

## IN THE NEWS NOVEMBER 2023



### Pursuant to Rule 1240 each RR is required to complete Regulatory Element by December 31, 2023

If you haven't done so already please log into your FinPro account to check CE status and complete FINRA assigned courses.

[Read More](#)



### Investment Advisor Representative Continuing Education Update (IAR CE)

Hawaii and the U.S. virgin Islands are the latest states to implement an IAR CE requirement. See if your state has enacted this provision.

[Read More](#)



### SEC Announces Enforcement Results for fiscal year 2023

The SEC announced its Enforcement Results for fiscal 2023, which revealed that they filed 784 total enforcement actions, up 3% from the 760 filed in fiscal 2022.

[Read More](#)



### House Passes Amendments that would prevent the DOL to use any allocated funds for its fiduciary proposal

The House passed the Amendment which would block the Labor Department's new Fiduciary Rule.

[Read More](#)



### 2024 CRD Renewals due December 11, 2023

To avoid late fees don't forget to subsidize your renewal account by December 11, 2024

[Read More](#)