## FINCa.

# FINRA Gateway Reports Annual Continuing Education (Annual CE) Data Definition

Version 0.4

09-03-24

DATE	AUTHOR	VERSION	DESCRIPTION
11-22-22	Miko Somborac	0.1	Initial Version
03-14-23	Miko Somborac	0.2	Updates to Course Status Definitions
09-08-23	Miko Somborac	0.3	Updates to CE Status Definitions
09-03-24	Miko Somborac	0.4	Added new CE Status

#### About the Data Dictionary

- Referring to the table below, the rows of data shown on a white background are available to add to the main table within FINRA Gateway Reports. The rows of data shown with a blue background are hierarchical and will appear in a sub-table. The rows of data that are blue and white indicate the data point you will click on to expand the sub-table.
- When you want to export data to a CSV file, you can include the main table (white rows) plus one sub-table (blue rows). The export will flatten the hierarchy and present all data points in a single row.
- Sample values are listed for each field. If you want to know all the values available for a given field, you can use the Group tool in FINRA Gateway Reports and group by the given field. The grouped view will show you all values for that field available within your data at that point in time.
- If there is no data for a given field, it may show as "Missing" or "Other."

### **Annual CE Reports**

Data Field	Data Description	Sample Value(s)
Organization CRD#	Unique Central Registration Depository (CRD) number for the organization	612345
Individual CRD#	Individual's CRD ID number	1234
First Name	Individual's primary first name.	John
Middle Name	Individual's primary middle name.	Steward
Last Name	Individual's primary last name.	Smith
Suffix	Individual's primary suffix	Jr.
CE Status Date	Date on which the current CE status was updated.	2019-02-02
	Status of Annual CE for individual. Same information as included in Annual CE Status Description expressed in fewer characters.	
	<b>REQUIRED</b> - The individual has required Regulatory Element and must complete ttheir assigned learning by December 31 to remain active.	REQUIRED
	<b>SATISFIED</b> - The individual has satisfied their annual Regulatory requirement or does not have a Regulatory Element requirement.	SATISFIED CEINACTIVE
CE Status Code	<b>CEINACTIVE</b> - The individual did not complete the Regulatory Element requirement by the required due date and their SRO registrations are now inactive. While CE Inactive, the individual cannot engage in, nor be compensated for, activities that require registration.	NOCESTATUS CE2YEARTERMED 2YEARTERMED NOTREQUIRED
	<b>NOCESTATUS</b> - The individual does not have any active SRO registrations that require completion of an annual Regulatory Element requirement.	
	<b>CE2YEARTERMED</b> - The individual has had a CE Inactive status for two consecutive years, causing their registration(s) to be administratively terminated. To resume	

Data Field	Data Description	Sample Value(s)
	conducting business i, they must re-qualify for registration through a qualification exam or waiver.	
	<b>2YEARTERMED</b> - The individual has been unregistered for more than two years. To resume conducting business, they must requalify for registration through a qualification exam or waiver.	
	<b>NOTREQUIRED</b> – The individual does not have any active SRO registrations and therefore is Not Required to complete Regulatory Element CE at this time. Upon reregistration, the individual's Regulatory Element status will be updated, and the individual may be required to make up any Regulatory Element CE that came due while not registered.	
CE 2 Year Termed Date	The date the individual has or will CE 2-Year term.	YYYY-MM-DD
CE Inactive Start Date	The date on which the individual became CE Inactive	YYYY-MM-DD
	Annual CE status of individual	
	<b>Required</b> - The individual has required Regulatory Element and must complete their assigned learning by December 31 to remain active.	
	<b>Satisfied</b> - The individual has satisfied their annual Regulatory requirement or does not have a Regulatory Element requirement.	Required
CE Status Description	<b>CE Inactive</b> - The individual did not complete the Regulatory Element requirement by the required due date and their SRO registrations are now inactive. While CE Inactive, the individual cannot engage in, nor be compensated for, activities that require registration.	Satisfied CE Inactive No CE Status CE 2 Year Termed 2 Year Termed from Industry
	<b>No CE Status</b> - The individual i does not have any active SRO registrations that require completion of an annual Regulatory Element requirement.	Not Required
	<b>CE 2 Year Termed</b> - The individual has had a CE Inactive status for two consecutive years, causing their registration(s) to be administratively terminated. To resume conducting business, they must re-qualify for registration through a qualification exam or waiver.	

