

# Financial Professional Gateway

## **COMPLETING REGULATORY ELEMENT CONTINUING EDUCATION LEARNING PLANS IN FINPRO**

Registered individuals access Regulatory Element Continuing Education via the Financial Professional Gateway (FinPro). Learn how to access and complete Regulatory Element courses in this guide.

TABLE OF CONTENTS

Regulatory Element Completion in FinPro ..... 3

Assigned Regulatory Element Coursework ..... 3

Accessing Regulatory Element Coursework..... 4

Course Completion ..... 5

Course Evaluation..... 5

Printing Your Transcript ..... 7

# Regulatory Element Completion in FinPro

FINRA Rule 1240 requires registered persons to complete the Regulatory Element annually by Dec. 31 for each registration that they hold. Regulatory Element provides training on significant rule changes and other regulatory developments relevant to each registration category. Registered individuals access Regulatory Element CE via FinPro.

## Assigned Regulatory Element Coursework

If you have a “Required” or “CE Inactive” status, you will see an assignment in the **My Tasks** list that displays on the dashboard account landing page. This list will show the coursework and link that will launch the course for you to complete.

The screenshot shows the FINRA Financial Professional Gateway user interface. At the top, the user is logged in as a 'Financial Professional Gateway User'. The main navigation bar includes a home icon and the text 'My Dashboard'. On the left, there is a sidebar with icons for a person, a calendar, and a briefcase. The main content area is titled 'My Tasks'. It contains a section for confirming email addresses, a 'Personal Email' field, and 'EDIT' and 'CONFIRM' buttons. Below this, a red box highlights the 'Annual Regulatory Element CE' assignment, which is marked as 'Required' and 'Due on 12/31/2025'. This section includes a 'View Program Details' link, a list of assignments (Amended Rule Overview, Reg BI, Customer Screening Overview), and a 'Link' column with 'Launch CE' links for each. A 'Show 1 more Assignment(s)' link is at the bottom of the highlighted section.

Assignments (4)	Link
Amended Rule Overview: Rule 3240 (Prohibition on Borrowing From or Lending to Customers)	<a href="#">Launch CE</a>
Reg BI: Understanding the Investment or Investment Strategy	<a href="#">Launch CE</a>
Customer Screening Overview	<a href="#">Launch CE</a>

## Accessing Regulatory Element Coursework

Click **Launch CE**, to open the Regulatory Element course content in a separate browser window.

The screenshot shows the FINRA Learning Catalog interface. At the top, there's a header with the FINRA logo and a search bar. Below the header, the course 'New Rule Overview: Rule 3241' is displayed. It includes a thumbnail image of a person working on a laptop, the course ID 'RE2023-001', and a status 'In Progress' with a progress bar. A 'CONTINUE' button is visible. Below this, there are tabs for 'Progress and Activities' and 'History'. The 'Progress and Activities' tab is active, showing details for the course: 'English | Web-Based | Class ID: RE2023-001', 'Total duration: 00:00 Hrs', and a 'Placeholder' section. Under 'Activities', the course 'New Rule Overview: Rule 3241' is listed with a 'Not evaluated' status and a 'LAUNCH' button. At the bottom, there's a 'Progress History' section showing a record for '13-DEC-2022' with an 'In Progress' status and a 'PRINT' button.

Click **Launch** to open the course, then **start** to begin.

The screenshot shows the 'New Rule Overview: Rule 3241' course page. The title 'New Rule Overview: Rule 3241' is at the top. Below it, the course content is displayed: 'New Rule Overview: FINRA Rule 3241 (Registered Person Being Named a Customer's Beneficiary or Holding a Position of Trust for a Customer) 2023 Regulatory Element'. A 'START' button is visible. On the right side, there's a large image of three people (two women and one man) smiling and looking at a laptop. The FINRA logo is overlaid on the bottom right of the image. At the bottom of the page, there's a copyright notice: '©2023 Financial Industry Regulatory Authority, Inc. All rights reserved.'

## Course Completion

Once you have successfully completed the course, select the **Exit** button to exit the course.

Reg BI: Understanding the Investment or Investment Strategy  
Section 4: Conclusion

Menu | Resources | **Exit**

**Congratulations! You've completed Reg BI: Understanding the Investment or Investment Strategy, a 2025 Regulatory Element course.**

In this course, you:

- applied the SEC's guidance on understanding an investment or investment strategy and
- explored effective practices for ensuring registered persons understand the investment or investment strategy.

