

2024 Regulatory Element CE Survey Results Report

This report contains survey results from small, mid-size and large firms as defined by FINRA. Results for each firm size are also provided individually in three separate reports.

Participation by Firm Size

Firm Size	Percentage	Participants
1 – 150 (Small)	78%	252
151 – 499 (Mid-Size)	10%	33
500 or more (Large)	12%	38
Total Participants		323

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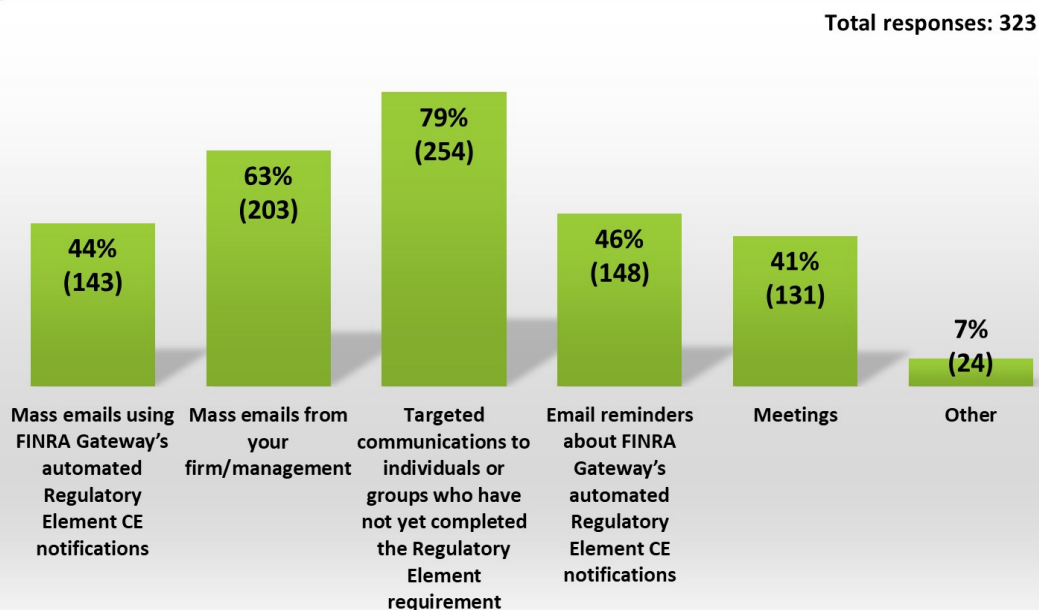
