

FINra[®]

CE Transformation: System Tools

July 25, 2023

- | **Recap of Regulatory Element Changes**
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Recap of Regulatory Element Changes

Rule 1240 (a)

- Effective January 1, 2023
- Annual requirement
- December 31 deadline
- Fee reduced from \$55 to \$18
- Registration-specific with a focus on rule changes & industry trends

Online Tools

- Firms can refer to www.finra.org/cet for tools to assist with this transition:
 - 2023 learning plan topics
 - Transformation Toolkit
 - Previous webinars and podcasts

FINRA Systems

- Tools available to help firms comply with their Regulatory Element requirements:
 - FinPro
 - FINRA Gateway

System Demo



CE Transformation Webpage

www.finra.org/cet

Frequently Asked Questions

www.finra.org/registration-exams-ce/continuing-education/ce-transformation-faq

Firm Settings Guide

www.finra.org/registration-exams-ce/finpro/for-firms/firm-settings-guide

FinPro Instructions for Reps

www.finra.org/registration-exams-ce/finpro/ce

Questions?

For questions about system capabilities,
please email:

feedbackFINRAGateway@finra.org