

FINra®

# Registration Support and Operations

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Operations, Disclosure, Training and Communications

ARM Conference

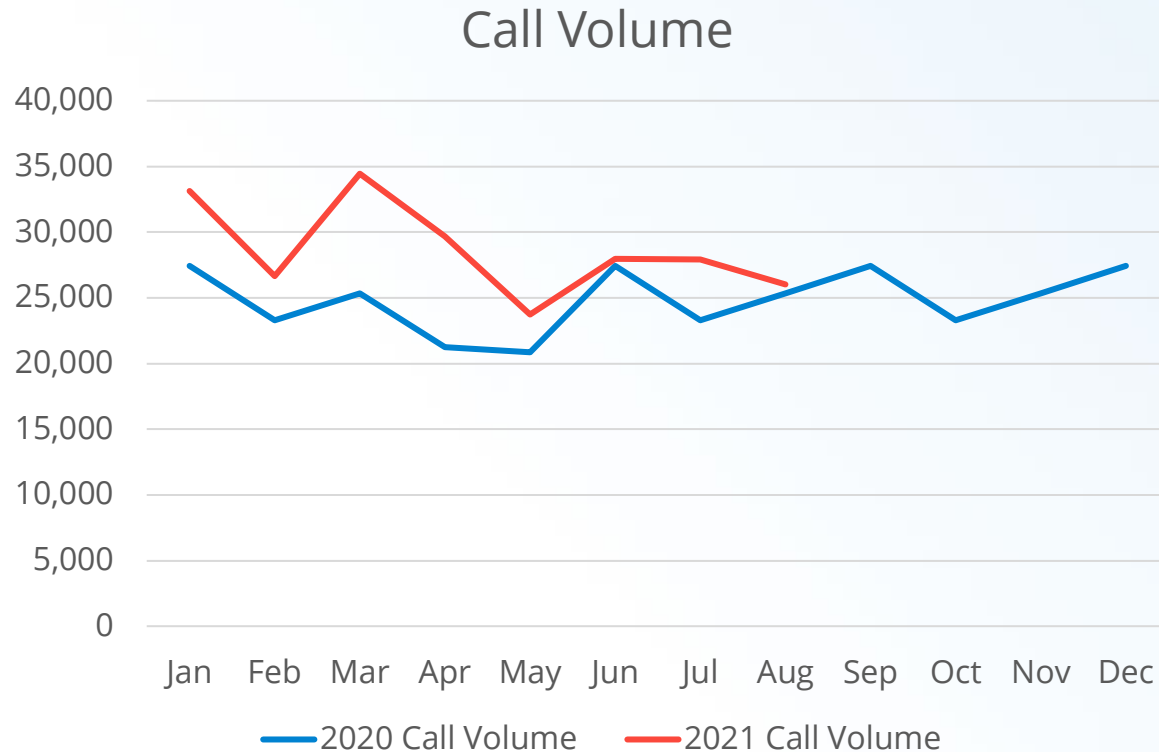
10/12/2021

# CRED Operational Changes

# CRED Organizational Changes

- The Operations Support Team has been consolidated to include the Gateway Call Center, Candidate Services, Regulatory User Support, and Research.
- This consolidation enables us to leverage the support teams to assist with incoming calls covering the following topics:
  - Financial Professional Gateway (FinPro)
  - E-Bill, Accounting and Renewals
  - Individual and Firm Disclosures

# FINRA Call Center Call Volume



FINRA's RSO department receives calls from firms, registered/unregistered reps, testing candidates, investors and the general public.

- In 2020, FINRA received 297,958 calls.
- As of August 2021, FINRA received 229,528 calls.
- Call volume has increased by about 15% so far this year.

# Customer Call Wait Time

2020 Average Call Wait Time

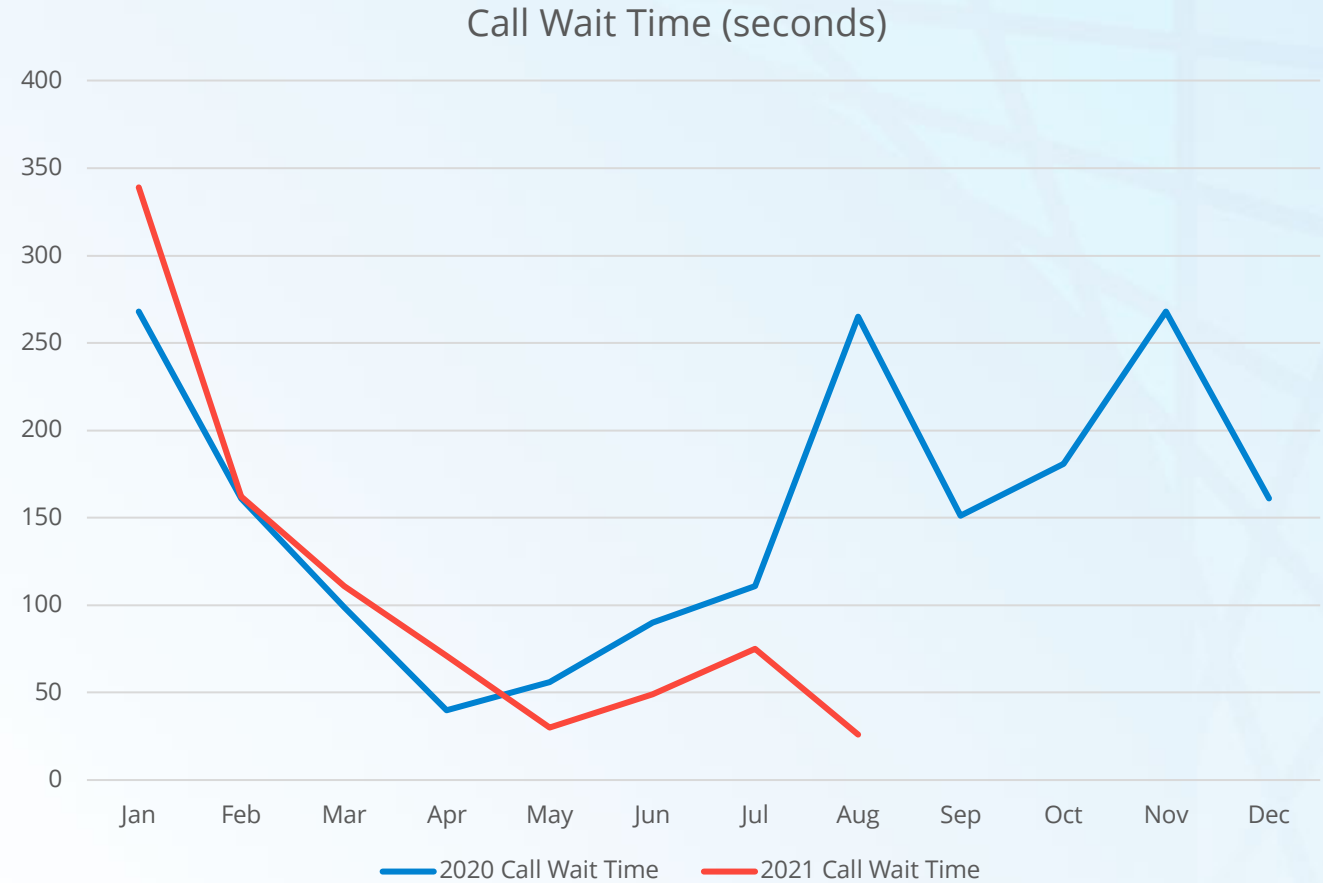
2.7

MINUTES

1.8

MINUTES

2021 Average Call Wait Time



# Customer Call Wait Time

Last August, there was an average call wait time of 4 minutes and 25 seconds.

