



CE Transformation: January 2023 System Enhancements

December 8, 2022

- | Review Regulatory Element Changes
- | System Demo
- | Resources
- | Questions

Review 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 System(s)

- Will be enhanced for firms and individuals to assist with compliance with the Regulatory Element requirements:
 - FinPro
 - FINRA Gateway

System Demo



Regulatory Notice 21-41

www.finra.org/rules-guidance/notices/21-41

CE Transformation Frequently Asked Questions

<https://www.finra.org/registration-exams-ce/continuing-education/ce-transformation-faq>

CE Transformation Webpage

www.finra.org/cet

CE Council Website

www.cecouncil.org

Questions?

For questions or feedback regarding CE
Transformation, please email:
finrace@finra.org