



FINRA Gateway Reports Annual Continuing Education (Annual CE) Data Definition

Version 0.3

09-08-23

DATE	AUTHOR	VERSION	DESCRIPTION
11-22-22	Miko Somborac	0.1	Initial Version
03-14-23	Miko Somborac	0.2	Updates to Course Status Definitions
09-08-23	Miko Somborac	0.3	Updates to CE Status Definitions

About the Data Dictionary

- Referring to the table below, the rows of data shown on a white background are available to add to the main table within FINRA Gateway Reports. The rows of data shown with a blue background are hierarchical and will appear in a sub-table. The rows of data that are blue and white indicate the data point you will click on to expand the sub-table.
- When you want to export data to a CSV file, you can include the main table (white rows) plus one sub-table (blue rows). The export will flatten the hierarchy and present all data points in a single row.
- Sample values are listed for each field. If you want to know all the values available for a given field, you can use the Group tool in FINRA Gateway Reports and group by the given field. The grouped view will show you all values for that field available within your data at that point in time.
- If there is no data for a given field, it may show as "Missing" or "Other."

Annual CE Reports

Data Field	Data Description	Sample Value(s)
Organization CRD#	Unique Central Registration Depository (CRD) number for the organization	612345
Individual CRD#	Individual's CRD ID number	1234
First Name	Individual's primary first name.	John
Middle Name	Individual's primary middle name.	Steward
Last Name	Individual's primary last name.	Smith
Suffix	Individual's primary suffix	Jr.
CE Status Date	Date on which the current CE status was updated.	2019-02-02
CE Status Code	<p>Status of Annual CE for individual. Same information as included in Annual CE Status Description expressed in fewer characters.</p> <p>REQUIRED - The individual has a CE window open and must complete the CE session within the required 120-day window to remain active.</p> <p>SATISFIED - The individual has satisfied his/her most recent CE requirement or has entered the CE program within the past 2 years and does not currently have any CE obligations.</p> <p>CEINACTIVE - The individual did not complete a CE session within the required CE Year and all of his/her registrations are now inactive. While CE Inactive, the individual cannot engage in, nor be compensated for, activities that require a securities registration.</p> <p>NOCESTATUS - The individual is not entered in the Regulatory Element CE cycle, meaning he/she does not have any active registrations that cause CE to be required.</p> <p>CE2YEARTERMED - The individual has had a CE Inactive status for two years, causing all of his/her registrations to be administratively terminated. If the</p>	<p>REQUIRED SATISFIED CEINACTIVE NOCESTATUS CE2YEARTERMED 2YEARTERMED</p>

Data Field	Data Description	Sample Value(s)
	<p>individual wishes to resume conducting business in the industry, he/she must re-qualify for registration through a qualification exam or waiver.</p> <p>2YEARTERMED - The individual has been out of the industry for more than two years. When the system determines that an individual is out of the industry for that period, the system will update the individual's CE status to 2YEARTERMED.</p>	
CE 2 Year Termed Date	The date the individual has or will CE 2-Year term.	YYYY-MM-DD
CE Inactive Start Date	The date on which the individual became CE Inactive	YYYY-MM-DD
CE Status Description	<p>Annual CE status of individual</p> <p>Required - The individual has a CE window open and must complete the CE session within the required 120-day window to remain active.</p> <p>Satisfied - The individual has satisfied his/her most recent CE requirement or has entered the CE program within the past 2 years and does not currently have any CE obligations.</p> <p>CE Inactive - The individual did not complete a CE session within the required CE Year and all of his/her registrations are now inactive. While CE Inactive, the individual cannot engage in, nor be compensated for, activities that require a securities registration.</p> <p>No CE Status - The individual is not entered in the Regulatory Element CE cycle, meaning he/she does not have any active registrations that cause CE to be required.</p> <p>CE 2 Year Termed - The individual has had a CE Inactive status for two years, causing all of his/her registrations to be administratively terminated. If the individual wishes to resume conducting business in the industry, he/she must re-qualify for registration through a qualification exam or waiver.</p> <p>CE 2 Year Termed - The individual has had a CE Inactive status for two years, causing all of his/her registrations to be administratively terminated.</p>	<p>Required Satisfied CE Inactive No CE Status CE 2 Year Termed 2 Year Termed from Industry</p>
CE Year	Annual CE requirement year	YYYY

