



Financial Professional Gateway (FinPro Gateway)

Tracking Investment Adviser Representative Continuing Education (IAR CE) in FinPro Gateway

Investment adviser representatives (IARs) access their IAR CE status and transcript via FinPro Gateway.

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Introduction

You may have an IAR CE requirement due to one of three scenarios.

1. You are currently a registered IAR in a state that has adopted the North American Securities Administrators Association (NASAA)'s IAR CE model rule.
2. You were previously registered as an IAR for all or part of a year in a jurisdiction that adopted NASAA's IAR CE model rule.
3. You enrolled in [NASAA's IAR Exam Validity Extension Program \(IAR EVEP\)](#) to extend the validity of your IAR qualification exam for a period up to five years after your registration is terminated.

IAR CE Jurisdiction Adoption

Follow the link above to review the current list of jurisdictions that have adopted NASAA's IAR CE model rule.

Once you are part of the IAR CE program, you will need to attain 12 CE credits annually. The 12 credits must include six Products and Practice credits and six Ethics and Professional Responsibility credits.

Courses are available through any of NASAA's approved course providers. For a list of IAR CE course providers, please visit [NASAA's Approved IAR CE Providers page](#).

Review Your IAR CE Status

Access FinPro Gateway

You can review your IAR CE status and CE history in your Financial Professional Gateway (FinPro Gateway™) account. Instructions to create a FinPro Gateway account are available in the [Creating a FinPro Gateway Account user guide](#).

If you have logged into FinPro Gateway before, you can navigate directly to the [FinPro Gateway login](#) page.

Review Your IAR CE Status

If you have an IAR CE requirement, your status will be displayed on the dashboard account landing page in the **Continuing Education Program Status** section on the right. You will also see your IAR CE reminder in the **My Tasks** list if your IAR CE status is one of the following:

- Required
- CE Inactive
- Failed to Renew
- Termined

Your IAR CE status is also available at the top of the **My Continuing Education** page.

Review Completed IAR CE Courses

Completed IAR CE courses that are reported to FINRA by the course provider will display on the **My Continuing Education** page in the **Continuing Education Details** section. Courses completed for the current year will display on the **Current CE** tab and courses applied to prior years will display on the **CE History** tab.

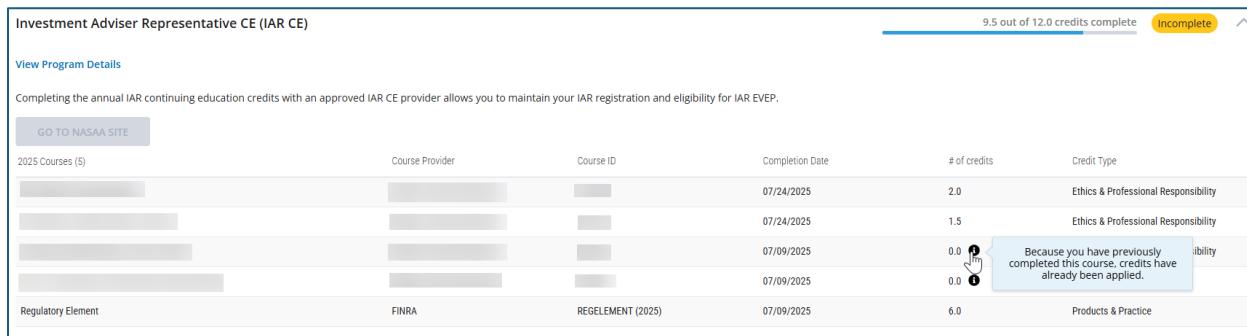
Current CE

The **Current CE** tab displays the current year and any IAR CE year that is incomplete because it is still required. In the example below, the individual completed six Products and Practice credits in 2023, and no other course completions have been reported to FINRA.

As courses are completed and reported to FINRA, the system applies them towards the earliest year with a deficiency on the **Current CE** tab. In the example above, any new Ethics and Professional

Responsibility courses will be applied toward the 2023 IAR CE requirement first, while any new Products and Practice credits will be applied toward the 2024 IAR CE requirement.

Courses assigned zero credits will have an information icon to provide details. Hover your mouse over the icon to view the details. The most common reasons a course will have zero credits applied are either the IAR has already taken the course or the credit type has already been satisfied. Courses are identified by a Course ID and IARs can only receive credit for a course one time. The annual requirement is six credits of Ethics and Professional Responsibility and six credits of Products and Practice. If more than six credits of a credit type are taken for a single year, the courses will show a zero credit. Courses cannot be carried forward.