Data Field	Data Description	Sample Value(s)
	<b>2 Year Termed from Industry</b> - The individual has been unregistered for more than two years. To resume conducting business, they must requalify for registration through a qualification exam or waiver.	
	<b>Not Required</b> – The individual does not have any active SRO registrations and therefore is Not Required to complete Regulatory Element CE at this time. Upon reregistration, the individual's Regulatory Element status will be updated, and the individual may be required to make up any Regulatory Element CE that came due while not registered.	
CE Year	Annual CE requirement year	үүүү
Course Assigned Date	The date on which the course was assigned to the individual.	YYYY-MM-DD
Course Due Date	The date by which the individual needs to complete the course.	YYYY-MM-DD
Course Id	The identifier for the course assigned to the individual.	C001X
Course Name	The name of the course that has been assigned to the individual.	Securities Regulation Fundamentals
	The code for status of the course that has been assigned to the individual.	
	ASSIGNED - Course has been assigned to an individual and has not yet been started.	
	<b>COMPLETE</b> - Course has been completed.	
Course Status Code	<b>IN_PROGRESS</b> - Course has been started and is in progress. Course Status moves to In Progress when the Individual has launched the course from FinPro.	ASSIGNED Course Status Code COMPLETE
	<b>NOT_REQUIRED</b> - This course is no longer required because the associated registration position has been terminated. You may be required to complete this course if you re-register the associated position within 2 years of termination.	IN_PROGRESS NOT_REQUIRED NO_LONGER_AVAILABLE
	<b>NO_LONGER_AVAILABLE</b> - This course is no longer available because the associated registration has either been 2-year termed, or you failed to complete required CE for the associated position for 2 consecutive years, thereby causing the associated registration to be administratively terminated.	

Data Field	Data Description	Sample Value(s)
	The code for status of the course that has been assigned to the individual.	
	Assigned - Course has been assigned to an individual and has not yet been started.	
	Complete - Course has been completed.	
	<b>In-progress</b> - Course has been started and is in progress. Course Status moves to In Progress when the Individual has launched the course from FinPro.	Assigned Complete
Course Status Description	<b>No Longer Required</b> - This course is no longer required because the associated registration position has been terminated. You may be required to complete this course if you re-register the associated position within 2 years of termination.	In-progress No Longer Required No Longer Available
	<b>No Longer Available</b> - This course is no longer available because the associated registration has either been 2-year termed, or you failed to complete required CE for the associated position for 2 consecutive years, thereby causing the associated registration to be administratively terminated.	
Date Finpro Account Created	The date Finpro Account was created for the individual.	YYYY-MM-DD
Date Last Accessed Finpro	The date Finpro Account was last accessed by the individual.	YYYY-MM-DD
Employment Active ?	Indicates if the individual's employment is active.	Yes No
Employment Start Date	The firm employment start date associated with the individual's employment	YYYY-MM-DD
Individual Billing Code	The billing code associated with the individual.	777
Is Finpro User?	This indicates whether or not the individual is a Finpro user.	Yes No
Military Annual Verification Received?	Indicates whether or not annual verification of military service was received.	YYYY-MM-DD

Data Field	Data Description	Sample Value(s)
Military Deferral ?	Is the individual's CE requirement deferred due to military service?	Yes No
Military Duty Begin Date	The date the individual's military service began.	YYYY-MM-DD
New Hire ?	Indicates that the individual was hired in the current year and has not accessed any CE courses yet.	Yes No
Registrations	The total number of registrations the individual is associated with and registration related details in the nested fields to drilldown on.	
Organization CRD#	The firm identifier number associated with the individual's registration.	305022
Approved ?	This indicates whether the individual registration with the associated firm is approved.	Yes No
Registration Status Code	The registration status code of the individual with the associated firm.	ADMTERM APPRNT APPROVED APPROVED_RES BAR CE2_YEAR_TRMD CE_INACTIVE DEFICIENT DENIED FTR INACTIVE_PRINTS IN_PF MASS_TRNSF PENDING PURGED REJECTED REQUAL REQUEST_TERM

Data Field	Data Description	Sample Value(s)
		REVOKED SUSPENSION TEMPREG TERMED T_NOREG T_NOREG_FTR T_NOREG_MT T_NOREG_MT T_NOUS ABANDONED TEMP_WD T_NOMT T_NOMT T_NOMTNOREG APRSLTS TRANS_RQST TRANS_TERM TRANS_ERROR
Registration Status Name	The registration status name of the individual with the associated firm.	Administrative termination Approved pending prints Approved Restricted approval Bar Termed CE two year inactive Inactive - continuing education Deficient Denied Terminated Failure to renew Inactive - prints in process filing Termed mass transfer Pending Purged