This August, the average call wait time was 26 seconds.



# New System Announcements

## FINRA SYSTEMS STATUS PAGE

- FINRA's System Status page was implemented March 2021.
- FINRA maintains status information for all systems in a single place.
- Visit the page to view planned maintenance times and system outage information:

[finra.org/systemstatus](https://finra.org/systemstatus)

FINRA

Rules & Guidance Registration, Exams & CE Events & Training Filing & Reporting Compliance Tools

Filing & Reporting

FINRA Gateway

Systems Status

Entitlement Program

Market Transparency Reporting Tools

Regulatory Filing Systems

Data Transfer Tools

E-Bill

> FILING & REPORTING

## Systems Status

**Incident Free**

All status information is reported on this page in Eastern Time (ET). To report a system outage or disruption, please [write to FINRA's technical support team](#), or call (301) 590-6500.

### Scheduled Maintenance

**System:** DRPortal.finra.org  
**Status:** Unavailable  
**Maintenance Period:** Saturday, September 18, 9-11 a.m. Eastern Time (ET)  
**Description:** FINRA DR Portal will be unavailable for system maintenance

# New Call Center Features

## CALL CENTER MESSAGING

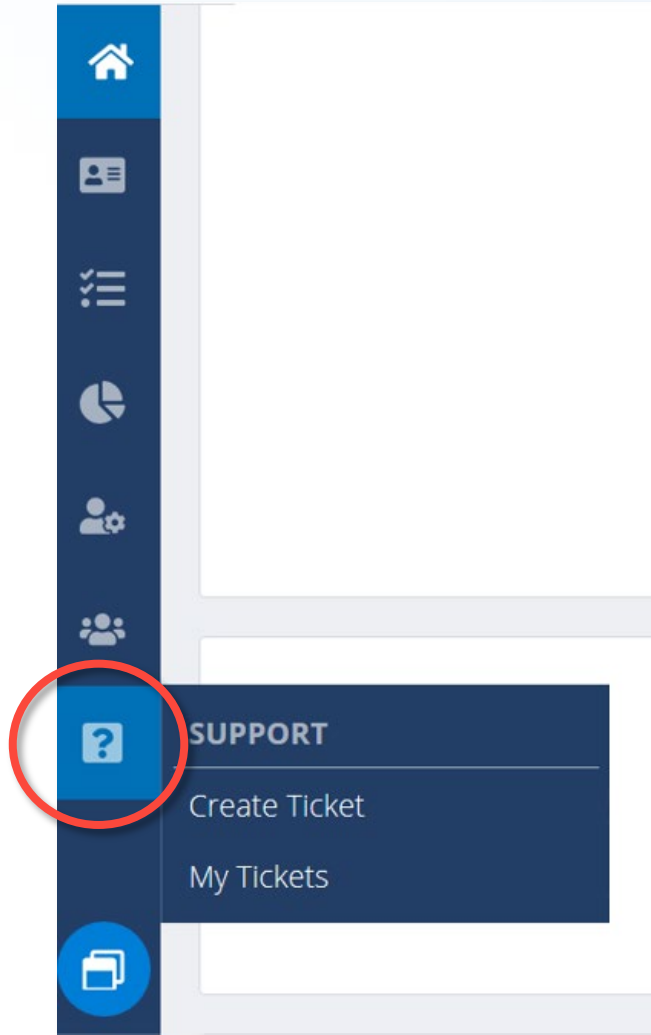
- In addition to adding issue updates to the FINRA System Status page, we can add instant system messaging to our phone lines.
- If a customer calls in for a question related to an issue, they can instantly receive the latest update instead of waiting on hold.

## CALL BACK OPTION

- Implemented in March 2021 to advise callers of estimated wait time and an option to request a call back instead of staying on the line.
- Callers do not lose place in line.
- Since March, we've completed 5,092 callbacks.



# Self-Service Tickets



- RSO completed 2,684 Self-Service tickets so far this year.
- In 2020 RSO completed 1,395 Self-Service tickets.
- Self-Service tickets are found within the Support section of the FINRA Gateway.
- You can quickly submit your support issues online through the system rather than on the phone.

# New Tools under Evaluation for Support

- We are always looking for ways to continue enhancing the support offerings that firms can use by implementing new features:
  - Advanced callback, including scheduled time for call back
  - Co-Browsing and Screen Sharing
  - Chat
  - Call routing by Case
  - Artificial intelligence and a robust knowledge base
  - Request refund directly through E-Bill

# New FINRA Fingerprint Process

# New FINRA Fingerprint Process

- FINRA selected Sterling Identity as its new fingerprint provider
- Replaces a program that has been in existence since 2003
  - More technologically advanced
  - Increased quality process to reduce illegible fingerprints
- Sterling will process all fingerprints for broker-dealer firms and funding portal organizations whether in hardcopy or electronic format
- There is no change to the existing fingerprint fees at this time
- Prepare by completing Sterling's questionnaire, which identifies your firm's primary fingerprint submission option today and immediately after the transition



# Fingerprint Impact by collection method

- If your firm submits hard copy fingerprint cards:
  - If collected in the United States or its territories, hardcopy fingerprints should be sent to Sterling directly
  - If collected outside the United States or its territories, hardcopy fingerprints must be sent to FINRA who will forward to Sterling on your behalf
  - Only FINRA-specific fingerprint cards will be accepted, and standard FBI cards will be rejected
  - Orders for fingerprint cards must go through Sterling
- If a firm is using another fingerprint provider, your provider must make the necessary changes to support this transition
- If a firm is submitting electronic fingerprints directly to FINRA, you must contact Sterling to ensure your connection is complete

# Additional Fingerprint Impacts

- **Sterling will automatically assign a unique barcode with each submission**
  - Providing a barcode within Form U4 or Form NRF will no longer be required
  - Barcodes will be displayed in Classic CRD and FINRA Gateway for reconciliation
- **As a result of this transition, FINRA will have a period where fingerprints are not accepted:**
  - Begins four business days before go-live date
  - Required to ensure all submissions in current process are completed before the transition date
  - Any fingerprints received during the shutdown period will be rejected and will need to be submitted to Sterling on or after the go-live date

# | Registration Fee Increase

# Registration Fee Increase

As announced in a recent rule filing (SR-FINRA-2020-032), FINRA is increasing some registration-related fees effective 1/1/22

- The Initial Registration and Transfer fee will increase from \$100 to \$125.
- The Branch Processing fee will increase from \$20 to \$75.
- The Branch Renewal Processing fee will increase from \$20 to \$75 effective this year's renewal cycle. This updated fee will reflect on each firm's preliminary and final statement for this year's renewal program.



