

## **Investment Adviser Representative (IAR) Continuing Education (CE): Quick Reference to Financial Professional Gateway (FinPro)**

### **What is FinPro?**

FinPro is a secure system maintained by the Financial Industry Regulatory Authority (FINRA), which is the North American Securities Administrators Association's (NASAA) vendor for program tracking.

Investment adviser representatives (IAR) will need to create a FinPro account to track their CE compliance.

FinPro provides individuals (current or former representatives) with direct access to resources and tools to manage their registration information and a platform to monitor their continuing education requirements.

### **What is the benefit of setting up a FinPro account?**

FinPro is an important tool for IARs because it provides them with a mechanism to view courses that have been taken and the progress towards completion of their annual CE requirement.

Since IARs are responsible for ensuring their CE vendor reports completion of CE, they may find FinPro useful for tracking and monitoring CE.

### **How do I set-up an account in FinPro?**

An instructional guide to set-up a FinPro account can be accessed on FINRA's [website](#).

### **Is there a cost when I set up an account in FinPro?**

No, there is no cost to set up a FinPro account.

### **IAR CE Requirements**

**Effective Jan. 1, 2024**, every IAR registered in Tennessee will need to comply with Tennessee Securities Division Rule **0780-04-03-.17** and attain 12 CE credits per year to maintain their IAR registration.

The 12 credits must include six credits of "Products and Practices," and six credits of "Ethics and Professional Responsibility." The mandatory CE credits applies to all registered IARs of both state-registered and federal covered investment advisers. See [NASAA's IAR CE FAQs](#) for additional details.

IARs will self-manage selecting and completing courses, which will enable them to tailor their CE to their own interests and business models. Courses are offered by NASAA-approved course providers, which can be found on NASAA's [website](#).

### **Additional questions?**

See [FinPro's list of FAQs](#).