**Return to the open FinPro tab in your internet browser and refresh your internet browser using the refresh button . Then launch your next course.**

©2025 Financial Industry Regulatory Authority, Inc. All rights reserved. Slide 1 of 1

## Course Evaluation

After you exit the course, a window will open with an invitation for you to evaluate the course. If you want to do so, select **Evaluate**.

Reg BI: Understanding the Investment or Investment Strategy

Course | ID: RE2025-002

Successful Completed on: 30-MAY-2025

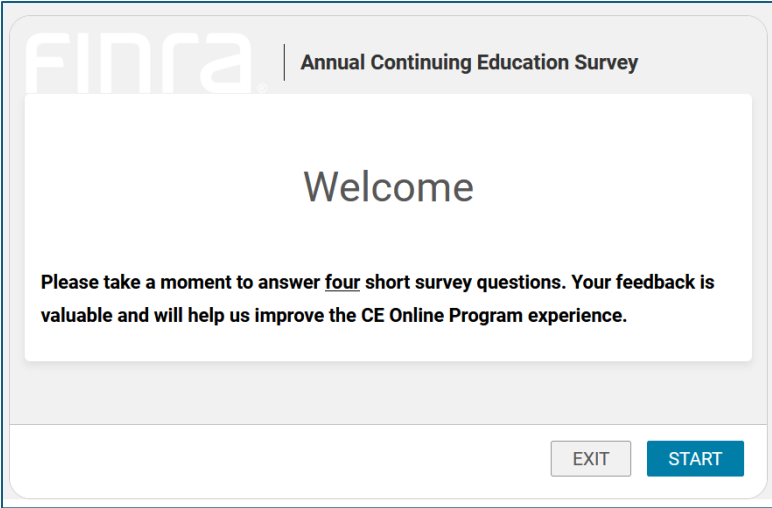
LAUNCH

**Congratulations!**

You have completed the course. Do you want to evaluate the course now?

CLOSE EVALUATE

The evaluation is conducted through the Annual Continuing Education Survey. Select **start** to give your feedback on your experience.

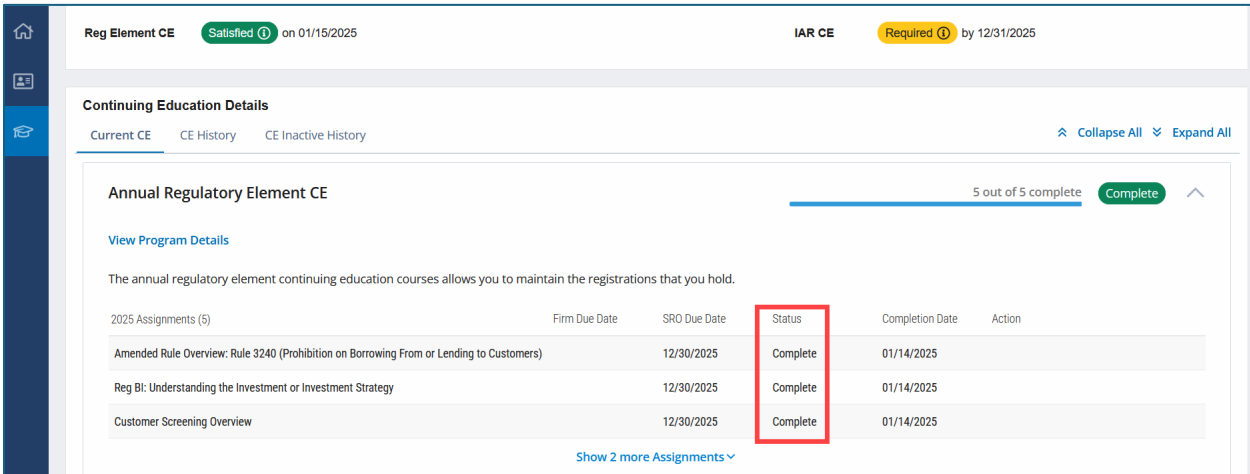


The image shows a 'Welcome' screen for the 'Annual Continuing Education Survey'. It features the FINRA logo in the top left. The main heading is 'Welcome'. Below it, a message states: 'Please take a moment to answer four short survey questions. Your feedback is valuable and will help us improve the CE Online Program experience.' At the bottom right, there are two buttons: 'EXIT' and 'START'.