# | Disclosure Letters

# Disclosure Letters in FINRA Gateway Requests

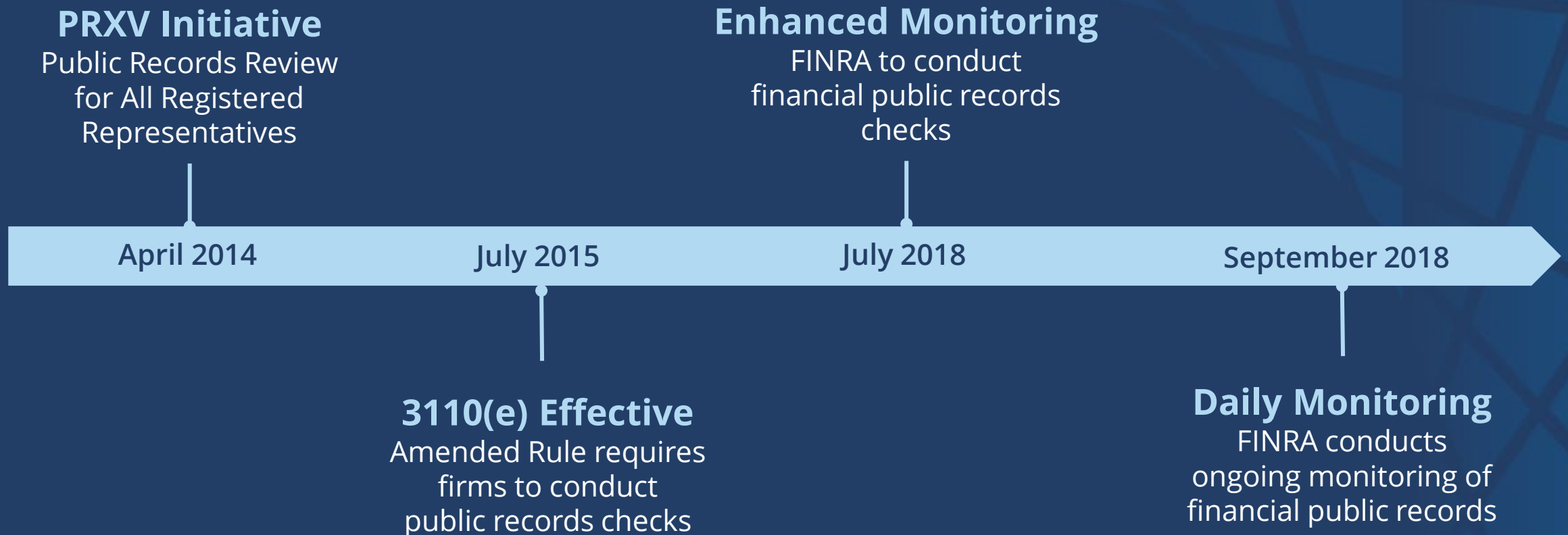
- ✓ Court Documents
- ✓ Correspondence (Signed & On Letterhead)
- Comments:
  - ✓ Comments should direct attention to critical information
  - ✗ "Filing Submitted"
  - ✗ "See Attached"
  - ✗ "Please Review"
  - ✗ "Why hasn't this letter been resolved?!?"

# Disclosure Letters in FINRA Gateway Requests

- **Disclosure Review Analysts cannot see user information for comments.**
  - When communicating with Disclosure Review, identify letters by Individual CRD Number and Date Sent.
    - (Individual CRD Number = Case ID in FINRA Gateway Requests)
- **Marking a Disclosure Letter as “Complete” does not “Resolve” the Letter.**
  - “Withdrawn” or “Accepted” status indicates the Disclosure Letter is resolved.
  - “Submitted” indicates the Letter submission was marked “Complete.”
  - Additional documents may not be uploaded for a letter marked “Complete.”
  - Inactive Disclosure Letters are visible in the “Completed” Requests.
- **Email submissions are still accepted: [DisclosureReviewDocuments@FINRA.org](mailto:DisclosureReviewDocuments@FINRA.org)**

# | Public Records Review

# Public Records Review (PRR) History



# Public Records Review (PRR) Types

## ○ Daily Review

- Review of Financial Public Records Upon Initial Registration
  - Comprehensive review, indefinite look back
  - Completed within days of U4 filing

## ○ “Monitoring” Review

- Ongoing Review of Financial Public Records for All Registered Representatives
  - Excluding RR's w/ European residential addresses
- Catches bankruptcy filings, judgments, and lien recordings – as soon as the next day
  - Helpful in updating “Pending” events & reducing late reporting

## ○ Criminal Review

- Periodic Review of Registered Representatives who:
  - Do not have a fingerprint result in the last five years, and
  - Have not been subject to Criminal Review in the last five years

# PRR Letters – Handling & Response

## 1. Carefully read the disclosure letter

- Some letters contain all the data necessary to complete the appropriate DRP
- Where available, a public records website is included in the disclosure letter

## 2. Make a “good faith effort” to validate the event

- ✓ Effort relative to age of the event and details provided
- ✗ “Lack of recollection” alone is an insufficient response

## 3. Submit disclosure – OR – documents / correspondence (in most cases)

- Correspondence should CLEARLY indicate non-reportability
  - ✓ “Filed in error” should be stated — not implied
  - ✗ Documents / Correspondence should not confirm a reporting obligation (e.g., lien release, judgment satisfaction, bankruptcy discharge)

# | Self-Reporting Is Still Required



# Self-Reporting Is Still Required ... for U6 DRPs

Firms have an ongoing obligation to report new or amended disclosure information, including details reported via Form U6 by a regulator.

# Self-Reporting Is Still Required ... for U6 DRPs

## U6 DRPs require corresponding U4/U5 DRP reporting

- Independent knowledge triggers disclosure requirement
- Allegations may be “alternatively worded” within reason
- Current RRs can only comment through the Form U4 DRP

# Self-Reporting Is Still Required ...

## ... But the "Comment" is optional.

- Keep in mind the instructions for the field: "... to provide a brief summary of the circumstances ... as well as the current status or final disposition."
- Comments that provide "current status" information should be reviewed and updated when appropriate.
- Avoid sharing personal details & third-party info — especially PII & RCI.
- Avoid comments to regulators.

# Self-Reporting Is Still Required ... For 14I / 7E

## Customer Complaints / Arbitrations / Civil Litigations

- Disclosure Review analysts periodically review Dispute Resolution cases & 4530 disclosure filings to ensure complete, accurate and timely reporting.
- When responding to Disclosure Letters about arbitrations, remember:
  1. 14I / 7E questions are allegation-driven (“which alleged that ...”).
  2. Title or position alone does not nullify a reporting requirement.
  3. Named Respondents and unnamed subjects of allegations have reporting obligations.
- “Firms and registered persons should review each claim on a case-by-case basis and make a good faith determination as to whether reporting is required.”

# | Training and Communications

# Current Communications

- **Register for upcoming webinars at [finra.org/webinars](https://finra.org/webinars)**
  - October 21 – Leveraging FinPro for Streamlined Compliance (available to register)
  - November 4 – Investment Adviser Representative CE (registration coming soon)
  - November 9 – Disclosure Reporting (registration coming soon)
- **Latest form filing updates in FINRA Gateway**
  - <https://www.finra.org/registration-exams-ce/classic-crd/registration-filing-finra-gateway>
- **Status of all CRD features moving to FINRA Gateway**
  - <https://www.finra.org/registration-exams-ce/classic-crd/crd-moving-to-finra-gateway>

# Communication Survey

- FINRA is soliciting volunteers to provide feedback in the future regarding the best methods of communicating system changes.
- If interested, please visit [finra.org/crdcommunication](https://finra.org/crdcommunication) and complete the form.



