

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).

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IAR CE Jurisdiction Adoption

Follow the link above to review the current

list of jurisdictions that have adopted

NASAA's IAR CF model rule.

FINCA.

Introduction

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

- 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 <u>NASAA's IAR Exam Validity Extension Program (IAR EVEP)</u> to extend the validity of your IAR qualification exam for a period up to five years after your registration is terminated.

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 <u>Creating a FinPro Account user guide</u>.

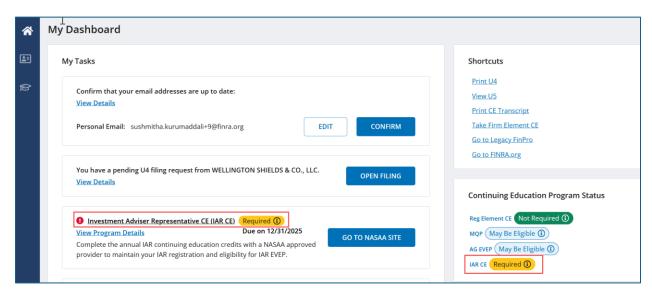
If you have logged into FinPro before, you can navigate directly to the FinPro login page.

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



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

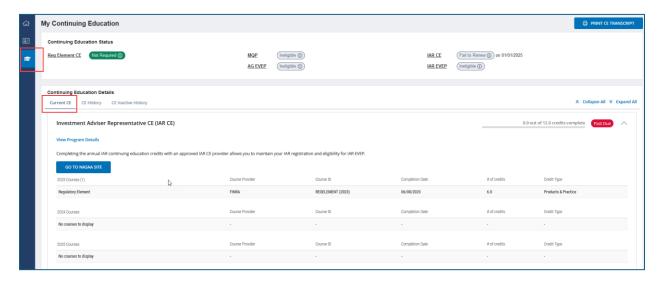


Review Completed IAR CE Courses

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.

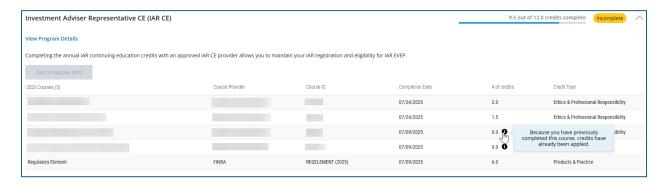
Current CE

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.

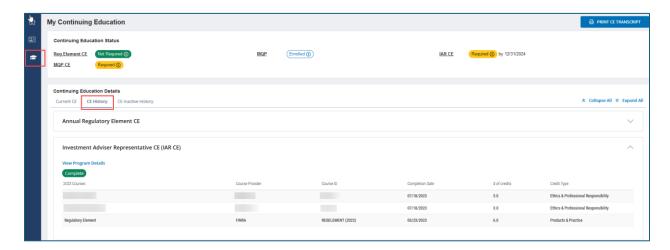
Courses assigned zero credits will have an information icon to provide details. Hover your mouse over the icon to view the details. The most common reasons a course will have zero credits applied are either the IAR has already taken the course, or the credit type has already been satisfied. Courses are 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.



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).



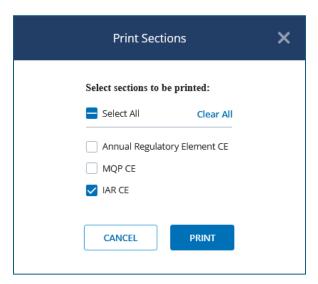


Print CE Transcript

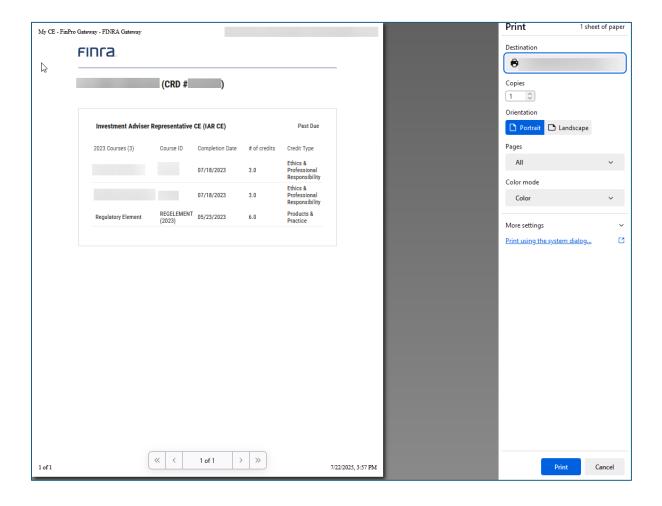
The **PRINT CE TRANSCRIPT** button is available at the top right of the **My CE** page.



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.

