

**About Continuing Education**

FINRA, in conjunction with other self-regulatory organizations and the Securities Industry/Regulatory Council on Continuing Education, administers the continuing education program for the securities industry. Continuing education (CE) consists of two mandatory programs: the Regulatory Element and the Firm Element. (For more information, visit [FINRA's website](#) or [www.cecouncil.com](http://www.cecouncil.com).) This guide discusses the CRD tools available to firms for managing the Regulatory Element.

 **IMPORTANT NOTE:**

All classic CRD features should now be accessed through [FINRA Gateway](#), the new FINRA reporting and compliance platform. This new system is designed to focus on compliance functions, such as research, reporting and responding to requests, rather than focusing on the specific system you would access to fulfill your requirements.

Additionally, new Continuing Education report templates are available in FINRA Gateway to assist firms with tracking their rep's CE information. Visit [this page](#) for more information.

If you have any questions or feedback regarding the transition to FINRA Gateway, please contact [FeedbackFINRAGateway@finra.org](mailto:FeedbackFINRAGateway@finra.org).

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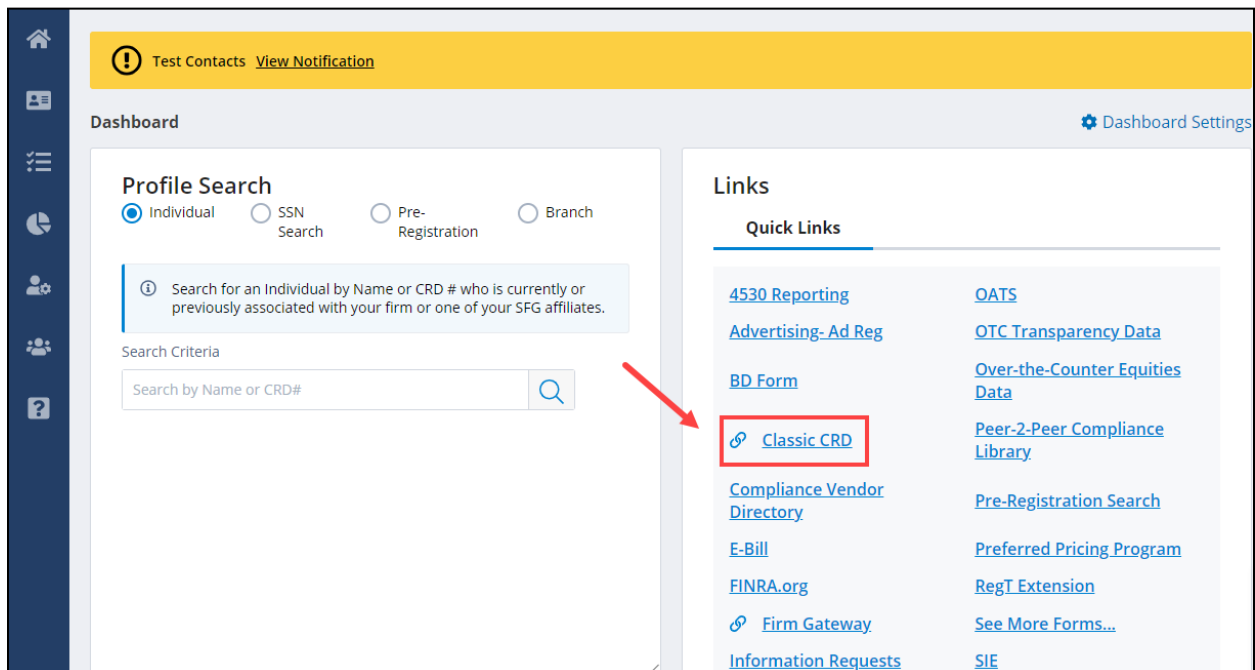
**Need help with CRD? Call the FINRA Gateway Call Center at 301-869-6699**  
8 A.M. - 8 P.M., ET, Monday-Friday.

## Logging in Through FINRA Gateway

As of August 21, 2021, the previously used Firm Gateway homepage has been retired and users should access all registration applications via the new [FINRA Gateway](#). To access FINRA Gateway:

1. Go to <https://gateway.finra.org>, and
2. Enter your existing CRD user ID and password.

Once you have successfully logged into FINRA Gateway, you can navigate to classic CRD using the **Quick Links** widget on the dashboard. Select **Classic CRD** from the list of links and then follow along with the rest of this guide.