# Future Training Opportunities

- In September 2021, FINRA conducted a successful pilot of a virtual Registration Systems Bootcamp program and will tentatively launch the full program in Q1 2022
  - This will be a multi-day training designed to help new FINRA Gateway users become familiar with navigating the system
- Additional webinars will be scheduled based on new features and industry feedback
- FINRA will continue to monitor current events and will evaluate resuming in-person training at the appropriate time



# Additional Resources

## Webinar Recordings: [finra.org/webinars](https://finra.org/webinars)

- FINRA Gateway
- FinPro
- Regulatory Filings (such as eFOCUS)

## FINRA Gateway Rollout: [finra.org/finra-gateway](https://finra.org/finra-gateway)

- Key Dates
- FAQ
- Release Notes
- User Research

## Email Subscription: [tools.finra.org/email\\_subscriptions](https://tools.finra.org/email_subscriptions)

- Invitations to Future Webinars
- CRD Program Announcements
- Feedback Opportunities



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# Testing and Continuing Education

Online Testing and CE Transformation

ARM Conference

10/12/2021

- | Qualification Exams Update
- | Continuing Education Transformation
- | Resources
- | Q & A

# 1 | Qualification Exams Update

# COVID-19 Pandemic and Qualifications Exams

- March 16, 2020: All testing centers in US closed due to pandemic.
- March 16 – April 30, 2020: No qualification exams were administered in US testing centers.

# COVID-19 Pandemic – Online Testing

- April 21, 2020: FINRA and NASAA began to pilot the delivery of qualification exams online.
- Six exams initially available both online and in test centers
  - SIE, Series 6, Series 7, Series 63, Series 65 and Series 66
- July 13, 2020: FINRA and NASAA announced online test appointment availability for these six exams to all candidates and members.

## COVID-19 Pandemic – Online Testing, Continued

- February 24, 2021: FINRA announced an interim accommodation process to make other FINRA exams available for online testing.
- As of October 5, 2021, FINRA has successfully delivered over 37,500 online FINRA exams.
- FINRA will continue to make online testing available during the COVID-19 pandemic.
- In the longer term, FINRA may re-evaluate the overall availability of online testing.



# 2 | Continuing Education Transformation

## Transforming CE – Main Goals

- Transition the Regulatory Element Program to an annual requirement with content tailored to each registration category
- Enhance Firm Element guidance and resources, including the creation of a centralized content catalog firms may leverage for Firm Element training
- Create a program that will allow individuals to maintain their qualification(s) up to five years after termination of their registration(s)

# Transforming CE – Benefits

- Transitioning to an annual Regulatory Element requirement will provide registered persons with more timely and relevant training on significant regulatory matters
- Improve coordination between Regulatory Element and Firm Element Programs
- Improve Firm Element guidance, resources and access to content
- Extended ability to maintain qualification(s) while away from the industry
- FINRA system(s) enhancements

# Transforming CE – Regulatory Element

- Annual requirement deadline would be December 31
- Content will be registration-targeted and include timely education on regulatory matters (e.g., rule changes, industry hot topics)
- Regulatory Element learning topics will be published in advance of each coming year to assist firms in planning their Firm Element programs
- FINRA system(s) functionality will be enhanced to facilitate compliance with the Regulatory Element requirements (e.g., tracking, notifications, reporting capabilities)

## Transforming CE – Firm Element

- Improve guidance and resources provided to firms for conducting the Firm Element annual needs analysis and training program
- Firm Element training extended to all registered persons
- Recognition of other training requirements for purposes of satisfying Firm Element (e.g., ACM, AML, CFP)
- Create a centralized content catalog that would include content created by SROs and training providers that firms may optionally leverage for their firm training

# Transforming CE – Maintaining Qualifications

- Ability for individuals to maintain their qualification(s) after termination of their registration(s) for up to five years
- Content is specific to the registration category for which an individual wishes to maintain their qualification
- Annual CE Program consists of Regulatory Element content and content selected from the centralized content catalog

# Transforming CE – Using FinPro

- FinPro will become a hub for securities CE
- Regulatory Element, Firm Element (e-learning) and New CE Qualification Maintenance
- Securities professionals will sign up, select, complete and pay in FinPro

## Transforming CE – Using FinPro, Continued

- Assigned learning applicable to the registration category for which an individual wishes to maintain their qualification
- Receive notifications and reminders throughout the program
- Stay up to date on current securities information



# 3 | Resources

# Resources

## Qualification Exams

- Coronavirus Impact on FINRA-Administered Exams:  
<https://www.finra.org/rules-guidance/key-topics/covid-19/exams>
- Schedule an Exam:  
<https://www.finra.org/registration-exams-ce/qualification-exams/schedule-exam>

## Continuing Education Transformation

- [Regulatory Notice 18-26](#)
- [Regulatory Notice 20-05](#)
- [Proposed Rule Change to Amend Rule 1210 and 1240: SR-FINRA-2021-015](#)