Investment Adviser Representative CE (IAR CE)

View Program Details

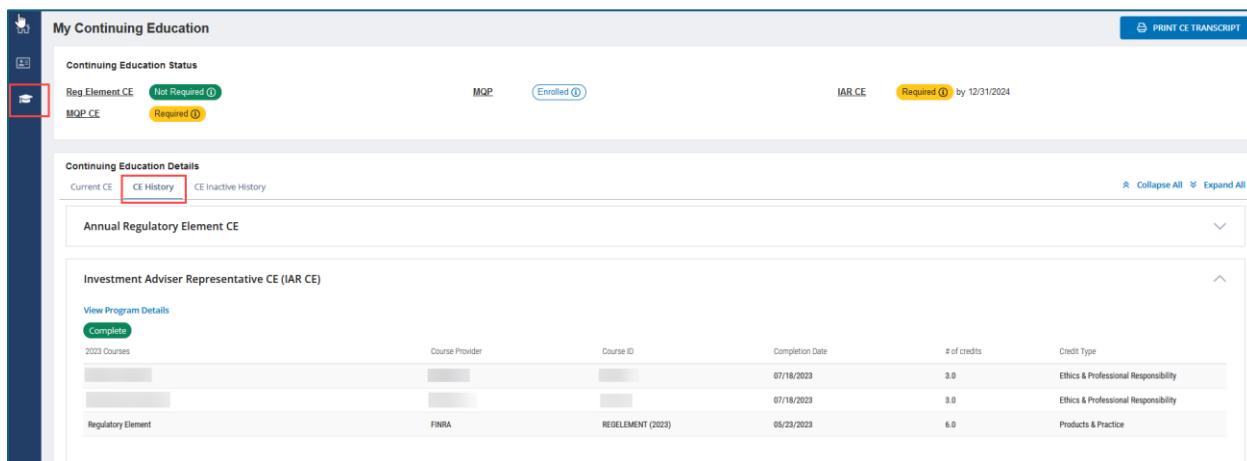
Completing the annual IAR continuing education credits with an approved IAR CE provider allows you to maintain your IAR registration and eligibility for IAR EVEP.

GO TO NASAA SITE

2025 Courses (5)	Course Provider	Course ID	Completion Date	# of credits	Credit Type
[Redacted]	[Redacted]	[Redacted]	07/24/2025	2.0	Ethics & Professional Responsibility
[Redacted]	[Redacted]	[Redacted]	07/24/2025	1.5	Ethics & Professional Responsibility
[Redacted]	[Redacted]	[Redacted]	07/09/2025	0.0 	Because you have previously completed this course, credits have already been applied.
[Redacted]	[Redacted]	[Redacted]	07/09/2025	0.0 	Because you have previously completed this course, credits have already been applied.
Regulatory Element	FINRA	REGELEMENT (2025)	07/09/2025	6.0	Products & Practice

CE History

The **CE History** tab will contain each completed IAR CE year with the total of 12 credits (six Products and Practice credits plus six Ethics and Professional Responsibility credits).



My Continuing Education

PRINT CE TRANSCRIPT

Continuing Education Status

Reg Element CE 

MQP CE 

IAR CE  by 12/31/2024

CE History 

CE Inactive History

Continuing Education Details

Current CE 

Annual Regulatory Element CE

Investment Adviser Representative CE (IAR CE)

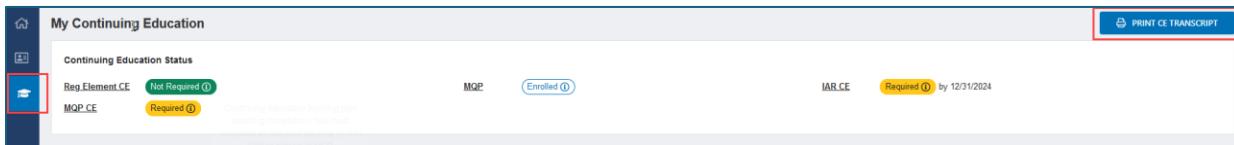
View Program Details

Complete

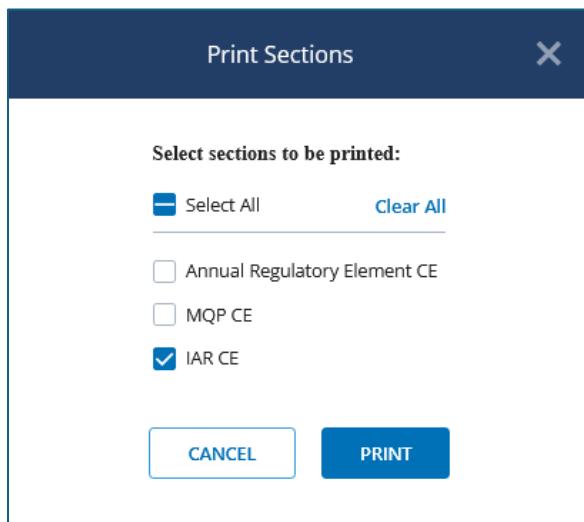
2023 Courses	Course Provider	Course ID	Completion Date	# of credits	Credit Type
[Redacted]	[Redacted]	[Redacted]	07/18/2023	3.0	Ethics & Professional Responsibility
[Redacted]	[Redacted]	[Redacted]	07/18/2023	3.0	Ethics & Professional Responsibility
Regulatory Element	FINRA	REGELEMENT (2023)	05/23/2023	6.0	Products & Practice