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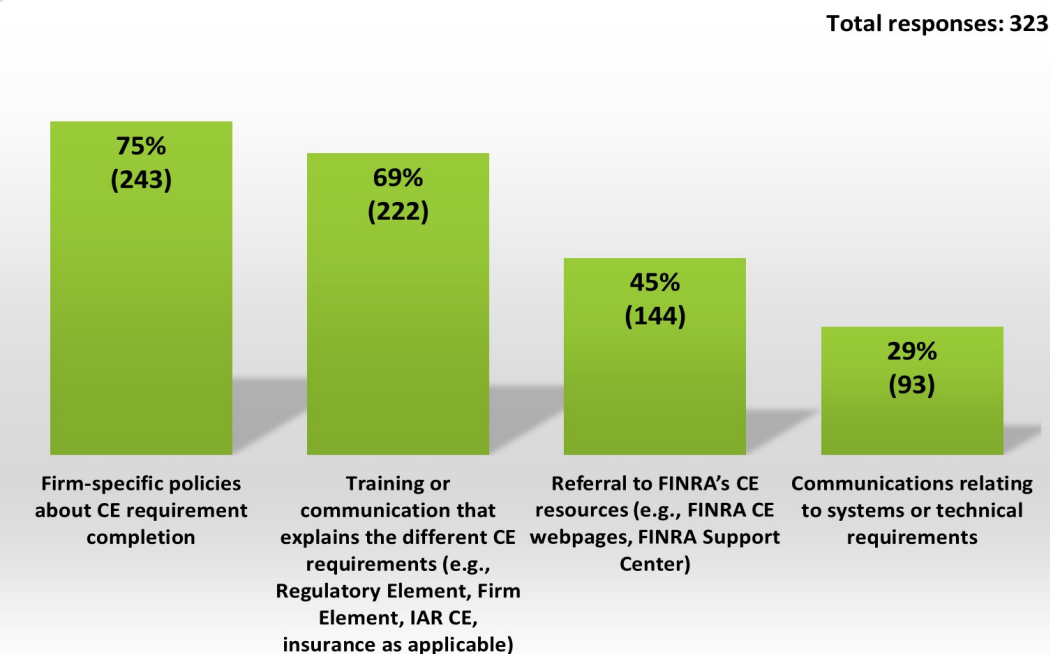
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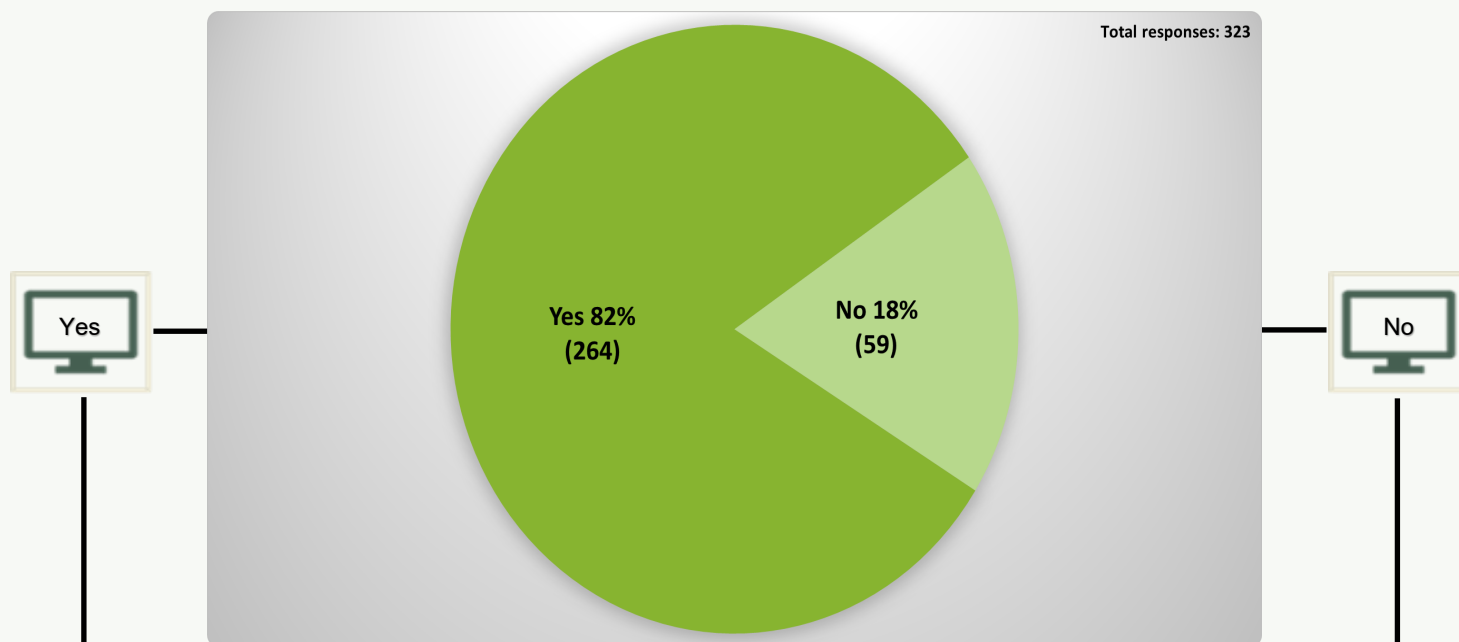
What method(s) does your firm use to communicate with registered persons about their Regulatory Element CE requirements?



What other information does your firm provide to help registered persons complete their CE requirements?