Data Field	Data Description	Sample Value(s)
Course Assigned Date	The date on which the course was assigned to the individual.	YYYY-MM-DD
Course Due Date	The date by which the individual needs to complete the course.	YYYY-MM-DD
Course Id	The identifier for the course assigned to the individual.	C001X
Course Name	The name of the course that has been assigned to the individual.	Securities Regulation Fundamentals
Course Status Code	<p>The code for status of the course that has been assigned to the individual.</p> <p>ASSIGNED - Course has been assigned to an individual and has not yet been started.</p> <p>COMPLETE - Course has been completed.</p> <p>IN_PROGRESS - Course has been started and is in progress. Course Status moves to In Progress when the Individual has launched the course from FinPro.</p> <p>NOT_REQUIRED - This course is no longer required because the associated registration position has been terminated. You may be required to complete this course if you re-register the associated position within 2 years of termination.</p> <p>NO_LONGER_AVAILABLE- This course is no longer available because the associated registration has either been 2-year termed, or you failed to complete required CE for the associated position for 2 consecutive years, thereby causing the associated registration to be administratively terminated.</p>	<p>ASSIGNED Course Status Code</p> <p>COMPLETE</p> <p>IN_PROGRESS</p> <p>NOT_REQUIRED</p> <p>NO_LONGER_AVAILABLE</p>
Course Status Description	<p>The code for status of the course that has been assigned to the individual.</p> <p>Assigned - Course has been assigned to an individual and has not yet been started.</p> <p>Complete - Course has been completed.</p> <p>In-progress - Course has been started and is in progress. Course Status moves to In Progress when the Individual has launched the course from FinPro.</p> <p>No Longer Required - This course is no longer required because the associated registration position has been terminated. You may be required to complete this course if you re-register the associated position within 2 years of termination.</p>	<p>Assigned</p> <p>Complete</p> <p>In-progress</p> <p>No Longer Required</p> <p>No Longer Available</p>

Data Field	Data Description	Sample Value(s)
	No Longer Available - This course is no longer available because the associated registration has either been 2-year termed, or you failed to complete required CE for the associated position for 2 consecutive years, thereby causing the associated registration to be administratively terminated.	
Date Finpro Account Created	The date Finpro Account was created for the individual.	YYYY-MM-DD
Date Last Accessed Finpro	The date Finpro Account was last accessed by the individual.	YYYY-MM-DD
Employment Active ?	Indicates if the individual's employment is active.	Yes No
Employment Start Date	The firm employment start date associated with the individual's employment	YYYY-MM-DD
Individual Billing Code	The billing code associated with the individual.	777
Is Finpro User?	This indicates whether or not the individual is a Finpro user.	Yes No
Military Annual Verification Received?	Indicates whether or not annual verification of military service was received.	YYYY-MM-DD
Military Deferral ?	Is the individual's CE requirement deferred due to military service?	Yes No
Military Duty Begin Date	The date the individual's military service began.	YYYY-MM-DD
New Hire ?	Indicates that the individual was hired in the current year and has not accessed any CE courses yet.	Yes No
Registrations	The total number of registrations the individual is associated with and registration related details in the nested fields to drilldown on.	
Organization CRD#	The firm identifier number associated with the individual's registration.	305022

Data Field	Data Description	Sample Value(s)
Approved ?	This indicates whether the individual registration with the associated firm is approved.	Yes No
Registration Status Code	The registration status code of the individual with the associated firm.	ADMTERM APPRNT APPROVED APPROVED_RES BAR CE2_YEAR_TRMD CE_INACTIVE DEFICIENT DENIED FTR INACTIVE_PRINTS IN_PF MASS_TRNSF PENDING PURGED REJECTED REQUAL REQUEST_TERM REVOKED SUSPENSION TEMPREG TERMED T_NOREG T_NOREG_FTR T_NOREG_MT T_NOU5 ABANDONED TEMP_WD T_NOMT

