

Regulatory Element Learning Plan Extension Request Form

FINRA Rule 1240 requires registered persons to complete the Continuing Education (CE) Regulatory Element annually by Dec. 31 for each registration that they hold. However, FINRA may—upon written application, with supporting documentation, and a showing of good cause—allow for additional time for the person to complete their CE. Regulatory Element learning plan extension requests provide a formal process for firms to submit such requests to FINRA. FINRA’s Regulatory Element learning plan extension request policy only applies to registered persons experiencing extraordinary circumstances that prevent them from completing their Regulatory Element learning plan by the due date.

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: CandidateServices@finra.org.

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