The main CE platform screen will update as you progress through your CE courses and each course will show a **Successful** status when completed.

You can now close the browser tab with the CE Program and return to the open FinPro browser tab. Refresh the FinPro browser tab to view your updated course assignment status. In FinPro, on the **My Continuing Education** page, under the **Continuing Education Details** the **Current CE** tab will show the specific course assigned status is **Complete**.

**Note:** There may be up to a 5-minute delay in displaying updated course status in FinPro.



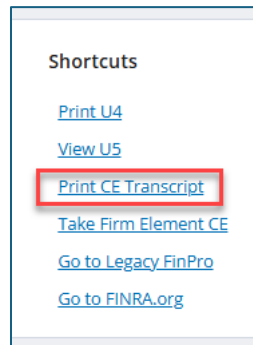
The screenshot displays the 'Continuing Education Details' page in the FinPro system. At the top, there are two status indicators: 'Reg Element CE' with a green 'Satisfied' badge and 'IAR CE' with a yellow 'Required' badge. The main section is titled 'Continuing Education Details' and has tabs for 'Current CE', 'CE History', and 'CE Inactive History'. The 'Current CE' tab is active. Below the tabs, there's a section for 'Annual Regulatory Element CE' showing a progress bar at '5 out of 5 complete' and a green 'Complete' button. A 'View Program Details' link is also present. A descriptive text states: 'The annual regulatory element continuing education courses allows you to maintain the registrations that you hold.' Below this is a table with columns: '2025 Assignments (5)', 'Firm Due Date', 'SRO Due Date', 'Status', 'Completion Date', and 'Action'. The 'Status' column is highlighted with a red box. The table lists three assignments, all with a status of 'Complete'.

2025 Assignments (5)	Firm Due Date	SRO Due Date	Status	Completion Date	Action
Amended Rule Overview: Rule 3240 (Prohibition on Borrowing From or Lending to Customers)	12/30/2025	12/30/2025	Complete	01/14/2025	
Reg BI: Understanding the Investment or Investment Strategy	12/30/2025	12/30/2025	Complete	01/14/2025	
Customer Screening Overview	12/30/2025	12/30/2025	Complete	01/14/2025	

[Show 2 more Assignments](#)

## Printing Your Transcript

Select **Print CE Transcript** from your dashboard shortcuts links or at the top right of the Continuing Education page.



Select the sections you want to print, then select **print** for a preview or cancel to return to the Continuing Education page.

### Print Sections

Select sections to be printed:

☒ Select All [Clear All](#)

☒ Annual Regulatory Element CE

☐ MQP CE

☐ IAR CE

[CANCEL](#) [PRINT](#)

FINRA

Annual Regulatory Element CE			Incomplete
2025 Assignments (4)	SRO Due Date	Status	Completion Date
Amended Rule Overview: Rule 3240 (Prohibition on Borrowing From or Lending to Customers)	12/31/2025	Assigned	-
Reg BI: Understanding the Investment or Investment Strategy	12/31/2025	Assigned	-
Customer Screening Overview	12/31/2025	Assigned	-
Communicating Compliantly	12/31/2025	Assigned	-
2024 Assignments (4)	SRO Due Date	Status	Completion Date
Mitigating Cybersecurity Risks	12/31/2024	Complete	07/06/2024
Combating Financial Exploitation: Protecting Seniors and Those With Diminished Capacity	12/31/2024	Complete	07/06/2024
Managing Online Presence: Communications with the Public and Social Media	12/31/2024	Complete	07/06/2024
Applying Regulation BI	12/31/2024	Complete	07/06/2024
2023 Assignments (5)	SRO Due Date	Status	Completion Date
New Rule Overview: Rule 3241	12/31/2023	Complete	08/19/2023
Navigating Regulation BI	12/31/2023	Complete	08/19/2023
2023 Regulatory Element Introduction and Required Acknowledgements	12/31/2023	Complete	08/19/2023
Amended Rules 1210 and 1240: CE Transformation	12/31/2023	Complete	08/19/2023
Information Protection	12/31/2023	Complete	08/19/2023

Your name and CRD number will appear at the top of the page. Once you are satisfied, proceed to print, or cancel to return to your Continuing Education page in FinPro.