Print CE Transcript

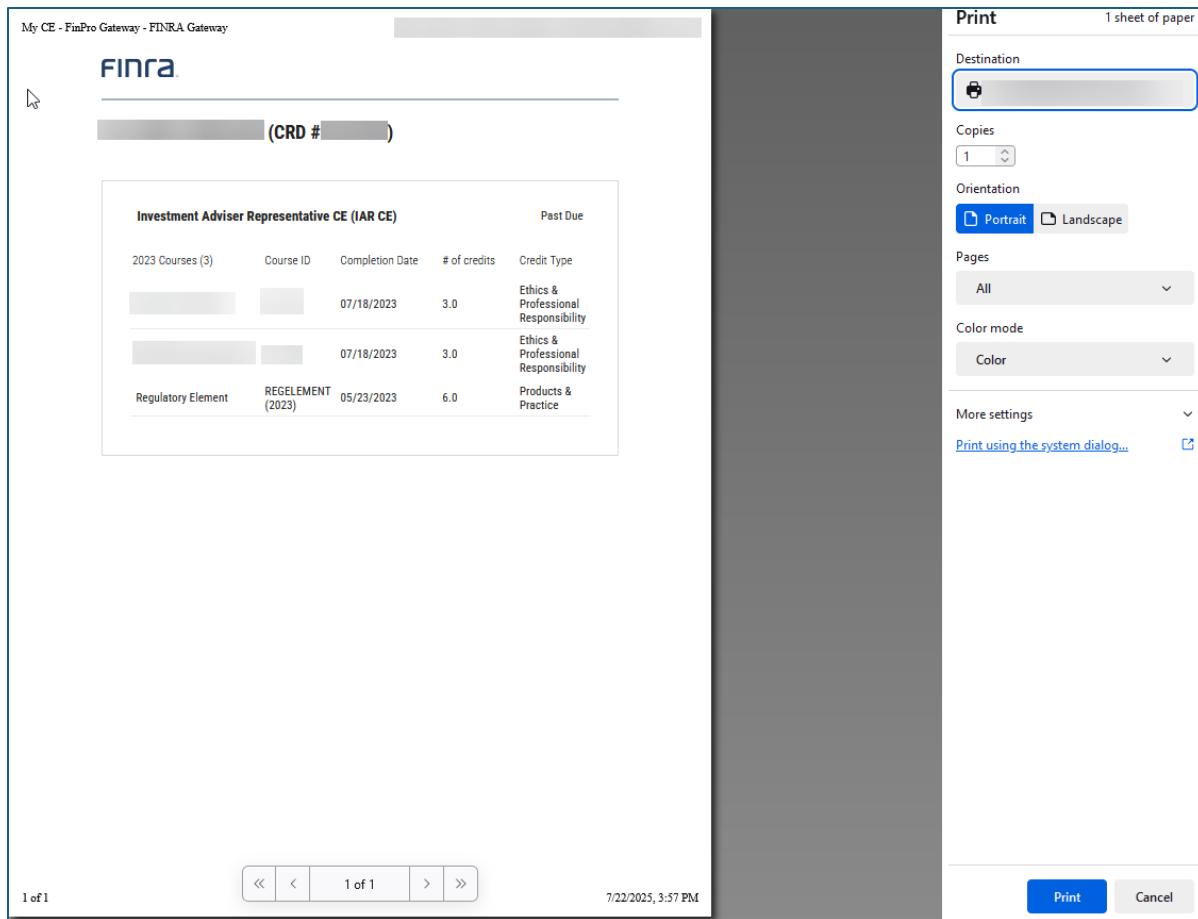
The **PRINT CE TRANSCRIPT** button is available at the top right of the **My CE** page.



Select the program(s) you want to include in your printout from the pop-up box that opens after selecting the **PRINT CE TRANSCRIPT** button.



A PDF will open to allow you to send it to a printer or to save the file on your computer.



The screenshot shows a print dialog box over a web page. The web page displays a course completion report for an Investment Adviser Representative CE (IAR CE). The report includes a table with three rows of course information and one row for a Regulatory Element. The print dialog box on the right shows settings for '1 sheet of paper', 'Destination' (set to a printer icon), 'Copies' (set to 1), 'Orientation' (set to Portrait), 'Pages' (set to All), 'Color mode' (set to Color), and a link to 'More settings'.

