 year termed from industry CE 2 year termed CE inactive No CE status Required Satisfied Graduated
CE Status Date	Date of the current CE status became active.	YYYY-MM-DD
CE 2 Year Termed Date	The date the individual has or will CE 2-Year term.	YYYY-MM-DD
CE Event Date	The date of the most recent CE event. This date distinguishes current CE events from historical events. It is useful for specifying the time range of CE events you want to see for individuals.	YYYY-MM-DD