



Overview of the Securities Industry/Regulatory Council on Continuing Education (CE Council or Council)

The CE Council has advisory and consultative responsibilities to the Securities Industry Continuing Education Program, which are to:

- liaison with appropriate industry groups;
- recommend content topics for the Regulatory Element program and Practical Element program;
- provide guidance and resources that firms may leverage for their Firm Element planning and training efforts;
- promote effective implementation of meaningful continuing education (CE) to the securities industry; and
- maintain the program on a revenue-neutral basis subject to adequate financial reserves.

Membership Requirements

- Industry members must be currently associated with a broker-dealer in a registered capacity at the time of election to join the CE Council.
- A firm or affiliate can only have one representative; each industry member represents one vote on the Council.
- Industry representatives serve a term of four calendar years, with the terms of one-fourth of the representatives expiring each year. A term commences in January.
- CE Council members are required to attend quarterly meetings for one-and-a-half days. Attendance is required for both meeting days. The quarterly meetings are currently held in a hybrid format; however, this model may not continue. In person attendance is strongly encouraged.
- As a member of the Council, you are required to be actively engaged in one of the Council subcommittees (e.g., Regulatory and Practical Elements or Firm Element).
- Each industry representative must complete a Regulatory Element session within the first three calendar months (by March 31st) of becoming a member on the Council, and every year of their term thereafter. Additionally, each industry representative must participate in a CE Content Committee meeting within 12 months of becoming a member of the Council. An industry representative who currently is or has recently been a member of the CE Content Committee will be considered to have satisfied this requirement.

Travel Arrangements and Expenses

FINRA arranges or reimburses CE Council members for reasonable travel expenses related to attending CE Council meetings.

Nomination Process

The vice chairperson heads the Nominating Committee. Nominees to replace outgoing industry representatives are solicited from the Council members and the CE Content Committees. Candidates are identified from various segments of the securities industry, recognizing diversity, size, geographic location, business functions, product lines and affiliations with other financial services industries.

By July 11, 2025, the nominees must submit indication of interest forms and resumes, which are reviewed by the Nominating Committee. FINRA staff will review each nominee's CRD record for compliance with CE Council membership qualifications.

After reviewing the pool of nominees, the Nominating Committee will put forth a slate of candidates they have identified to fill the open industry membership positions. The slate of nominees is presented to the full Council for review and approval at the September meeting. The approved slate of nominees will officially become industry voting members in January 2026. They will be invited to attend the Council's December 2025 meeting as part of an orientation to familiarize them with the structure and workings of the Council.

Other Information

For additional information regarding the CE Council you can reference [Regulatory Notice 21-41](#) or [Regulatory Notice 18-26](#). Submit questions regarding the nomination process to cecounciladmin@finra.org.

Click the link to complete an indication of interest form: [Apply to become a member](#)