

IN THE NEWS JANUARY 2024



FINRA releases 2024 Regulatory Oversight Report

FINRA recently published its 90-page report which aims to provide financial firms with key insights and observations from recent activities of FINRA's regulatory operations.

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2024 Regulatory Element Topics Published

FINRA and the CE council have published the 2024 [learning topics](#) for each registration category.

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IAR 2024 Continuing Education

IAR's in adopted States are now subject to new CE requirements. IAR's need to obtain 12 CE credits each year to maintain their IAR registration.

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FINRA Rule 4517 requires firms to complete an Annual Review of their FINRA Contact System (FCS)

Please log in to FINRA Gateway and perform your annual review no later than [January 25, 2024](#).

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FINRA Annual Renewal Program deadline is [January 26, 2024](#)

Firms must submit any amount owed on the Final Statement to FINRA by January 26, 2024. Failure to renew may result in jurisdictions automatically terminating registrations.

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