



Sent via email

September 1, 2020

Alex Smith
Street Address
City, State, Zip code

Notice of Eligibility for Financial Services Affiliate Waiver Program (FSAWP) Designation

Dear Alex Smith,

Upon receipt of this letter, you are encouraged to create a [Financial Professional Gateway \(FinPro\)](#) account. Your FSAWP designation is valid for seven years from mm-dd-yyyy, the date of your initial designation. During the seven-year period, you must meet all of the following requirements:

1. Fulfill your FINRA Continuing Education (CE) Regulatory Element requirement – Based on your most recent registration(s), you will be required to take an appropriate Series ID# between xx/xx/xxxx and xx/xx/xxxx. You must enroll for your CE session via the [Test Enrollment Services System](#) to complete [CE Online](#). **Note:** FINRA will remind you via email 30 days prior to the start of your 120-day CE requirement window. That reminder email will be the only CE notification that you will receive.
2. Continuously work for a financial services industry affiliate of a member firm – While you are permitted to transfer between financial services affiliates of the member firm or to a financial services affiliate of another member firm, such transfers must be done promptly and in no case are permitted to exceed to 30 calendar days.
3. Promptly notify FINRA at fsawp@finra.org of a change to your email address provided to FINRA for initial FSAWP eligibility – FINRA will send confirmation of the email address change within three business days.

If you have any questions regarding FSAWP, refer to [FINRA Rule 1210.09](#) or the [FSAWP Guidelines](#). If any clarification of this notice is required, please contact at fsawp@finra.org.

Thank you,

FINRA Waivers Team

Cc: Member Firm