Investment Adviser Representative CE (IAR CE)				Past Due
2023 Courses (3)	Course ID	Completion Date	# of credits	Credit Type
		07/18/2023	3.0	Ethics & Professional Responsibility
		07/18/2023	3.0	Ethics & Professional Responsibility
Regulatory Element	REGELEMENT (2023)	05/23/2023	6.0	Products & Practice

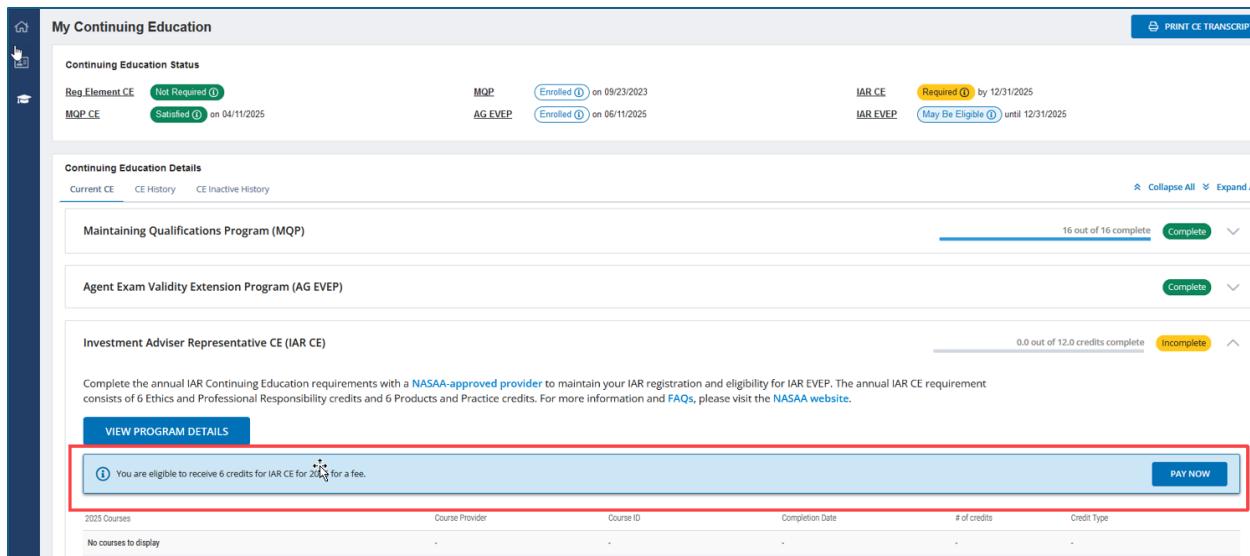
1 of 1 1 of 1 7/22/2025, 3:57 PM Print Cancel

Apply Regulatory Element CE toward IAR CE

After completing your annual FINRA Regulatory Element CE, or your annual Maintaining Qualifications Program (MQP) Learning Plan, you may be able to pay a fee to apply this toward your annual IAR CE requirement as six Products and Practice credits.

FINRA member firms may opt in to pay the fee on your behalf which will automatically apply Regulatory Element CE as 6 Products and Practice IAR CE credits. As long as you complete your CE Regulatory Element courses after your firm opted in to this program, the system will automatically apply the credits toward IAR CE and charge the firm.

If you are responsible for your fee, the system will indicate that you are eligible to receive six credits for IAR CE for a fee.



My Continuing Education

Continuing Education Status

Reg Element CE	Not Required
MQP CE	Satisfied on 04/11/2025
MQP	Enrolled on 09/23/2023
AG EVEP	Enrolled on 06/11/2025
IAR CE	Required by 12/31/2025
IAR EVEP	May Be Eligible until 12/31/2025

Continuing Education Details

Current CE CE History CE Inactive History [Collapse All](#) [Expand All](#)

Maintaining Qualifications Program (MQP) 16 out of 16 complete [Complete](#)

Agent Exam Validity Extension Program (AG EVEP) [Complete](#)

Investment Adviser Representative CE (IAR CE) 0.0 out of 12.0 credits complete [Incomplete](#)

Complete the annual IAR Continuing Education requirements with a [NASAA-approved provider](#) to maintain your IAR registration and eligibility for IAR EVEP. The annual IAR CE requirement consists of 6 Ethics and Professional Responsibility credits and 6 Products and Practice credits. For more information and [FAQs](#), please visit the [NASAA website](#).

[VIEW PROGRAM DETAILS](#)