The screenshot displays the FINRA Gateway dashboard. At the top, there is a yellow notification bar with a warning icon and the text "Test Contacts View Notification". Below this is the "Dashboard" header with "Dashboard Settings" on the right. The main content area is divided into two sections. On the left is the "Profile Search" section, which includes radio buttons for "Individual" (selected), "SSN Search", "Pre-Registration", and "Branch". Below these is a search criteria input field with the placeholder text "Search by Name or CRD#" and a search icon. On the right is the "Links" section, titled "Quick Links", which contains a grid of blue hyperlinks. The link "Classic CRD" is highlighted with a red box and a red arrow pointing to it from the search criteria field. Other links in the grid include "4530 Reporting", "Advertising- Ad Reg", "BD Form", "Compliance Vendor Directory", "E-Bill", "FINRA.org", "Firm Gateway", "Information Requests", "OATS", "OTC Transparency Data", "Over-the-Counter Equities Data", "Peer-2-Peer Compliance Library", "Pre-Registration Search", "Preferred Pricing Program", "RegT Extension", "See More Forms...", and "SIE".

## Tools Available for Monitoring CE Cycles

Firms are responsible for monitoring an individual's CE cycles and advising the individual of his or her requirement. FINRA systems provide three mechanisms to monitor an individual's CE cycle:

- Queues
- Reports
- Firm Notifications

### Individual Queues in CRD

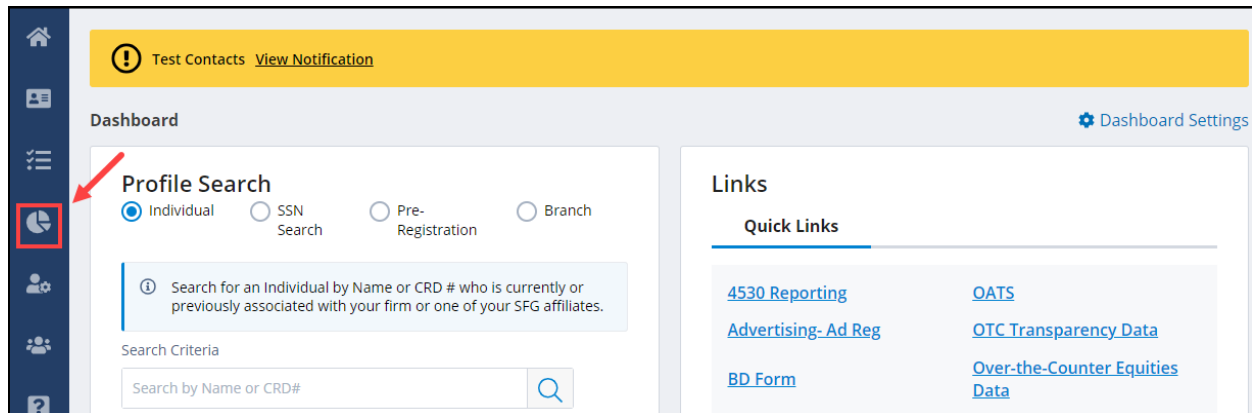
The following individual queues are available to firm users in CRD for monitoring CE requirements for individuals at your firm:

Queue Name	Queue Description	Queue Content
<b>Approaching CE Requirement</b>	Lists individuals who will enter their CE requirement window within the next 28 days. Individuals remain in this queue for 28 days prior to their CE window begin date.	Individual CRD # Individual Name Billing Code Type of CE Session Window Begin/End Dates Scheduled Appointments Online Last Accessed Date
<b>CE 2-Year Termed</b>	Lists individuals who have been terminated due to being CE Inactive for 2 years. Notices enter this queue when the SRO registration status for an individual becomes CE 2-Year Termed. Individuals remain in queue indefinitely for historical purposes.	Individual CRD # Individual Name Billing Code CE 2-Year Term Date
<b>CE Inactive</b>	Lists individuals who have become inactive because they did not satisfy the CE requirements. Individuals remain in queue until (1) CE is completed, (2) firm terminates the individual or (3) automatic termination occurs.	Individual CRD # Individual Name Billing Code New Hire Type of CE Session Window Begin/End Dates Scheduled Appointments Online Last Accessed Date
<b>CE Satisfied</b>	Lists individuals who have satisfied their CE requirements within the specified time frame. Individuals remain in queue indefinitely for historical purposes.	Individual CRD # Individual Name Billing Code Type of CE Session Satisfied Date
<b>Currently CE Required</b>	Lists individuals that are required to take the CE session. Individuals remain in this queue as long as they are within their 120-day requirement window and the requirement is incomplete.	Individual CRD # Individual Name Billing Code Type of CE Session Window Begin/End Dates Scheduled Appointments Online Last Accessed Date