FINRA®

# FINRA Updates

Registration, FINRA Gateway and More

ARM Conference

10/12/2021

# Speakers

FINRA®



**Bill Swanstrom**  
Vice President



**Claudia Holanda**  
Director



**Jerry Gerard**  
Senior Director



**Noah Egorin**  
Senior Director



**Thomas Weaverling**  
Director

# AGENDA

01 | Reflections

02 | Available Today

03 | What We Are Hearing/Feedback

04 | What's Coming

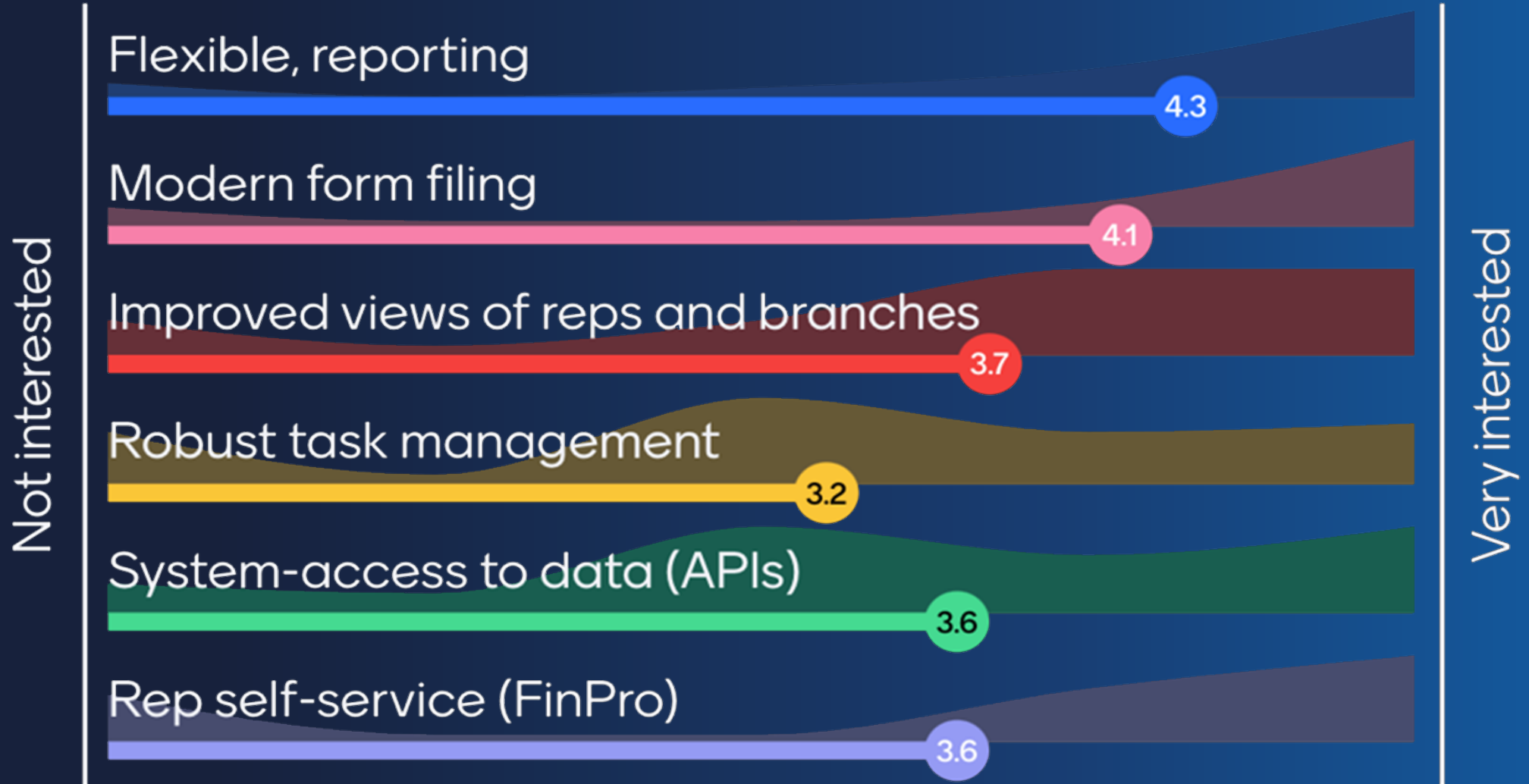
05 | Maximizing the Tools

06 | Key Dates



# 1 | Reflections

# 2019 Results





# How We Were Feeling



A word cloud visualization of feelings, with the word "exciting" as the largest and most central term. Other prominent words include "collaborative", "innovative", "efficiencies", "butterflies", "new age", "delighted", "excited", "efficient", "sweet", "needed", and "awesome". The words are arranged in a circular pattern around the central "exciting" word, with varying sizes and colors (blue, orange, green, pink, yellow) used to distinguish them.

exciting

collaborative

innovative

efficiencies

butterflies

new age

delighted

excited

efficient

sweet

needed

awesome

# Where We Have Been. Where We Are Going.

## The Transformation Journey

- Continuous industry engagement
- A big vision
- Emergence of a digital transformation beyond registration
- Focus on key metrics
- Iterative approach

## On The Horizon

- Expansion of FINRA Gateway (registration & beyond)
- Impact of major continuing education initiatives.
- Further investment in leveraging data & enabling automation
- Increased personalization and customization capabilities



# First Steps to a New Way of Working



- A single FINRA application
- Model based on starting with the financial professional (or firm and branch)
- Separation of data collection from form
- Task-based mentality
- Contextually-aware tasks and experience



2 | Available Today

# Profiles

FINRA

Firm: FINRA DEMO FIRM (CRD: 3000005)

SEND FEEDBACK

Profile Search

DT

Individual Profile

Catherine Smith

CRD# 80000012

Summary

Registrations

Disclosures

Qualifications

Continuing Education

Employment

Personal Information

Fingerprints

< Back

Catherine Smith (CRD# 80000012) 

Non FinPro User

View/Print Individual Profile

Download Profile

0 Registrations

3 Disclosures

36 Deficiencies

0 Valid Exams

9 Years in 1 Firms

Summary

Rep Identifiers

SSN

...

View SSN

DOB

10/15/1959

Alternate Names

Cathy Smith

Catherine Brown

+1 More Alternate Name

Rep Status

CE Inactive

01/26/2021

Other Business

No

Contact Information

Residential Address

AutoTestXuBibBVKfjTV, MD 20850

Current Work Information

Firm

FINRA DEMO FIRM [3000005](#)

Located At

BD Main Office

Firm Billing Code: 58556

RESTON, VA 20190

Position(s)

R

Filings

Pending Filings

[U5 Drafts \(1\)](#)

Historical Filings

[Filing History](#)

Actions

Individual Actions

[Update \(U4 Amendment\)](#)

[Full Termination \(U5 Full\)](#)

[Partial Termination \(U5 Partial\)](#)

Expand All

Registrations

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# Data Collection (U4 & U5)

FINRA

Firm: FINRA DEMO FIRM (CRD: 3000005)

SEND FEEDBACK

Profile Search

DT

U4

Rep Name: Smith, Catherine (CRD: 80000012)

Filing ID: 81240084

Filing Type: Amendment

Updated: 8/31/21

Data Entry

Personal Information

Employment History / Other Business

Registration Requests with Firms

Registration with Unaffiliated Firms

Exam Requests

Professional Designations

Disclosures

Bankruptcy / Compromise

Bond

Civil Judicial

Criminal

Customer Complaint / Arbitration / Civil Litigation

Investigation

Judgment/Lien

Personal Bankruptcy

14K. Within the past 10 years:

(1) have you made a compromise with creditors, filed a bankruptcy petition or been the subject of an involuntary bankruptcy?

☐ Yes ☒ No

No Information Filed

Add New

If events result in affirmative answers to both 14K(1) and 14K(2), details to each must be provided on separate entries.

Action

Rev. DRP (05/2009)

05/2009

Action Type (select appropriate item): \*

☐ Bankruptcy

Completeness Check: 4 Errors

Last Updated Aug 31, 2021, 3:13:32 PM

EMPLOYMENT HISTORY / OTHER BUSINESS (2)

A minimum of 10 years of Employment History with gaps of no more than 3 months must be provided.

At least one current employment record is required.

SIGNATURES (2)

'Signature of Appropriate Signatory' is a required field.

'Signature Date of Appropriate Signatory' is a required field.

How can we help?

Completeness Check

Form View

Allow Rep Edits

Save

PREVIOUS

NEXT

# Allow Rep Edits Continues to Evolve



- Allowing access is inviting representative collaboration — not giving up control
- Notification functionality is planned
- Opportunity to establish firm settings and better integration in FinPro



The background of the slide features a large, stylized target with concentric blue and white rings. Three blue and white arrows are shown hitting the bullseye, symbolizing precision and focus.

# All of Your Work in One Location

- Looking for pending filings, open FINRA requests or CRD queue items?
- FINRA Gateway Requests is on its way to becoming a one-stop-shop for work management



# FINRA Gateway Reports

**FINRA** Firm: FINRA DEMO FIRM (CRD: 3000005)

SEND FEEDBACK

Profile Search

DT

Home

Reports

Navigation

Help

How can we help?