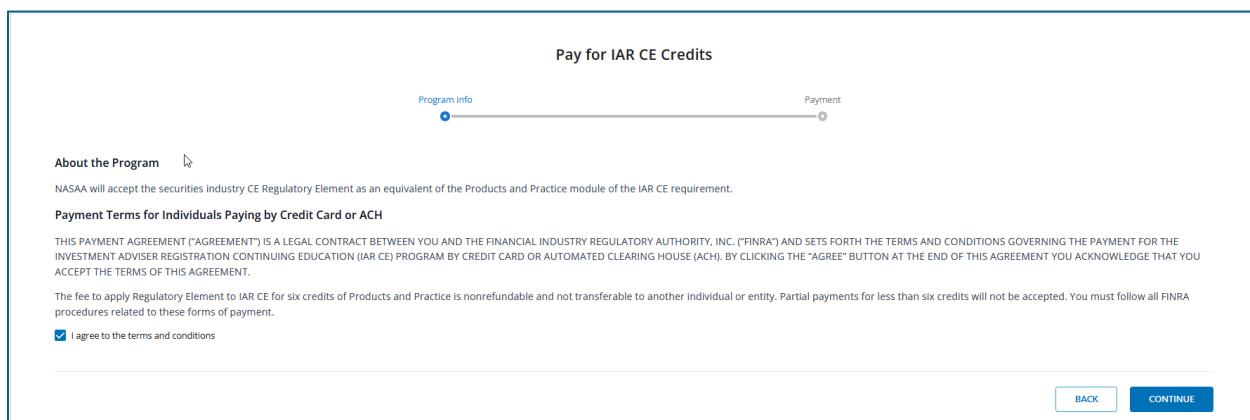
2025 Courses

Course Provider	Course ID	Completion Date	# of credits	Credit Type
-	-	-	-	-

No courses to display

PAY NOW

After selecting the **PAY NOW** button, you will be shown a high-level description of the program and payment terms.



Pay for IAR CE Credits

Program Info Payment

About the Program

NASAA will accept the securities industry CE Regulatory Element as an equivalent of the Products and Practice module of the IAR CE requirement.

Payment Terms for Individuals Paying by Credit Card or ACH

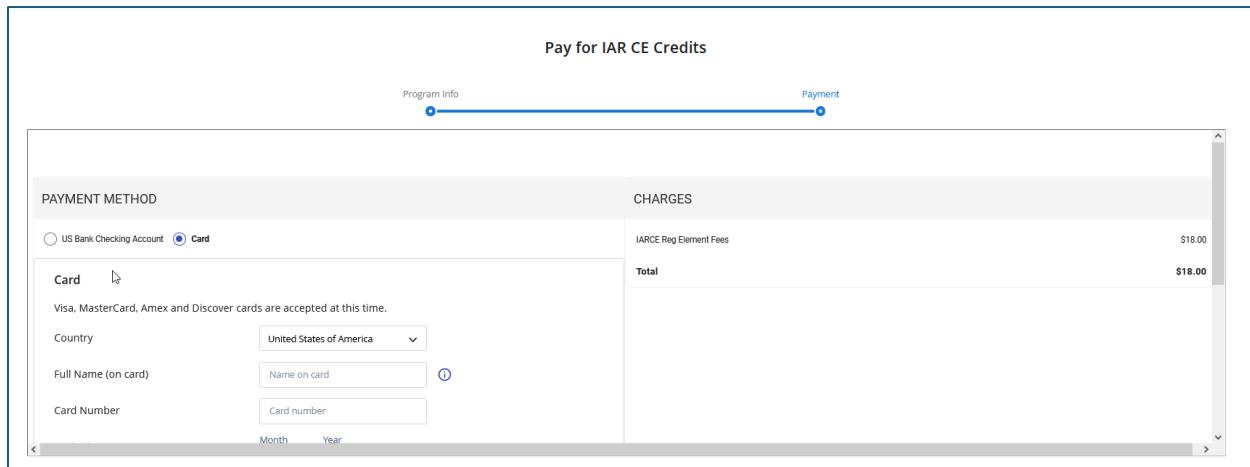
THIS PAYMENT AGREEMENT ("AGREEMENT") IS A LEGAL CONTRACT BETWEEN YOU AND THE FINANCIAL INDUSTRY REGULATORY AUTHORITY, INC. ("FINRA") AND SETS FORTH THE TERMS AND CONDITIONS GOVERNING THE PAYMENT FOR THE INVESTMENT ADVISER REGISTRATION CONTINUING EDUCATION (IAR CE) PROGRAM BY CREDIT CARD OR AUTOMATED CLEARING HOUSE (ACH). BY CLICKING THE "AGREE" BUTTON AT THE END OF THIS AGREEMENT YOU ACKNOWLEDGE THAT YOU ACCEPT THE TERMS OF THIS AGREEMENT.

The fee to apply Regulatory Element to IAR CE for six credits of Products and Practice is nonrefundable and not transferable to another individual or entity. Partial payments for less than six credits will not be accepted. You must follow all FINRA procedures related to these forms of payment.

I agree to the terms and conditions

[BACK](#) [CONTINUE](#)

Check the box if you agree to the terms and conditions and click **CONTINUE** to proceed.



Pay for IAR CE Credits

Program Info Payment

PAYMENT METHOD

US Bank Checking Account Card

Card

Visa, MasterCard, Amex and Discover cards are accepted at this time.