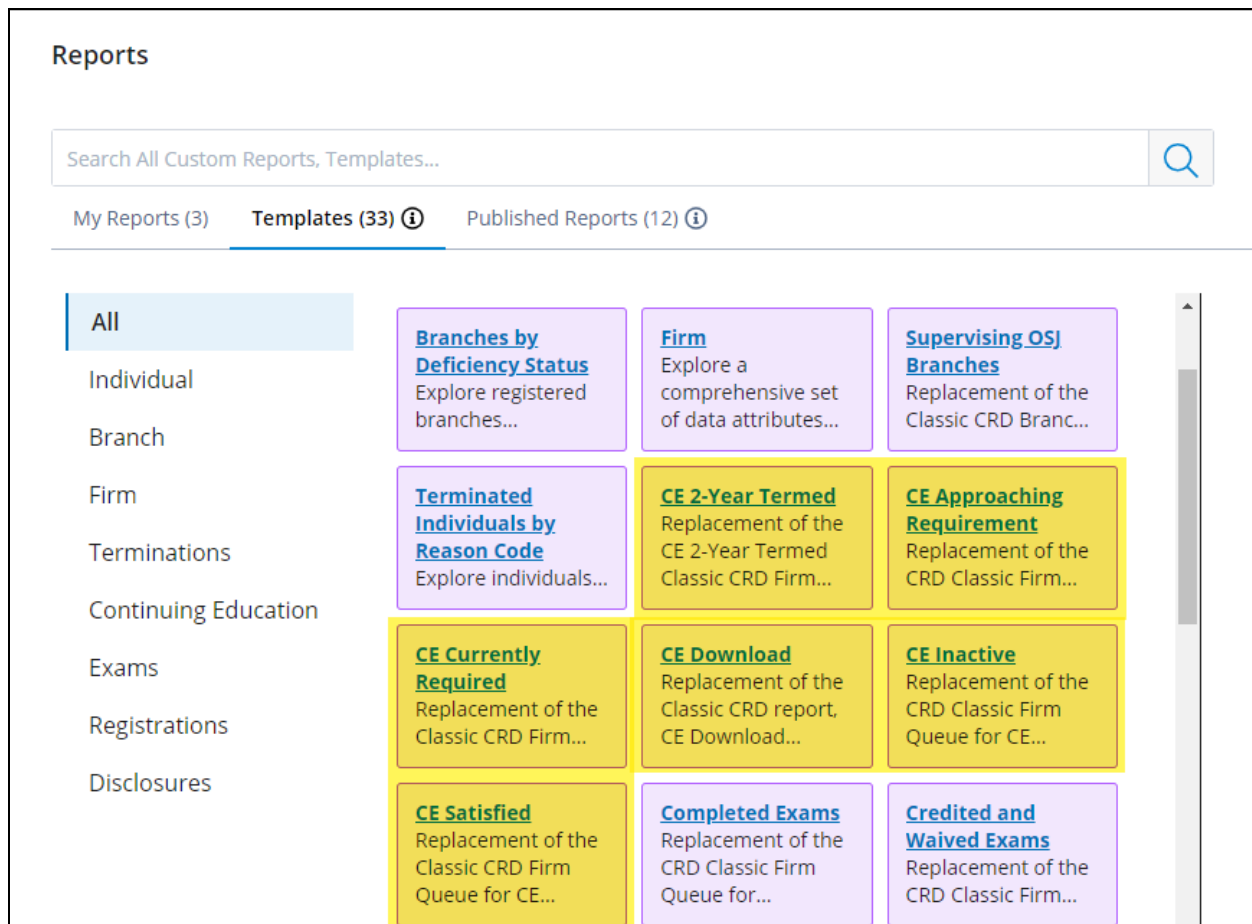
## Tools Available for Monitoring CE Cycles (Continued)

### Dynamic Reporting

The primary way to obtain CE data is via Dynamic Reporting in FINRA Gateway. To access, select the Reports icon on the left navigation panel of the FINRA Gateway dashboard:



Select the desired template to view the data (see below). Visit the [Dynamic Reporting page](#) for tips on using FINRA Gateway templates.