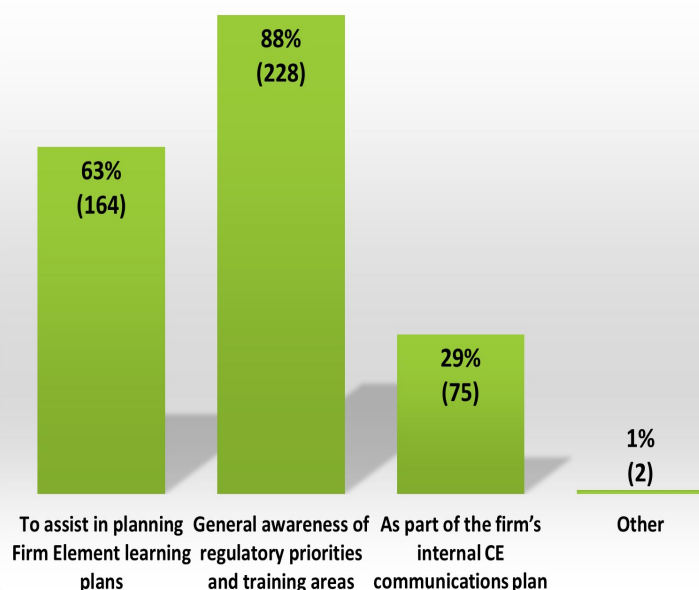
**Regulatory Element learning plans are published by Oct. 1 of the prior year.
Did your firm view the 2023 or 2024 Regulatory Element learning plans?**



Respondents were directed to the following questions based on their answer to the above question.

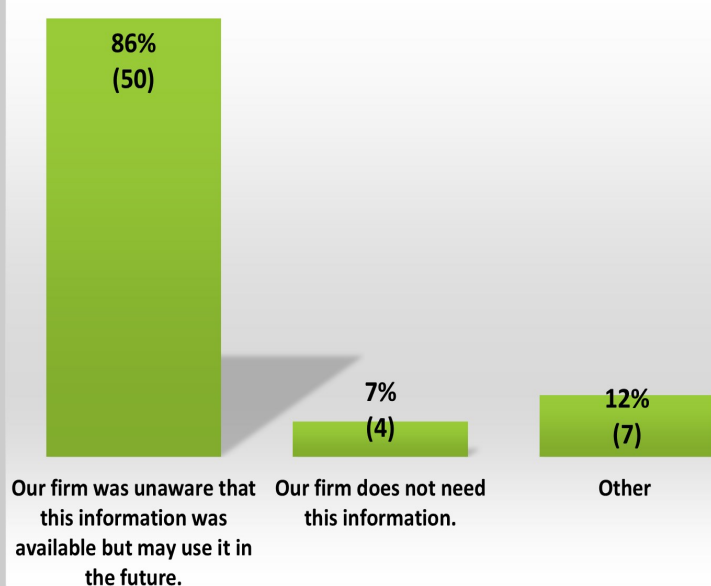
What did your firm use the Regulatory Element learning plan information for?

Total responses: 259



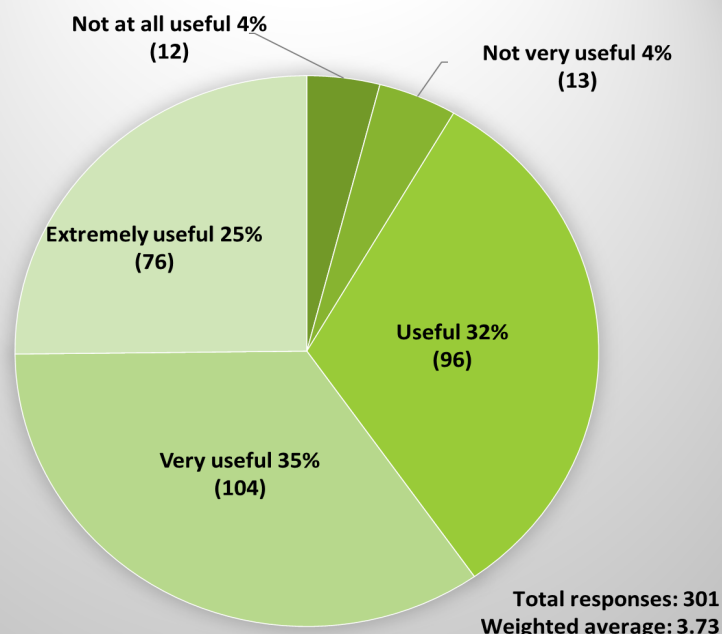
Why didn't your firm view the 2023 or 2024 Regulatory Element learning plans?