Country: United States of America

Full Name (on card): Name on card

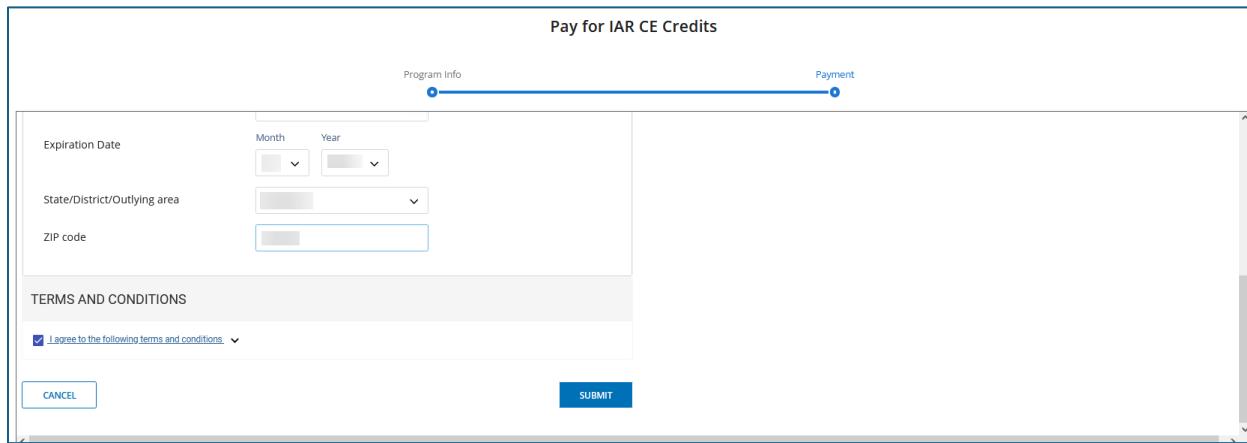
Card Number: Card number

Month: Year:

CHARGES

IARCE Reg Element Fees	\$18.00
Total	\$18.00

Select the payment method and scroll down to input the details.



Pay for IAR CE Credits

Program Info

Expiration Date Month Year

State/District/Outlying area

ZIP code

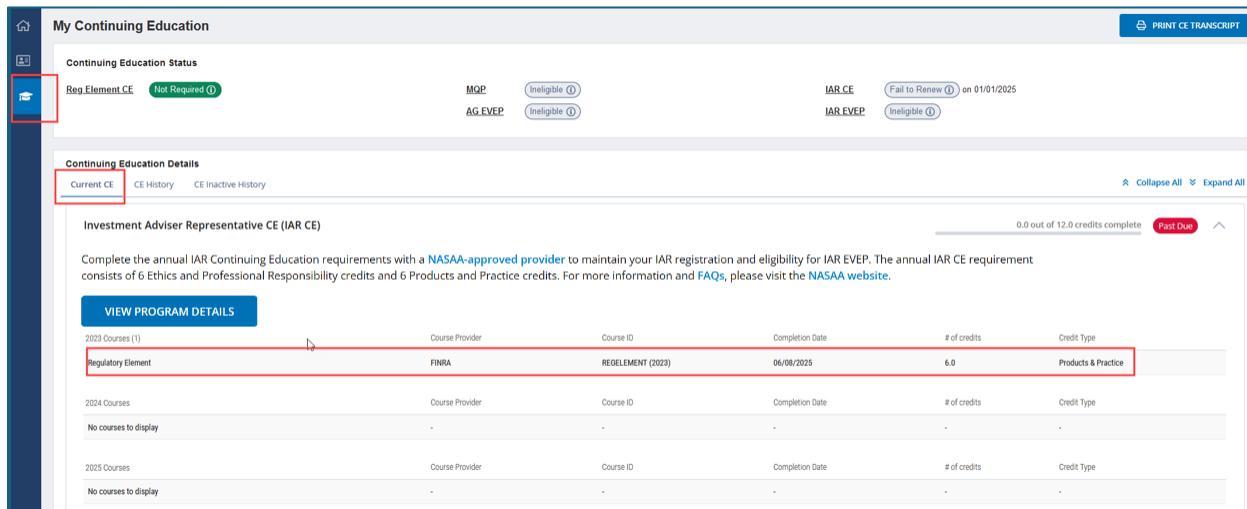
TERMS AND CONDITIONS

I agree to the following terms and conditions.

CANCEL SUBMIT

After you agree to the terms and conditions you may **SUBMIT** the payment.

The Products and Practice credits will be applied toward your IAR CE requirement. Depending on your IAR CE status after the credits are applied, or the IAR CE year to which they are applied, you may need to navigate to either the **Current CE** or **CE History** tab on the **My CE** page to view the applied credits.



My Continuing Education

PRINT CE TRANSCRIPT

Continuing Education Status

Reg Element CE Not Required

MQP (Ineligible) AG.EVEP (Ineligible)

IAR CE (Fail to Renew) on 01/01/2025 IAR.EVEP (Ineligible)

Continuing Education Details

Current CE CE History CE Inactive History

Investment Adviser Representative CE (IAR CE)

0.0 out of 12.0 credits complete Part Due

VIEW PROGRAM DETAILS

2023 Courses (1)	Course Provider	Course ID	Completion Date	# of credits	Credit Type
Regulatory Element	FINRA	REGELEMENT (2023)	06/08/2023	6.0	Products & Practice