## Tools Available for Monitoring CE Cycles (Continued)

### Classic CRD Reports

The following classic reports are still available to firm users in CRD for obtaining certain CE data for individuals at their firm:

Report Name	Report Description	Report Content
<b>Approaching CE Two Year Termed Download</b>	Lists individuals who will become CE Two Year Termed in the next 10 days.	Individual CRD # Individual Name CE 2 Year Termed Date
<b>Previously Inactive CE Individuals Within a Firm</b>	Lists all individuals who are or were employed with the firm and at the time of employment were CE Inactive during a specified timeframe.	Individual Name Individual CRD # Registration Category CE Inactive Start/End Dates Number of Days Inactive Employment Termination Date

### Firm E-mail Notifications

Firms can sign up to receive the following CE e-mail notifications, which notify firms when an individual enters the CE queues or is approaching the window for their CE requirement:

- Notify when a registered individual is within 30 days of the end of his or her CE Required window
- Notify when a registered individual is within 90 days of the end of his or her CE Required window
- Notify when registered individuals receive an INCOMPLETE result for a CE session
- Notify when a registered individual enters Firm CE Inactive Queue

Please see the [Firm Notification](#) guide for more information on signing up for e-mail notifications.

## Tips for Managing CE

- An individual's CE Base Date will be one of the following:
  - A registered person's initial securities registration approval date with a Self-Regulatory Organization (SRO), such as FINRA;
  - The qualification examination waiver date;
  - The new securities registration approval date for a registered person that has been terminated for two or more years and is reentering the industry.
- If searching for CE information on a specific individual within the firm, best practice is to view the individual's CE information via the profile in FINRA Gateway rather than using the CE queues.
- To monitor the progress of individuals completing their CE session online, the CE Appointments section will display the number of modules that have been completed and the last access date.
- When the 120-day window expires, the enrollment is still valid and the individual can fulfill the requirement without opening another window.
- When the registration status of the individual changes to CE Inactive or CE 2-Year Termed, the individual cannot conduct any business requiring a registration.
- Always check the CE information for "New Hires" during the Pre-Registration evaluation.
- New Hires that are CE Inactive will also appear in the Current Registration Deficiencies Queue with a status of DEFICIENT - CE INACTIVE.
- For New Hires that are CE Inactive, determine the amount of time remaining before a CE 2-Year Termination will become effective.
- Individuals that are terminated will be automatically removed from all CE Queues, except for those with date ranges (historical queues).

## CE Notifications for Reps

Using the Firm Settings feature in FINRA Gateway, firms can enable automatic CE notifications for their registered rep population. Notifications will be sent via email to registered FinPro users according to the frequency selected by their firm(s). Firms can also request copies of the delivered notifications. Please refer to [this page](#) for additional details.

## Active Military Leave

FINRA provides registration and licensing relief to FINRA registered persons and certain formerly registered persons who volunteer or are called into active military duty (see [Notice to Members 06-08](#)).

The documentation required for Active Military Leave can be submitted by mail or faxed to:

FINRA  
 Registration & Disclosure, Reg Services & Ops  
 9509 Key West Avenue  
 Rockville, MD 20850  
 Fax: (301) 216-3716

Requests must contain a copy of the individual's orders (official call-up notification) or a copy of the letter of leave request for individuals that voluntarily join and a letter from the firm (on firm letterhead). When the individual's military service ends and he or she returns to the firm or begins working at a new firm, the firm should provide to FINRA a letter from the firm (on firm letterhead) and a copy of the individual's discharge papers that indicate the start and end dates of service.

## Special Accommodations

All participants are prescribed a 120-calendar-day period to complete their CE Online session. FINRA has eliminated the 3½-hour time limit, thereby allowing participants to progress at their own pace during your 120-calendar-day window. FINRA has made every effort to make the CE Online Program as user friendly as possible for all participants, regardless of physical, sensory or cognitive ability. In most cases, participants who have required accommodations in the past will no longer need to apply for accommodations when using the CE Online Program. For additional details, please review [FINRA's CE Online Delivery Accommodations](#) page.

If it is believed that the participant will be unable to complete their session using their existing technology and are in need of accommodations, please contact FINRA Candidate Services at (800) 999-6647 Option #2. Support is available Monday through Friday from 8 a.m. – 6 p.m., Eastern Time (ET). FINRA's Special Accommodations team will evaluate the request as quickly as possible.

## Significant Disciplinary Actions

Incurring a significant disciplinary action can result in additional Regulatory Element requirements. The cycle for participation in the Regulatory Element may also be adjusted to reflect the effective date of the significant disciplinary action rather than the initial securities registration date.

### Directed Sequence

The retaking of the Regulatory Element shall commence with participation within 120 days of the registered person becoming subject to the statutory disqualification or the disciplinary action becoming final. The date of the disciplinary action shall be treated as such person's new base date with FINRA.

### Directed Session

A Directed Session is an additional CE session directed by a regulator, but is not the result of a significant disciplinary action. The Directed Session does not affect the individual's Base Date.