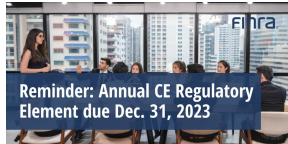


IN THE NEWS DECEMBER 2023



Pursuant to [Rule 1240](#) each RR is required to complete their 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](#)



[SEC Approves proposed FINRA remote inspection extension through June 2024](#)

Remote Inspections will continue through June of 2024 to extend work-from-home supervisory locations.

[Read More](#)



[FINRA Releases Reg BI Notice](#)

FINRA released a notice highlighting a series of resources published by the SEC that offer firm guidance in navigating Reg BI.

[Read More](#)



[Firms must submit FINRA Vendor Questionnaire by December 29, 2023](#)

FINRA is requesting that broker-dealers submit information on their Mission Critical Vendors through the FINRA Vendor Questionnaire.

[Read More](#)



[CRD Unavailable December 27, 2023 and January 1, 2024](#)

Reminder that CRD will not be accessible on Wednesday, December 27, 2023 and Monday, January 1, 2024.

[Read More](#)