Data Field	Data Description	Sample Value(s)
		RejectedRequalificationTermination requestedRevokedSuspendedTemporary registrationTermedTermed without registrationTerminated no registrationrenewalsTerminated no registration masstransferTerminated without u5AbandonedTermed-did not mass transferTerminated no regdid not masstransferTermorary withdrawalTermed-did not mass transferTerminated no regdid not masstransferApproved pending resultsTransition terminatedNot transitioned - filed in error
Regulator Code	The regulator code assigned to the individual's registration.	NqLX NYMEX NE CFE CFA CT USDOL PR NYSE-NAT

Data Field	Data Description	Sample Value(s)
		отс
		UNKNOWN
		ND
		WA
		MS
		ISE MRX
		NK
		TSE
		CBOE
		ONECH
		SD
		VT
		КСВТ
		СО
		CIC
		МО
		CFTC
		USATTY
		ACC
		MT
		CBOE BYX
		FBI
		PCAOB
		СВОТ
		NV
		BC
		FTC
		NYSE-CHI
		NJ
		LA
		NYSE
		VSE

Data Field	Data Description	Sample Value(s)
		РА
		MIAX PEARL
		ON
		ISE
		SC
		NT
		ОН
		DE
		LSX
		CMPLNT
		BOX
		OCC
		CME
		OR
		SRR
		MM
		NCUA
		DOJCR
		KS YT
		FINCEN
		NASAA
		ISE GEMX
		NH NADF
		VI
		CBOE EDGX
		QU
		MB
		NQX
		MIAX OPTIONS
		TN

Data Field	Data Description	Sample Value(s)
		ChFC ICE GRN MSRB CBOE C2 MX VA FRB IL DTCC MA BX COMEX IA MIAX EMERALD NM SIC KY TOSE CBOE BZX OK ID NFX ME AK
Regulator Name	The regulator name assigned to the individual's registration.	Nasdaq LIFFE, LLC New York Mercantile Exchange Nebraska Cboe Futures Exchange LLC Chartered Financial Analyst

Data Field	Data Description	Sample Value(s)
		Institute
		Connecticut
		U.S. Department of Labor
		Puerto Rico
		NYSE National, Inc.
		OTC Bulletin Board
		UNKNOWN
		North Dakota
		Washington
		Mississippi
		Nasdaq MRX, LLC
		New Brunswick Securities
		Toronto Stock Exchange
		Cboe Exchange, Inc.
		OneChicago, LLC
		South Dakota
		Vermont
		Kansas City Board of Trade
		Colorado
		The National Alliance for Insurance
		Education and Research
		Missouri
		Commodity Futures Trading
		Commission
		US Attorney's Office, NY
		AMEX Commodities Corp
		Montana
		Cboe BYX Exchange, Inc.
		FBI
		Public Company Accounting
		Oversight Board
		Chicago Board of Trade

Data Field	Data Description	Sample Value(s)
		Nevada
		British Columbia Securities
		Commission
		US Federal Trade Commission
		NYSE Chicago, Inc.
		New Jersey
		Louisiana
		New York Stock Exchange
		Canadian Venture Exchange
		Pennsylvania
		MIAX PEARL, LLC
		Ontario Securities Commission
		Nasdaq ISE, LLC
		South Carolina
		Northwest Territories
		Ohio
		Delaware
		London Stock Exchange
		Complinet Ltd
		BOX Exchange LLC
		Options Clearing Corporation
		Chicago Mercantile Exchange
		Oregon
		State Regulatory Registry
		Mexico Securities Division
		National Credit Union
		Administration
		U.S. Department of Justice,
		Criminal Division
		Kansas
		Yukon Territory
		Department of Treasury

Data Field	Data Description	Sample Value(s)
		NASAA Headquarters
		Nasdaq GEMX, LLC
		New Hampshire
		FINRA ALTERNATIVE DISPLAY
		FACILITY
		Virgin Islands
		Cboe EDGX Exchange, Inc.
		Quebec Commission des Valeurs
		Manitoba Securities Commission
		Nasdaq Stock Market
		Miami International Securities
		Exchange, LLC
		Tennessee
		The American College of Financial
		Services
		ICE Futures US Inc
		Gryphon Networks
		Municipal Securities Rulemaking
		Board
		Cboe C2 Exchange, Inc.
		MONTREAL EXCHANGE
		Virginia
		FEDERAL RESERVE BOARD
		Illinois
		Depository Trust Clearing
		Corporation
		Massachusetts
		Nasdaq BX, Inc.
		Commodity Exchange Inc
		Iowa
		MIAX Emerald, LLC
		New Mexico

Data Field	Data Description	Sample Value(s)
		Securities Information Center Kentucky TOKYO STOCK EXCHANGE Cboe BZX Exchange, Inc. Oklahoma Idaho NASDAQ Futures Exchange Maine Alaska Alabama