2024 Courses

No courses to display

2025 Courses

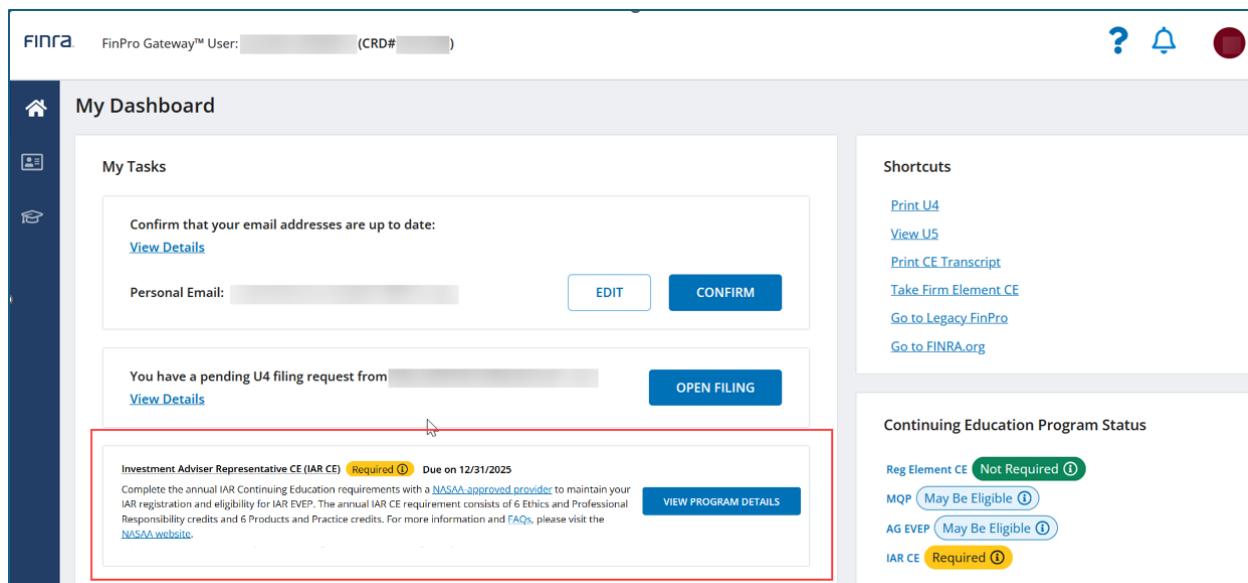
No courses to display

Resources

For more information about NASAA's IAR CE program, visit [NASAA's IAR CE page on NASAA.org](#) to access a program overview, the model rule, state adoption information, and FAQs.

Access NASAA's Approved Course Provider List

When you have an IAR CE requirement to complete, you will see the program displayed on your **Dashboard My Tasks** list.



My Dashboard

FinPro Gateway™ User: [REDACTED] (CRD# [REDACTED])

My Tasks

Confirm that your email addresses are up to date:
[View Details](#)

Personal Email: [REDACTED] [EDIT](#) [CONFIRM](#)

You have a pending U4 filing request from [REDACTED] [OPEN FILING](#)

Investment Adviser Representative CE (IAR CE) Required Due on 12/31/2025

Complete the annual IAR Continuing Education requirements with a [NASAA-approved provider](#) to maintain your IAR registration and eligibility for IAR EVEP. The annual IAR CE requirement consists of 6 Ethics and Professional Responsibility credits and 6 Products and Practice credits. For more information and [FAQs](#), please visit the [NASAA website](#).

[VIEW PROGRAM DETAILS](#)

