

IN THE NEWS OCTOBER 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.

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Investment Advisor Representative Continuing Education Update (IAR CE)

IAR CE is an annual continuing education requirement for IAR's which was adopted in 2020. See if your state has implemented this provision yet.

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SEC Division of Examinations Announces 2024 Priorities

The SEC released its 2024 exam priorities to inform investors and registrants of the key risks, examination topics and priorities that the Division plans to focus on in the upcoming year.

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Proposed FINRA Rule 3110 change to allow remote inspections to continue into 2024

FINRA is filing with the SEC a proposed Rule change to extend work-from-home Supervisory locations into 2024.

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2024 CRD Renewals begin on November 6, 2024

Firms are required to renew their registrations with FINRA, other SRO's and State Jurisdictions during the Annual Renewal Program.

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