

Financial Professional Gateway

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

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



TABLE OF CONTENTS

Introduction.....	3
Review Your IAR CE Status	3
Access FinPro	3
Review Your IAR CE Status.....	3
Review Completed IAR CE Courses	4
Current CE	4
CE History	5
Print CE Transcript.....	6
Apply Regulatory Element CE toward IAR CE	7
Resources.....	10
Access NASAA's Approved Course Provider List	10
Feedback and Support.....	11

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

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

If you have logged into FinPro before, you can navigate directly to the [FinPro 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

- Termed

My Dashboard

My Tasks

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

Personal Email: sushmitha.kurumaddali+9@finra.org [EDIT](#) [CONFIRM](#)

You have a pending U4 filing request from WELLINGTON SHIELDS & CO., LLC.
[View Details](#) [OPEN FILING](#)

Investment Adviser Representative CE (IAR CE) **Required** **Due on 12/31/2025**
[View Program Details](#) [GO TO NASAA SITE](#)

Complete the annual IAR continuing education credits with a NASAA approved provider to maintain your IAR registration and eligibility for IAR EVEP.

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**

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

My Continuing Education

Continuing Education Status

Reg Element CE **Not Required** **MQP** **May Be Eligible** until 04/22/2027 **IAR CE** **Required** by 12/31/2025
AG EVEP **May Be Eligible** until 05/01/2027

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.

My Continuing Education

Continuing Education Status

Reg Element CE **Not Required** (0)

MQP **Ineligible** (0)

AG EVEP **Ineligible** (0)

IAR CE **Fail to Renew** (0) on 01/01/2025

IAR EVEP **Ineligible** (0)

Continuing Education Details

Current CE | CE History | CE Inactive History

Investment Adviser Representative CE (IAR CE)

0.0 out of 12.0 credits complete **Not Due**

[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](#)

2023 Courses (1)	Course Provider	Course ID	Completion Date	# of credits	Credit Type
Regulatory Element	FINRA	REGELEMENT (2023)	06/08/2025	6.0	Products & Practice

2024 Courses	Course Provider	Course ID	Completion Date	# of credits	Credit Type
No courses to display	-	-	-	-	-

2025 Courses	Course Provider	Course ID	Completion Date	# of credits	Credit Type
No courses to display	-	-	-	-	-

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)

9.5 out of 12.0 credits complete **Incomplete**

[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
			07/24/2025	2.0	Ethics & Professional Responsibility
			07/24/2025	1.5	Ethics & Professional Responsibility
			07/09/2025	0.0	
			07/09/2025	0.0	
Regulatory Element	FINRA	REGELEMENT (2025)	07/09/2025	6.0	Products & Practice

Because you have previously completed this course, credits have already been applied.

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).

The screenshot shows the 'My Continuing Education' page. The 'CE History' tab is selected and highlighted with a red box. The page displays the status of various CE requirements: Reg. Element CE (Not Required), MQP CE (Required), and IAR CE (Required by 12/31/2024). Below this, the 'Continuing Education Details' section shows the 'Annual Regulatory Element CE' and 'Investment Adviser Representative CE (IAR CE)'. A table lists completed courses for 2023, including 'Regulatory Element' from FINRA.

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	RELEMENT (2023)	06/23/2023	6.0	Products & Practice

Print CE Transcript

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

This screenshot is similar to the previous one, but the 'PRINT CE TRANSCRIPT' button in the top right corner is highlighted with a red box.

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.

The 'Print Sections' pop-up box allows users to select which CE sections to print. It includes a 'Select All' button, a 'Clear All' link, and checkboxes for 'Annual Regulatory Element CE', 'MQP CE', and 'IAR CE'. The 'IAR CE' checkbox is currently checked. 'CANCEL' and 'PRINT' buttons are at the bottom.

Select sections to be printed:

☒ Select All [Clear All](#)

☐ Annual Regulatory Element CE

☐ MQP CE

☒ IAR CE

[CANCEL](#) [PRINT](#)

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

The screenshot shows the 'My CE - FinPro Gateway - FINRA Gateway' page. The main content area displays a table titled 'Investment Adviser Representative CE (IAR CE)' with columns for '2023 Courses (3)', 'Course ID', 'Completion Date', '# of credits', and 'Credit Type'. The table lists three courses, with the last one being 'Regulatory Element' (REGELEMENT (2023)) with 6.0 credits. A 'Past Due' status is indicated. A print overlay is visible on the right side of the screen, showing options for destination, copies, orientation, pages, color mode, and more settings. The print button is highlighted in blue.

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

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 [PRINT CE TRANSCRIPT](#)

Continuing Education Status

Reg Element CE **Not Required** (0) MQP **Enrolled** (0) on 09/23/2023 IAR CE **Required** (0) by 12/31/2025

MQP CE **Satisfied** (0) on 04/11/2025 AG EVEP **Enrolled** (0) on 06/11/2025 IAR EVEP **May Be Eligible** (0) until 12/31/2025

Continuing Education Details [Collapse All](#) [Expand All](#)

[Current CE](#) [CE History](#) [CE Inactive History](#)

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**

[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](#)

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](#)

2025 Courses	Course Provider	Course ID	Completion Date	# of credits	Credit Type
No courses to display	-	-	-	-	-

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		CHARGES	
<input type="radio"/> US Bank Checking Account <input checked="" type="radio"/> Card		IARCE Reg Element Fees	\$18.00
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:		Total	\$18.00

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

Pay for IAR CE Credits

Program Info Payment

Expiration Date: Month Year State/District/Outlying area: ZIP code: 	
TERMS AND CONDITIONS <input checked="" type="checkbox"/> I agree to the following terms and conditions	
<input type="button" value="CANCEL"/>	<input type="button" value="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

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 **Pass Due**

[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](#)

2023 Courses (1)	Course Provider	Course ID	Completion Date	# of credits	Credit Type
Regulatory Element	FINRA	REGLEMENT (2023)	06/08/2025	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: (CRD#)

My Tasks

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

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

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

Investment Adviser Representative CE (IAR CE) **Required** **Due on 12/31/2025**
[View Program Details](#) [GO TO NASAA SITE](#)

Complete the annual IAR continuing education credits with a NASAA approved provider to maintain your IAR registration and eligibility for IAR EVEP.

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**

Click on **View Program Details** to get more information including a link to view [NASAA's approved provider](#) list.

My Dashboard

My Tasks

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

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

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

Investment Adviser Representative CE (IAR CE) Required Due on 12/31/2025
[View Program Details](#) [GO TO NASAA SITE](#)

Complete the annual IAR continuing education credits with a NASAA approved provider to maintain your IAR registration and eligibility for IAR EVEP.

Maintaining Qualifications Program (MQP) May Be Eligible until 04/22/2027
[View Program Details](#)

Investment Adviser Representative CE (IAR CE)

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 [NASAA's 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 [NASAA's 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

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, you can access help documentation through the **Browse Resources and Guided Tours** option available in the **Help** menu.

My Account | **Help** NEW | Sign out

Help

[Chat with a Digital Agent](#)
Our digital agent is available 24/7 for self-service help.

[Browse Resources and Guided Tours](#)
Look through FinPro guided tours and other help resources.

[Submit Feedback](#)
Tell us about your experience using Finpro and how we can improve.

[FINRA.org](#)
Visit the FinPro page on FINRA.org to learn more about FinPro features and see the latest news.

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