Data Field	Data Description	Sample Value(s)
		T_NOMTNOREG APRSLTS TRANS_RQST TRANS_TERM TRANS_ERROR
Registration Status Name	The registration status name of the individual with the associated firm.	Administrative termination Approved pending prints Approved Restricted approval Bar Termed ce two year inactive Inactive - continuing education Deficient Denied Terminated Failure to renew Inactive - prints in process filing Termed mass transfer Pending Purged Rejected Requalification Termination requested Revoked Suspended Temporary registration Termed Termed without registration Terminated no registration renewals Terminated no registration mass

Data Field	Data Description	Sample Value(s)
		transfer Terminated without u5 Abandoned Temporary withdrawal Termed-did not mass transfer Terminated no reg.-did not mass transfer Approved pending results Transition requested Transition terminated Not transitioned - filed in error
Regulator Code	The regulator code assigned to the individual's registration.	NqLX NYMEX NE CFE CFA CT USDOL PR NYSE-NAT OTC UNKNOWN ND WA MS ISE MRX NK TSE CBOE ONECH SD

Data Field	Data Description	Sample Value(s)
		VT KCBT CO CIC MO CFTC USATTY ACC MT CBOE BYX FBI PCAOB CBOT NV BC FTC NYSE-CHI NJ LA NYSE VSE PA MIAX PEARL ON ISE SC NT OH DE LSX CMLNT BOX

Data Field	Data Description	Sample Value(s)
		OCC CME OR SRR MM NCUA DOJCR KS YT FINCEN NASAA ISE GEMX NH NADF VI CBOE EDGX QU MB NOX MIAX OPTIONS TN ChFC ICE GRN MSRB CBOE C2 MX VA FRB IL DTCC MA

Data Field	Data Description	Sample Value(s)
		BX COMEX IA MIAX EMERALD NM SIC KY TOSE CBOE BZX OK ID NFX ME AK AL
Regulator Name	The regulator name assigned to the individual's registration.	Nasdaq LIFFE, LLC New York Mercantile Exchange Nebraska Cboe Futures Exchange LLC Chartered Financial Analyst Institute Connecticut U.S. Department of Labor Puerto Rico NYSE National, Inc. OTC Bulletin Board UNKNOWN North Dakota Washington Mississippi Nasdaq MRX, LLC

Data Field	Data Description	Sample Value(s)
		New Brunswick Securities Toronto Stock Exchange Cboe Exchange, Inc. OneChicago, LLC South Dakota Vermont Kansas City Board of Trade Colorado The National Alliance for Insurance Education and Research Missouri Commodity Futures Trading Commission US Attorney's Office, NY AMEX Commodities Corp Montana Cboe BYX Exchange, Inc. FBI Public Company Accounting Oversight Board Chicago Board of Trade Nevada British Columbia Securities Commission US Federal Trade Commission NYSE Chicago, Inc. New Jersey Louisiana New York Stock Exchange Canadian Venture Exchange Pennsylvania MIAX PEARL, LLC

Data Field	Data Description	Sample Value(s)
		Ontario Securities Commission Nasdaq ISE, LLC South Carolina Northwest Territories Ohio Delaware London Stock Exchange Complanet Ltd BOX Exchange LLC Options Clearing Corporation Chicago Mercantile Exchange Oregon State Regulatory Registry Mexico Securities Division National Credit Union Administration U.S. Department of Justice, Criminal Division Kansas Yukon Territory Department of Treasury NASAA Headquarters Nasdaq GEMX, LLC New Hampshire FINRA ALTERNATIVE DISPLAY FACILITY Virgin Islands Cboe EDGX Exchange, Inc. Quebec Commission des Valeurs Manitoba Securities Commission Nasdaq Stock Market Miami International Securities

Data Field	Data Description	Sample Value(s)
		Exchange, LLC Tennessee The American College of Financial Services ICE Futures US Inc Gryphon Networks Municipal Securities Rulemaking Board Cboe C2 Exchange, Inc. MONTREAL EXCHANGE Virginia FEDERAL RESERVE BOARD Illinois Depository Trust Clearing Corporation Massachusetts Nasdaq BX, Inc. Commodity Exchange Inc Iowa MIAX Emerald, LLC New Mexico Securities Information Center Kentucky TOKYO STOCK EXCHANGE Cboe BZX Exchange, Inc. Oklahoma Idaho NASDAQ Futures Exchange Maine Alaska Alabama