## Reports

Search All Custom Reports, Templates...

My Reports (2) Templates (35) <sup>New</sup> Published Reports (6) <sup>1</sup>

All

Individual

Firm

Branch

Terminations

Continuing Education

Exams <sup>New</sup>

Registrations

Disclosures

**Active Individuals Roster**

Explore a comprehensive set of data attributes about individuals currently employed by your firm.

**Individual Roster (including terminated individuals)**

Explore a limited set of data attributes about individuals...

**All Accounts Report**

This Report provides information about all accounts that belong to your organization.

**Branch Roster**

Explore a comprehensive set of data attributes about your firm's registered branches (active and...

**Branches by Deficiency Status**

Explore registered branches categorized by branch deficiency status.

**Firm**

Explore a comprehensive set of data attributes about your firm's registration and disclosure data.

**Regulatory Filing History**

Explore filings submitted by your firm to FINRA.

**Supervising OSJ Branches**

Replacement of the Classic CRD Branch - Supervising OSJ Branches, this report includes a list of OSJ...

**Terminated Individuals by Reason Code**

Explore individuals terminated year to date categorized by...

**CE 2-Year Termed**

Replacement of the CE 2-Year Termed Classic CRD Firm Queue, this template shows any...

**CE Approaching Requirement**

Replacement of the CRD Classic Firm Queue for Approaching CE Requirement, this template show...

**CE Currently Required**

Replacement of the Classic CRD Firm Queue for Currently CE Required, this template shows...

Recently Viewed

Active Individuals Roster

All Accounts Report

Exports Ready for Download

activeindividualsroster\_2021\_08\_3...

# FINRA Gateway Reports, Continued

FINRA

Firm: FINRA DEMO FIRM (CRD: 3000005)

SEND FEEDBACK

Profile Search

DT

Active Individuals Roster (11)

Columns

Filter

Group

Save

Export

| First Name | Last Name               | Individual CRD#          | Registrations | Disclosures | Exams | Deficiencies | Branch |
|------------|-------------------------|--------------------------|---------------|-------------|-------|--------------|--------|
| John       | <a href="#">Doe</a>     | <a href="#">80000008</a> | 36            | 5           | 4     | 34           | 1      |
| John       | <a href="#">Johnson</a> | <a href="#">80000010</a> | 37            | 3           | 4     | 103          | 2      |
| Jen        | <a href="#">Doe</a>     | <a href="#">80000011</a> | 36            | 3           | 4     | 210          | 1      |
| Catherine  | <a href="#">Smith</a>   | <a href="#">80000012</a> | 36            | 3           | 4     | 210          | 1      |
| Alex       | <a href="#">Smith</a>   | <a href="#">80000013</a> | 36            | 3           | 4     | 155          | 1      |
| Alex       | <a href="#">Brown</a>   | <a href="#">80000014</a> | 36            | 3           | 4     | 48           | 1      |
| Antonio    | <a href="#">Brown</a>   | <a href="#">80000015</a> | 37            | 3           | 4     | 97           | 1      |
| Michael    | <a href="#">Jackson</a> | <a href="#">80000016</a> | 36            | 3           | 4     | 175          | 1      |
| Lamar      | <a href="#">Jackson</a> | <a href="#">80000017</a> | 36            | 3           | 4     | 175          | 1      |
| Jennifer   | <a href="#">Jackson</a> | <a href="#">80000018</a> |               |             |       |              | 1      |
| Jennifer   | <a href="#">Johnson</a> | <a href="#">80000019</a> |               |             |       |              | 1      |

How can we help?

# E-Signature for Form U4

Provide Your Signature

Date

2/12/2021 - 3:32 PM (ET)

Full Name

Anthony Anderson

PREVIEW

Date:

2/12/2021 - 3:32 PM (ET)

Signature of Applicant:

Anthony Anderson

FINRA

By selecting Confirm, I am agreeing that this electronic signature is an appropriate way of conveying my agreement and in every way, use or aspect, constitutes my legally binding signature. I attest to the completeness and accuracy of information contained in this form and agree and consent to the conditions and obligations specified therein.

CANCEL

CONFIRM

E-Sign Rep Tracking

Columns

Save

Export

Filters:

First Name

Add Filter

Groups:

Add Group

| Filing ID ↓ | Individual CRD# | First Name | Last Name | Form Type | Signature/<br>Acknowledgement Required | Event                 | Event Time                |
|-------------|-----------------|------------|-----------|-----------|--|-----------------------|---------------------------|
| 5000010     | 123456          | Robert     | Ricketts  | U4        | Yes                                    | E-sign Made Available | 2/18/2021 - 3:10 PM (ET)  |
| 5000010     | 123456          | Robert     | Ricketts  | U4        | Yes                                    | Rep E-signed          | 2/20/2021 - 12:00 PM (ET) |
| 5000010     | 123456          | Robert     | Ricketts  | U4        | Yes                                    | Form Submitted        | 2/24/2021 - 5:30 PM (ET)  |
| 5000009     | 234567          | Tim        | Purdy     | U4        | Yes                                    | E-sign Made Available | 2/18/2021 - 3:30 PM (ET)  |
| 5000008     | 345678          | Sam        | Renninger | U4        | Yes                                    | E-sign Made Available | 2/21/2021 - 9:30 AM (ET)  |
| 5000008     | 345678          | Sam        | Renninger | U4        | Yes                                    | Rep E-signed          | 2/22/2021 - 12:15 PM (ET) |

An isometric illustration featuring a laptop as the central element. On the laptop's screen, the word "Signature" is written in a cursive script. A large, 3D pink circle with a white stylized 'L' shape is positioned on top of the laptop. To the left of the laptop, there is a large blue padlock. Surrounding the laptop and padlock are several blue and pink geometric shapes, including cubes and squares, some of which are floating or appear to be part of a digital interface. The background is white with faint blue lines suggesting a digital space.