Total responses: 58

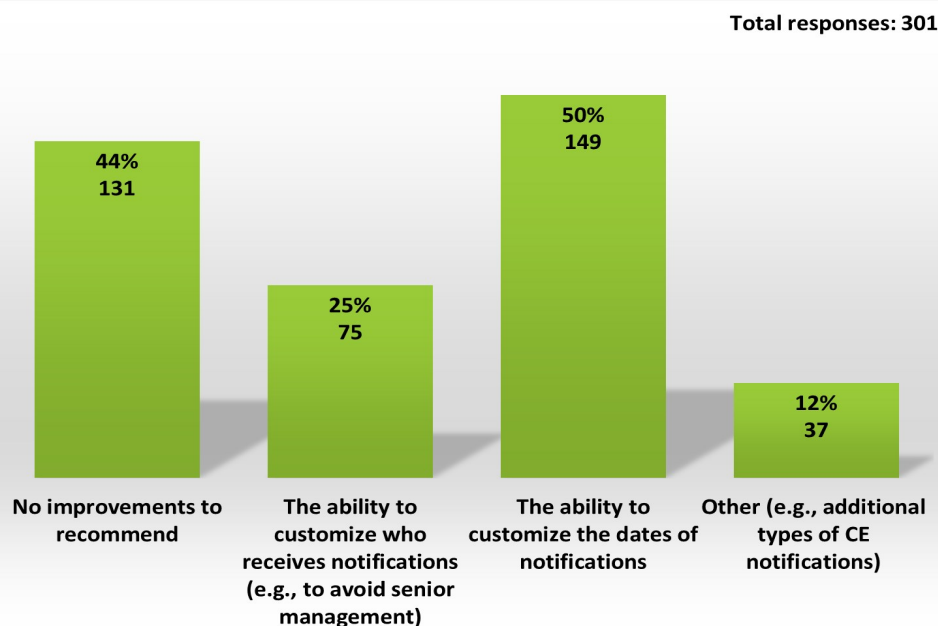




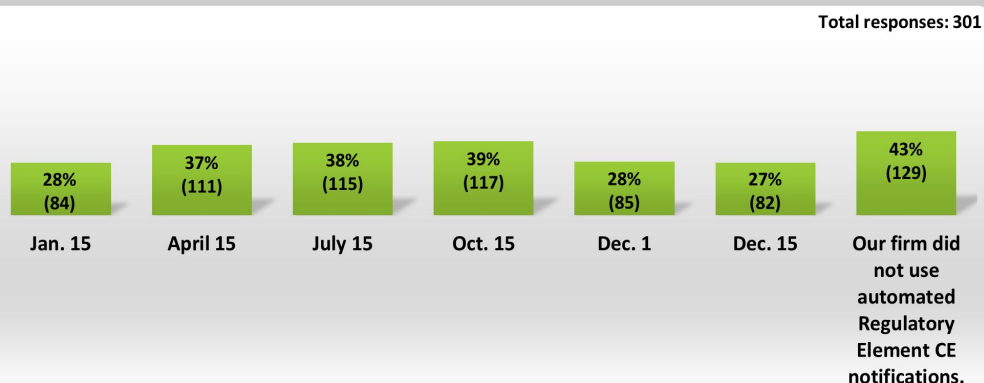
How useful do you find the automated Regulatory Element CE notifications available in FINRA Gateway's Firm Settings?



What, if any, improvements would you recommend to the automated Regulatory Element CE notifications?

