

The Securities Industry Continuing Education (CE) program is designed to ensure that registered persons maintain the knowledge necessary to carry out their securities activities in compliance with applicable rules and standards. The program consists of two components: the **Regulatory Element**, which is developed and administered by FINRA and aligned to an individual’s registration category; and the **Firm Element**, which is designed, implemented and tracked by each member firm based on its annual assessment of training needs. This table has been developed to provide users with a high-level overview of the purpose of the CE program and to clearly outline the respective responsibilities of FINRA, member firms and registered persons.

	Regulatory Element	Firm Element
<b>Purpose</b>	Educate registered persons on the regulations applicable to their securities registrations	Educate on each member firm’s specific needs based on the annual evaluation and prioritization of its risks and training requirements
<b>Content</b>	Aligned to a registered person’s registration(s), not their firm-specific role or responsibilities	Varies based on each member firm’s business model, risk profile and regulatory priorities
<b>Focus</b>	Rules and regulatory developments relevant to each registration	A member firm’s needs assessment and written Firm Element plan <a href="#">Firm Element Needs Analysis Resources</a>
<b>Topics</b>	Topics are determined based on: <ul style="list-style-type: none"> <li>• new or amended rules;</li> <li>• emerging industry trends; and</li> <li>• existing rules and foundational regulatory obligations.</li> </ul>	Topics are determined based on the roles, activities and responsibilities of a member firm and a member firm’s registered persons.
<b>Frequency</b>	Annually with completion by December 31 (Member firms may set earlier deadlines.)	Annually with deadlines set by each member firm
<b>Launch Date</b>	January 1	Determined by each member firm, with timing and frequency set through the member firm’s annual education plan
<b>Delivery</b>	Accessed through FinPro <a href="#">Financial Professional Gateway (FinPro Gateway)</a>	Determined by each member firm
<b>Tracking</b>	FINRA, with transparency to firms through <a href="#">FINRA Gateway Reports</a>	Member firms are responsible for tracking and documenting Firm Element education completion.
<b>Failure to Complete</b>	CE Inactive registration status assigned, to be removed when courses have been completed	Consequences are set by each member firm.
<b>Continuing Education Learning Plans</b>	<a href="#">View a Regulatory Element Learning Plan</a>	Set by member firm training coordinator and/or based on firm’s needs analysis