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# 3 | What We Are Hearing



# What We Are Hearing



# 4 | What's Coming



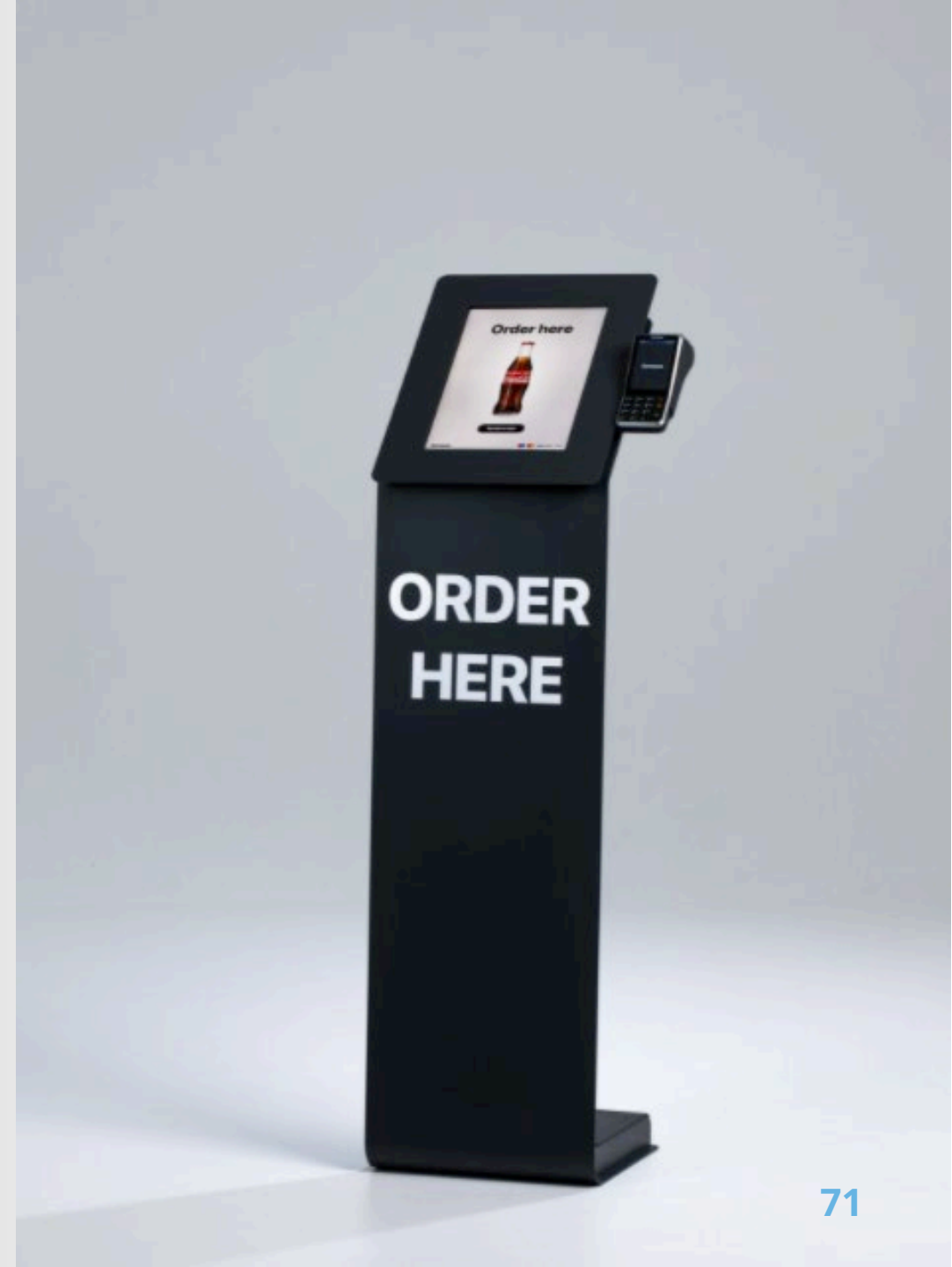
# Evolution of FINRA Gateway Requests

- More specific requests
- Better search
- Better notifications
- View only requests you are entitled to see
- FINRA Gateway widgets
- See the status of a request in progress



# Regulatory Support Interactions

- Refunds
- Account overrides
- BrokerCheck comments
- Duplicate record management
- Corrections that require FINRA engagement
- Ad hoc report support
- Testing & continuing education support scenarios





# Organization-Based Forms

The screenshot shows the FINRA U4 Data Entry interface. At the top, it identifies the firm as 'FINRA DEMO FIRM (CRD: 3000005)' and the representative as 'Rep Name: Smith, Catherine (CRD: 8000012)'. The filing is an 'Amendment' with ID '81240084', updated on '8/31/21'. A 'Completeness Check' on the right shows '4 Errors', with one error highlighted: 'EMPLOYMENT HISTORY / OTHER BUSINESS (2)' stating 'A minimum of 10 years of Employment History with gaps of no more than 3 months must be provided.' The main form section is titled 'Personal Bankruptcy' and includes a field for '14K Within the past 10 years:'. Below this, the 'Action' section shows 'Rev. DRP (05/2009)' and '05/2009'. The 'Action Type' is set to 'Bankruptcy'. The bottom of the form has navigation buttons: 'Completeness Check', 'Form View', 'Allow Rep Edits', 'Save', 'PREVIOUS', and 'NEXT'. A sidebar on the left lists various categories like 'Bond', 'Civil Judicial', 'Criminal', etc.

- Forms - BR, BD, ADV
- Data collection efforts treated cohesively with the use and related business procedures.
- Constraints & challenges exist to quickly realizing many of the most desired improvements

# FINRA API Developer Center (developer.finra.org)

FINRA API Developer Center


Products Documentation ▾ Support


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> FINRA DATA

## Browse Data Catalog

Browse the FINRA Data Catalog. You can filter the catalog by category, access type, or fee structure. More about [how to work with FINRA Data](#).

Please give us feedback on this preview of the new FINRA Data section.

### Data Catalog

Access TypeCategoriesFee Structure

AllAllAll

Displaying 1 - 10 of 47 results

#### Academic Corporate Bond TRACE Data

Fixed Income Data

**Description:**  
The Academic Corporate Bond TRACE Data set contains historic transaction-level data on all transactions in

# 5 | Maximizing the Tools

# Customizing the Gateway



# Disclosure Letters in the Gateway

FINRA

Firm: FINRA DEMO FIRM (CRD: 3000005)

SEND FEEDBACK

Profile Search

DT

Home

Filters

Requests & Filings

Type

☐ Inquiry Letter

Category

☒ Disclosure Letter

Overdue

☐ Overdue

Status

☐ Open

Clear Filters

Search Criteria

Search for Work Items

Active (1)

Completed

History

Filters (1)