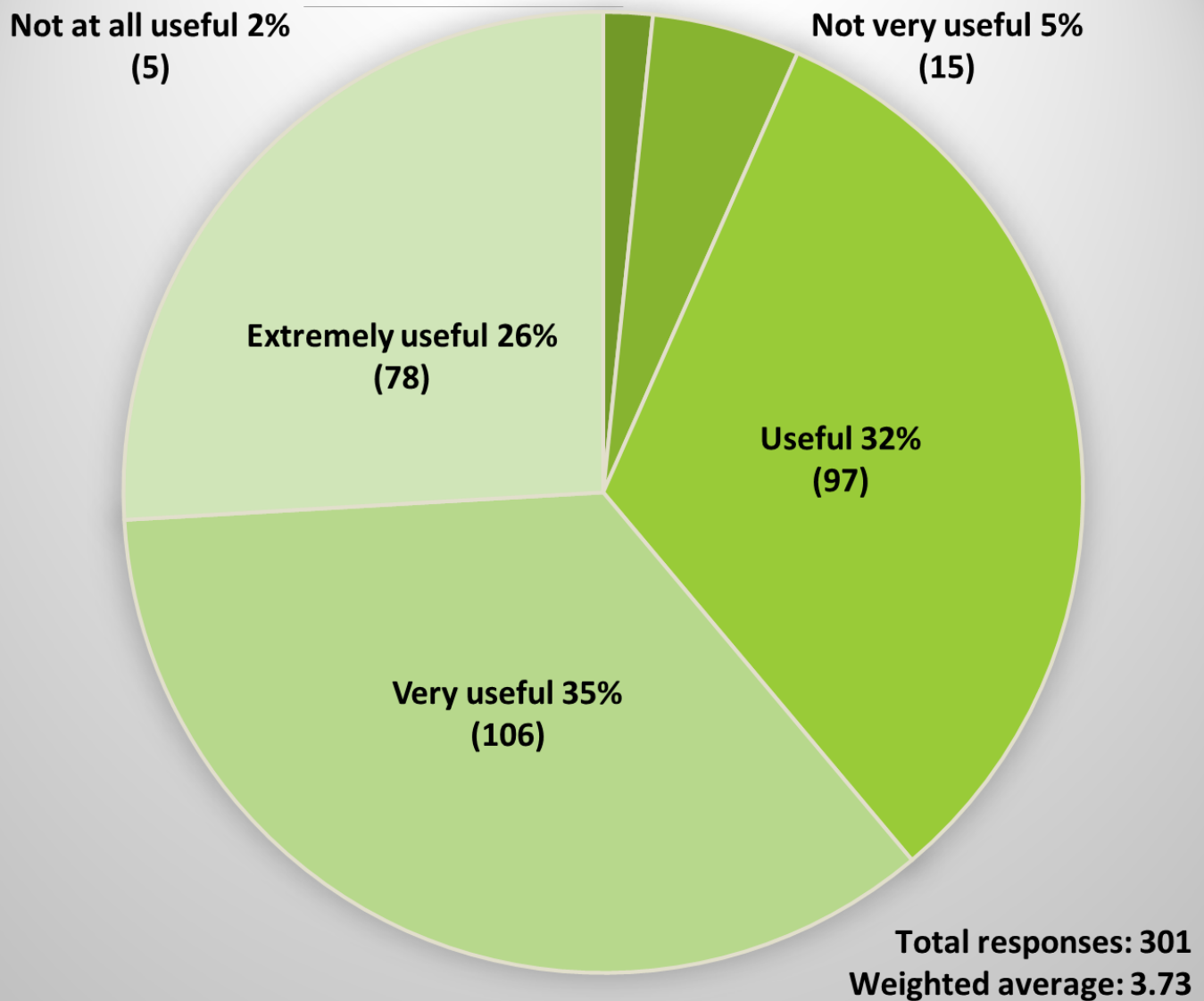


If your firm used the automated Regulatory Element CE notifications, on which dates did your firm have notifications sent to registered persons?





How useful do you find the CE monitoring and reporting functionalities available in FINRA Gateway Reports?





FINRA's deadline for Regulatory Element completion is Dec. 31 each year, but firms can set an earlier internal deadline. Was your firm aware of this option, and did your firm set an earlier internal deadline in 2023?