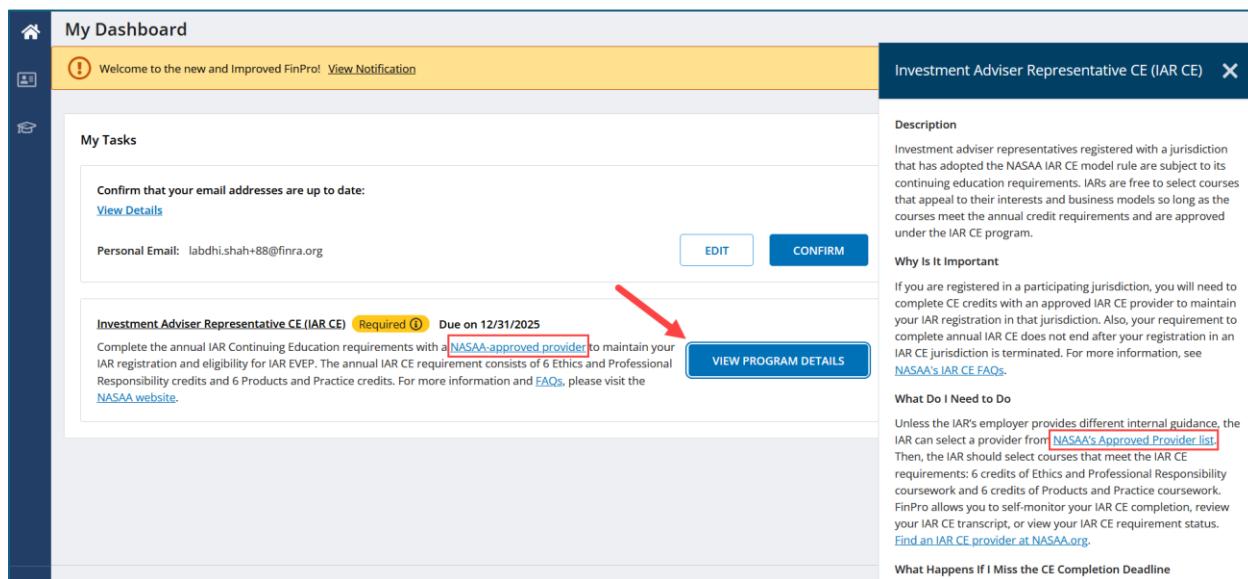
Shortcuts

- [Print U4](#)
- [View U5](#)
- [Print CE Transcript](#)
- [Take Firm Element CE](#)
- [Go to Legacy FinPro](#)
- [Go to FINRA.org](#)

Continuing Education Program Status

- Reg Element CE Not Required ?
- MQP May Be Eligible ?
- AG EVEP May Be Eligible ?
- IAR CE Required ?

Select the link to go directly to NASAA's approved provider list or click on **View Program Details** to get more information including a link to view [NASAA's approved provider](#) list.



My Dashboard

Welcome to the new and Improved FinPro! [View Notification](#)

My Tasks

Confirm that your email addresses are up to date:
[View Details](#)

Personal Email: labdhi.shah+88@finra.org [EDIT](#) [CONFIRM](#)

Investment Adviser Representative CE (IAR CE) Required Due on 12/31/2025

Complete the annual IAR Continuing Education requirements with a [NASAA-approved provider](#) to maintain your IAR registration and eligibility for IAR EVEP. The annual IAR CE requirement consists of 6 Ethics and Professional Responsibility credits and 6 Products and Practice credits. For more information and [FAQs](#), please visit the [NASAA website](#).

[VIEW PROGRAM DETAILS](#)

Investment Adviser Representative CE (IAR CE) Required Due on 12/31/2025

Description

Investment adviser representatives registered with a jurisdiction that has adopted the NASAA IAR CE model rule are subject to its continuing education requirements. IARs are free to select courses that appeal to their interests and business models so long as the courses meet the annual credit requirements and are approved under the IAR CE program.

Why Is It Important

If you are registered in a participating jurisdiction, you will need to complete CE credits with an approved IAR CE provider to maintain your IAR registration in that jurisdiction. Also, your requirement to complete annual IAR CE does not end after your registration in an IAR CE jurisdiction is terminated. For more information, see [NASAAs IAR CE FAQs](#).

What Do I Need to Do

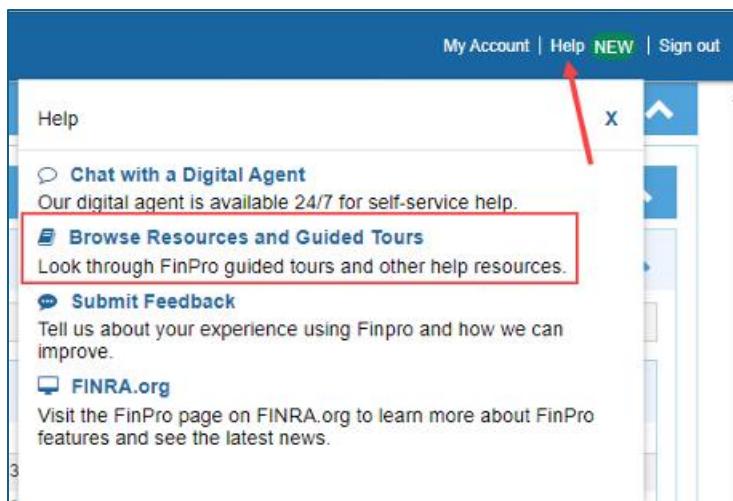
Unless the IAR's employer provides different internal guidance, the IAR can select a provider from [NASAAs Approved Provider List](#). Then, the IAR should select courses that meet the IAR CE requirements: 6 credits of Ethics and Professional Responsibility coursework and 6 credits of Products and Practice coursework. FinPro allows you to self-monitor your IAR CE completion, review your IAR CE transcript, or view your IAR CE requirement status. [Find an IAR CE provider at NASAA.org](#).

What Happens If I Miss the CE Completion Deadline

Courses must be taken through an approved IAR CE provider. Please note, both the provider and the course must be approved for IAR CE credit. The course provider is responsible for submitting completed course information directly to FINRA to post the course and credits to your IAR CE transcript.

Feedback and Support

Once you are logged into FinPro Gateway, you can access help documentation through the **Browse Resources and Guided Tours** option available in the **Help** menu.



Contact NASAA staff at IARCE@nasaa.org with any additional questions and feedback about the program.