Disclosure Letter

X

Clear Filters

Delete View

Save View

Sort By

New

Due Date

Ascending

Arrest Inquiry - New Information

Disclosure Letter

Rep CRD#

80000008

Rep Name

Doe, John

Type

Inquiry Letter

Created Date

06/21/21

Due Date

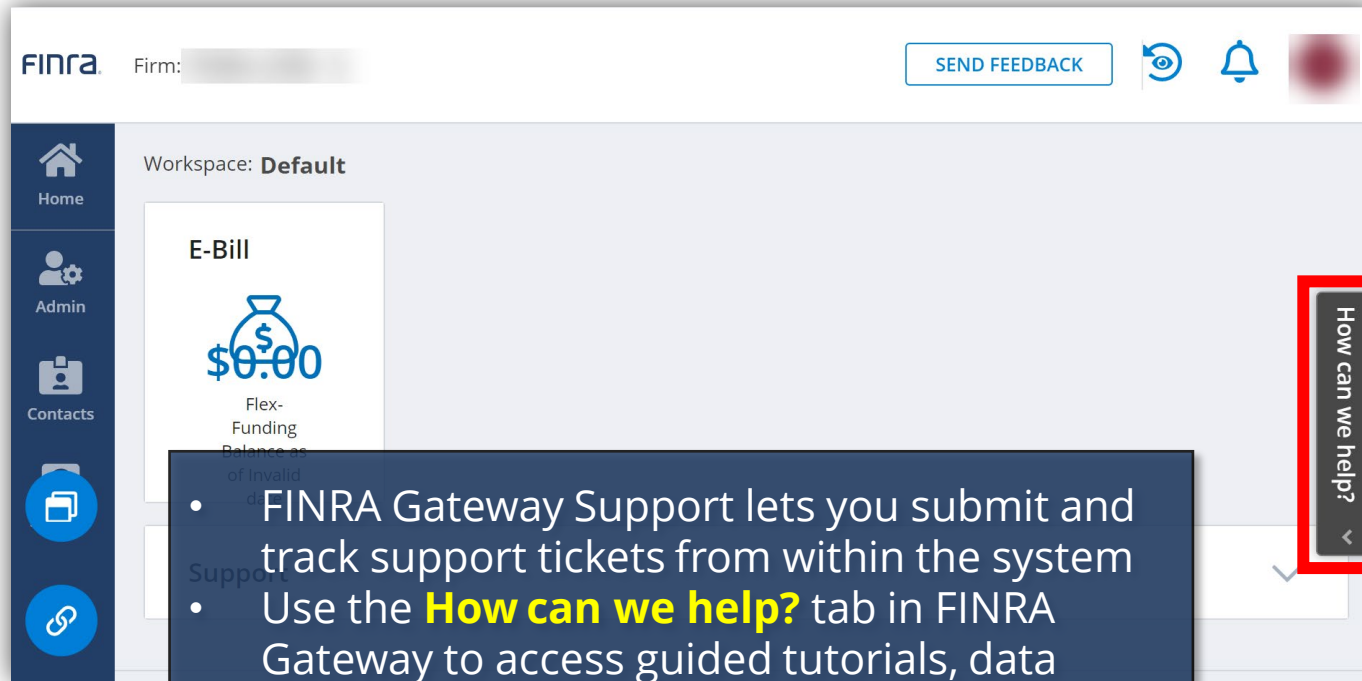
07/21/21, 11:59 PM

Status

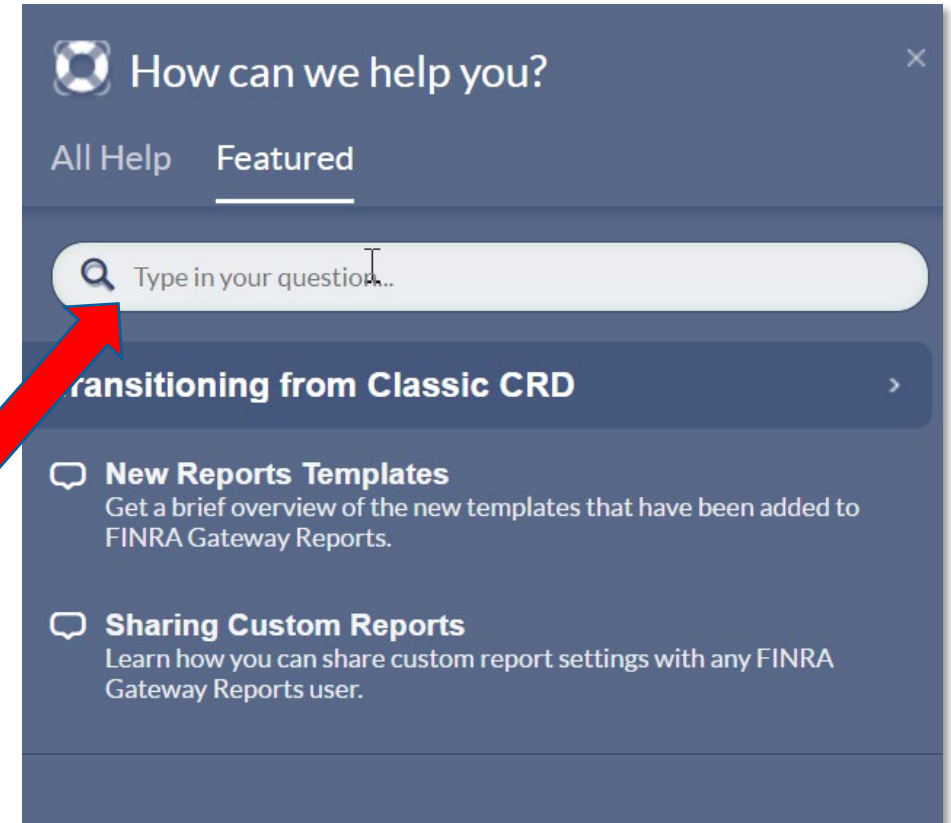
Open

How can we help?

# In-System Support Features Right at Your Fingertips



- FINRA Gateway Support lets you submit and track support tickets from within the system
- Use the **How can we help?** tab in FINRA Gateway to access guided tutorials, data dictionaries and other resources.
- FinPro's **Help** button connects users to support resources on our site: [finra.org/finpro](https://finra.org/finpro)





# Financial Professional Gateway - FinPro

- Collaborate with your reps using U4 Allow Rep Edits.
- Enable Attestation so reps can indicate whether or not their record needs to be updated.
- Exclusive access to your reps' Continuing Education (CE).
- Send your reps to FinPro to retrieve a copy of their latest U5.
- Enable CE notifications so your reps will receive reminders to complete CE.
- E-Signature for U4.
- Use FINRA Gateway reports to determine who does or does not have a FinPro account.

The screenshot displays the 'Financial Professional Gateway' interface for a user named Alex Joe Smith. The top navigation bar includes the FINRA logo, the title 'Financial Professional Gateway', and links for 'My Account', 'Help', and 'Sign out'. A left sidebar contains navigation links: Summary, Employment, Registrations, Qualifications, Continuing Ed, and Disclosures. The main content area shows the user's profile with CRD: 80000013 and alternative names. Three summary boxes indicate '3 Current Disclosures', '0 Archived Disclosures', and '4 Passed Exams'. Below these are reminders: 'You are past due for the 201 Continuing Education requirement and are now CE INACTIVE. You will need to complete this course in order to remain registered. Launch CE Online.' and 'You have a pending request to sign your U4 filing from FINRA DEMO FIRM. Open Filing.' The 'Current Registrations' section shows 'Not Currently Registered'. The 'Home Address' section lists 'Current Address' and 'Old Address, AutoTestEnDvnhFpbOc, AutoTestWwusLhGasozc, MD 20850' with a date range 'Jul 2000 - Present'. On the right, the 'FinPro Attestation' section shows a statement: 'I have reviewed the information contained in FinPro as requested by: FINRA DEMO FIRM' with two radio button options: 'The information is up-to-date and accurate.' (selected) and 'Some information is incorrect and needs to be updated. I will contact my firm(s) to provide updated information.' The last update is '11/10/2020 10:35 AM History'. An 'Apply' button is at the bottom right. A red 'Feedback' button is on the far right edge. The bottom of the page has a blue bar with 'Employment History 1' and an upward arrow.

# 6 | Key Dates

# Key Dates

- CE Notifications to reps (September 17, 2021)
- My Favorites for Reports (September 24, 2021)
- E-Signature (September 25, 2021)
- Single page view for registrations (September 27, 2021)
- Updates to BD firm profile (October 29, 2021)
- Branch Associated Individuals (November 8, 2021)
- Fingerprint vendor update (Late Fall 2021)
- Subscription management for notifications (December 2021)
- Enhanced Form BR (January 2022)
- IAR CE for adopting states (2022)

2021

2022

2023