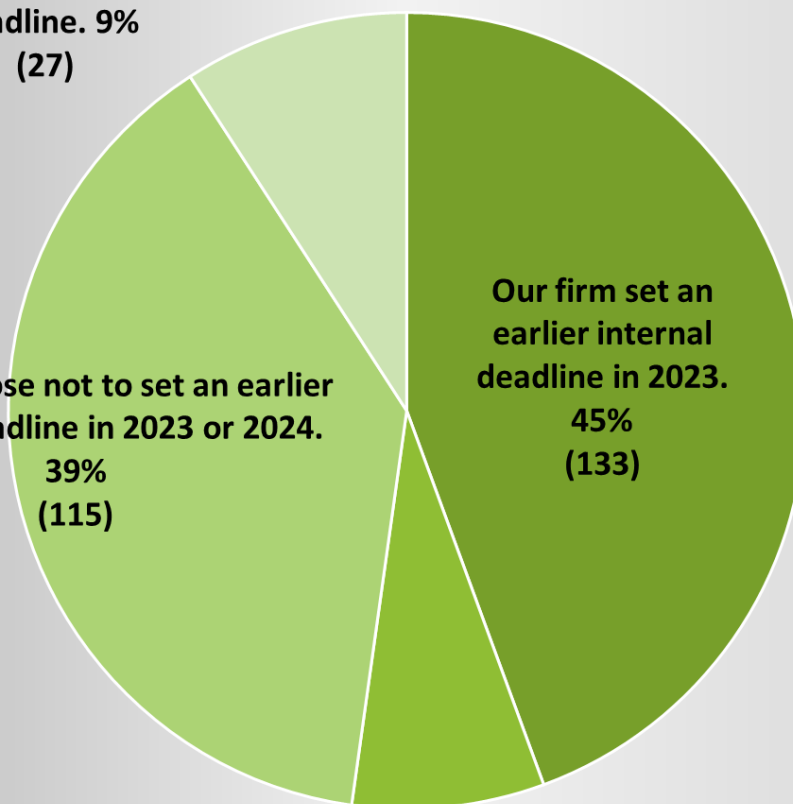
Total responses: 298

Our firm was not aware of the option to set an earlier internal deadline. 9% (27)

Our firm chose not to set an earlier internal deadline in 2023 or 2024. 39% (115)

Our firm set an earlier internal deadline in 2023. 45% (133)

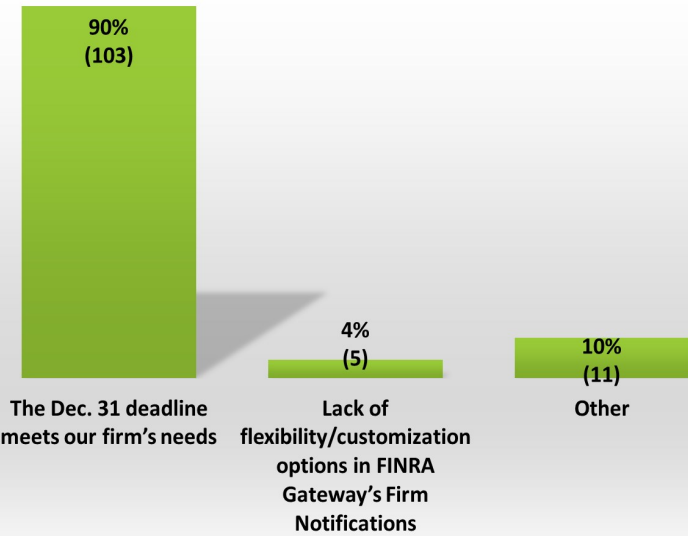
Our firm did not set an earlier internal deadline in 2023 but chose to set one in 2024. 8% (23)





