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.) 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.

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Logging in Through FINRA Gateway

Beginning in Summer 2020, the new FINRA Gateway will become the primary method for accessing FINRA systems. 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 menu on the lower-left. Select Classic CRD from the list of links and then follow along with the rest of this guide.
CE Information in View Individual

Firms can view current and historical Continuing Education (CE) information through the CRD View Individual function. The Continuing Education section displays current and historical CE information for an individual. Information displayed includes the individual’s CE Status, Base Date, and upcoming CE Requirement window. The system defaults to the Current CE Regulatory Element Status screen.

### Current CE Regulatory Element Status

<table>
<thead>
<tr>
<th>Individual CRD#</th>
<th>Individual Name</th>
<th>Current CE Status</th>
<th>CE Base Date</th>
<th>Session Type</th>
</tr>
</thead>
<tbody>
<tr>
<td>111111</td>
<td>Doe, John</td>
<td>REQUIRED</td>
<td>11/10/1999</td>
<td>106</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Session Enrollment ID</th>
<th>Appointment Status</th>
<th>Appointment Date</th>
<th>Vendor</th>
<th>Confirmation Number</th>
<th>Vendor Center ID</th>
<th>Location Window Dates</th>
</tr>
</thead>
<tbody>
<tr>
<td>106</td>
<td>In Progress 0 of 4 Modules Completed</td>
<td></td>
<td>Web Delivery</td>
<td>Last accessed on: 01/13/2017</td>
<td></td>
<td>11/10/2016 - 03/09/2017</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Requirement Type</th>
<th>Enrollment ID</th>
<th>Session</th>
<th>Status</th>
<th>Status Date</th>
<th>Window Dates</th>
<th>Result</th>
<th>Foreign Deferred</th>
<th>Military Deferred</th>
</tr>
</thead>
<tbody>
<tr>
<td>Anniversary</td>
<td>34114057</td>
<td>106</td>
<td>REQUIRED</td>
<td>11/10/2016</td>
<td>11/10/2016 - 03/09/2017</td>
<td>N</td>
<td>N</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Window Dates</th>
<th>Enrollment ID</th>
<th>Requirement Type</th>
<th>Session Type</th>
</tr>
</thead>
<tbody>
<tr>
<td>11/10/2019 - 03/08/2020</td>
<td>35884318</td>
<td>Anniversary</td>
<td>106</td>
</tr>
</tbody>
</table>

For individuals completing their CE session online, the CE Appointments section will display how many modules have been completed and the last access date.

### CE Appointments

<table>
<thead>
<tr>
<th>Session Enrollment ID</th>
<th>Appointment Status</th>
<th>Appointment Date</th>
<th>Vendor</th>
<th>Confirmation Number</th>
<th>Vendor Center ID</th>
<th>Location Window Dates</th>
</tr>
</thead>
<tbody>
<tr>
<td>201</td>
<td>In Progress 1 of 4 Modules Completed</td>
<td></td>
<td>Web Delivery</td>
<td>Last accessed on: 06/09/2015</td>
<td></td>
<td>06/07/2015 - 10/04/2015</td>
</tr>
</tbody>
</table>

To view a history of CE anniversary and disciplinary requirements, select the CE History link from the left navigation panel.

### CE History

<table>
<thead>
<tr>
<th>Individual CRD#</th>
<th>Individual Name</th>
<th>Current CE Status</th>
<th>CE Base Date</th>
<th>Session Type</th>
</tr>
</thead>
<tbody>
<tr>
<td>111111</td>
<td>Doe, John</td>
<td>SATISFIED</td>
<td>10/15/2013</td>
<td>101</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Requirement Type</th>
<th>Enrollment ID</th>
<th>Session</th>
<th>Status</th>
<th>Status Date</th>
<th>Window Dates</th>
<th>Result</th>
<th>Foreign Deferred</th>
<th>Military Deferred</th>
</tr>
</thead>
<tbody>
<tr>
<td>Anniversary</td>
<td>34073578</td>
<td>101</td>
<td>SATISFIED</td>
<td>02/04/2016</td>
<td>10/15/2015 - 02/11/2016</td>
<td>CMPLT - 02/04/2016</td>
<td>N</td>
<td>N</td>
</tr>
<tr>
<td></td>
<td>101</td>
<td></td>
<td>REQUIRED</td>
<td>10/15/2015</td>
<td>10/15/2015 - 02/11/2016</td>
<td></td>
<td>N</td>
<td>N</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>From</th>
<th>To</th>
</tr>
</thead>
<tbody>
<tr>
<td>02/12/2014</td>
<td>04/08/2014</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Source</th>
<th>Type of Penalty</th>
<th>Date of Action</th>
<th>Effective Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>FINRA</td>
<td>SEQUENCE</td>
<td>10/15/2013</td>
<td>10/15/2013</td>
</tr>
</tbody>
</table>
CRD 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. CRD provides three mechanisms to monitor an individual’s CE cycle:

- Queues
- Reports
- Firm Notifications

Individual Queues

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

<table>
<thead>
<tr>
<th>Queue Name</th>
<th>Queue Description</th>
<th>Queue Content</th>
</tr>
</thead>
</table>
| Approaching CE Requirement | 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 |
| CE 2-Year Termed         | 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 |
| CE Inactive              | 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 |
| CE Satisfied             | 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 |
| Currently CE Required    | 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 |
CRD Tools Available for Monitoring CE Cycles (Continued)

Reports
The following reports are available to firm users in CRD for monitoring CE requirements for individuals at their firm:

<table>
<thead>
<tr>
<th>Report Name</th>
<th>Report Description</th>
<th>Report Content</th>
</tr>
</thead>
<tbody>
<tr>
<td>Approaching CE Queue Report and Download</td>
<td>Lists individuals in the firm’s Approaching CE Requirement queue.</td>
<td>Window Begin/End Dates Session Type Individual CRD # Individual Name Billing Code Scheduled Appointments Online Last Accessed Date</td>
</tr>
<tr>
<td>Approaching CE Two Year Termined Download</td>
<td>Lists individuals who will become CE Two Year Termined in the next 10 days.</td>
<td>Individual CRD # Individual Name CE 2 Year Termined Date</td>
</tr>
<tr>
<td>CE Download</td>
<td>Lists all individuals who are currently employed with the firm and their current CE status.</td>
<td>CE Session Type Individual CRD # Individual Name CE Base Date Window Begin/End Dates Current CE Status Scheduled Appointments Online Last Accessed Date</td>
</tr>
<tr>
<td>Current Inactive CE Individuals Within a Firm</td>
<td>Lists all individuals who are currently employed with the firm and who are currently CE Inactive and the date from which the individual has been CE Inactive.</td>
<td>Individual Name Individual CRD # Filing Date New Hire CE Inactive Start Date Number of Days Inactive CE Session Type Scheduled Appointments Online Last Accessed Date</td>
</tr>
<tr>
<td>Previously Inactive CE Individuals Within a Firm</td>
<td>Lists all individuals who are or were employed with the firm and at the time of employment were CE Inactive during a specified timeframe.</td>
<td>Individual Name Individual CRD # Registration Category CE Inactive Start/End Dates Number of Days Inactive Employment Termination Date</td>
</tr>
<tr>
<td>CE 2 Year Termined Download</td>
<td>Lists all individuals who have become CE 2 Year Termined.</td>
<td>Individual CRD # Individual Name CE 2 Year Termined Date</td>
</tr>
</tbody>
</table>
CRD Tools Available for Monitoring CE Cycles (Continued)

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 an 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 through View Individual 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, sit for 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).
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.