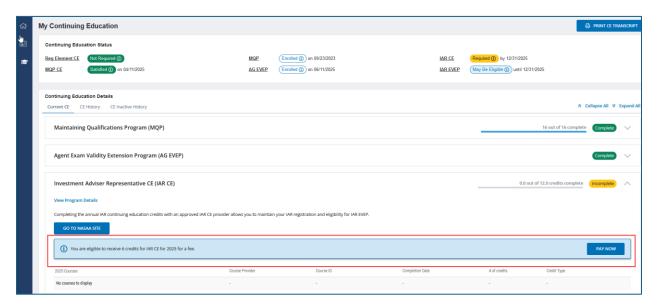


Apply Regulatory Element CE toward IAR CE

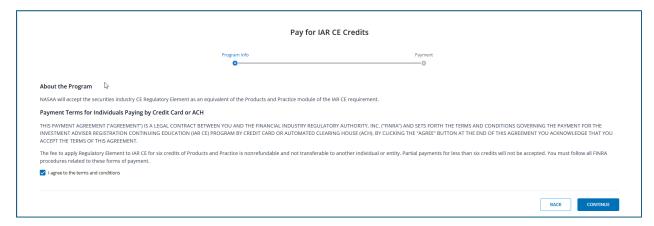
After completing your annual FINRA Regulatory Element CE, or your annual Maintaining Qualifications Program (MQP) Learning Plan, you may be able to pay a fee to apply this toward your annual IAR CE requirement as six Products and Practice credits.

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.

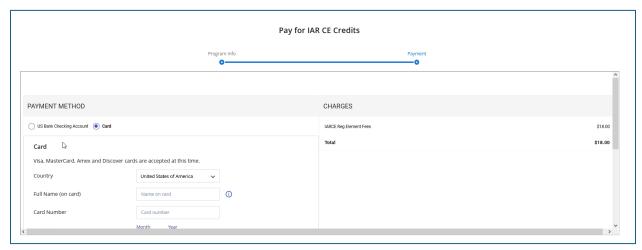
If you are responsible for your fee, the system will indicate that you are eligible to receive six credits for IAR CE for a fee.



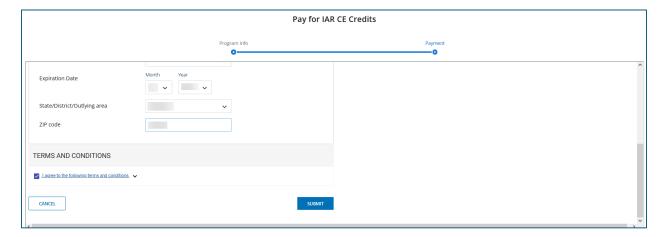
After selecting the **PAY NOW** button, you will be shown a high-level description of the program and payment terms.



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

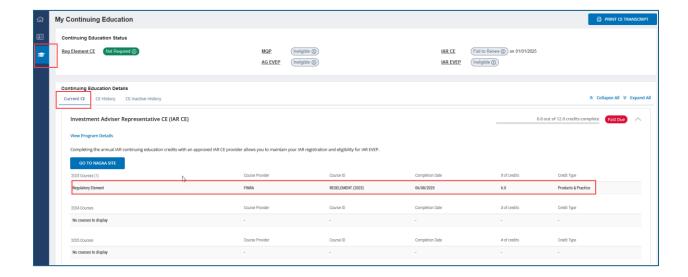


Select the payment method and scroll down to input the details.



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.

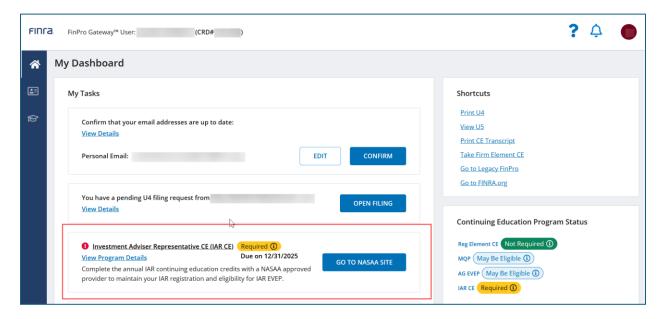


Resources

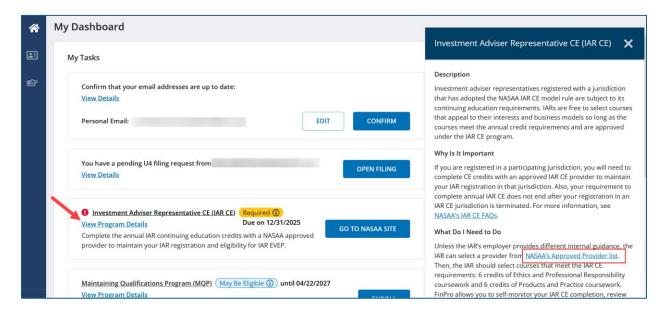
For more information about NASAA's IAR CE program, visit <u>NASAA's IAR CE page on NASAA.org</u> to access a program overview, the model rule, state adoption information, and FAQs.

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.



Click on **View Program Details** to get more information including a link to view <u>NASAA's approved</u> <u>provider</u> list.



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.



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