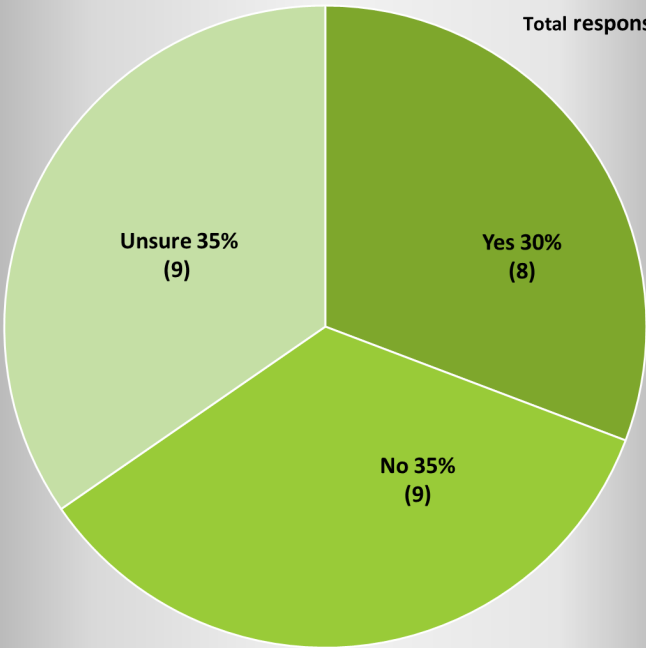
You indicated that your firm chose not to set an earlier internal deadline in 2023 or 2024. What factors contributed to this decision?

Total responses: 115



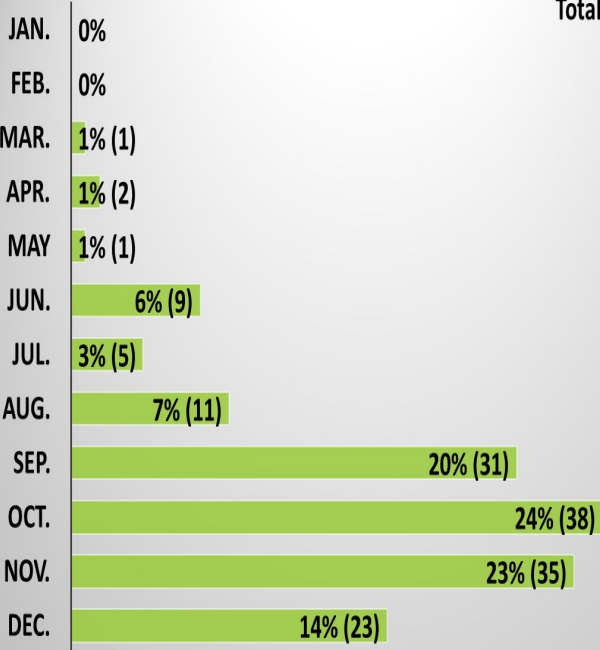
You indicated that your firm was not aware of the option to set an earlier internal deadline. Would you be interested in setting an internal deadline in the future?

Total responses: 26



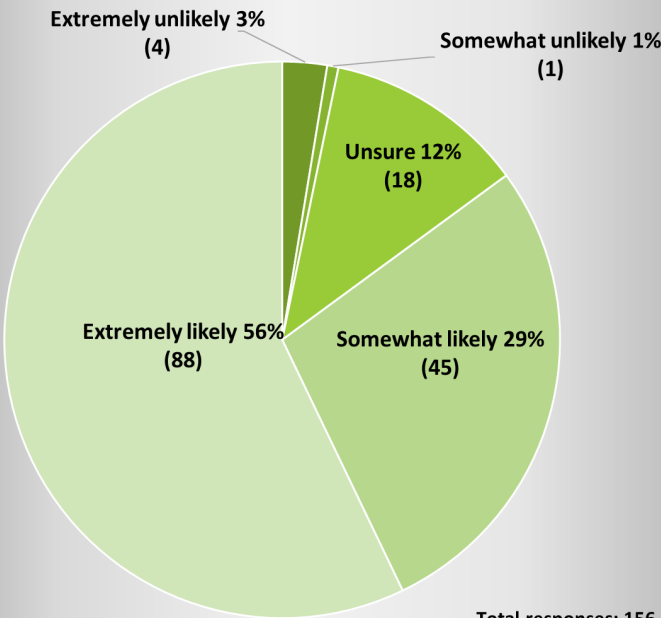
You indicated that your firm set an earlier internal deadline in 2023 and/or 2024. During which month was your firm's earlier internal deadline?

Total responses: 156



You indicated that your firm set an earlier Internal deadline in 2023 and/or 2024. How likely is it that your firm will continue using this deadline in future years?

Total responses: 156
Weighted average: 4.36



General Feedback



All Firms

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Rank your firm's experience with each of the following areas of CE, considering any trends of positive or negative feedback received.

