



FINRA Gateway Reports

New Features and Templates

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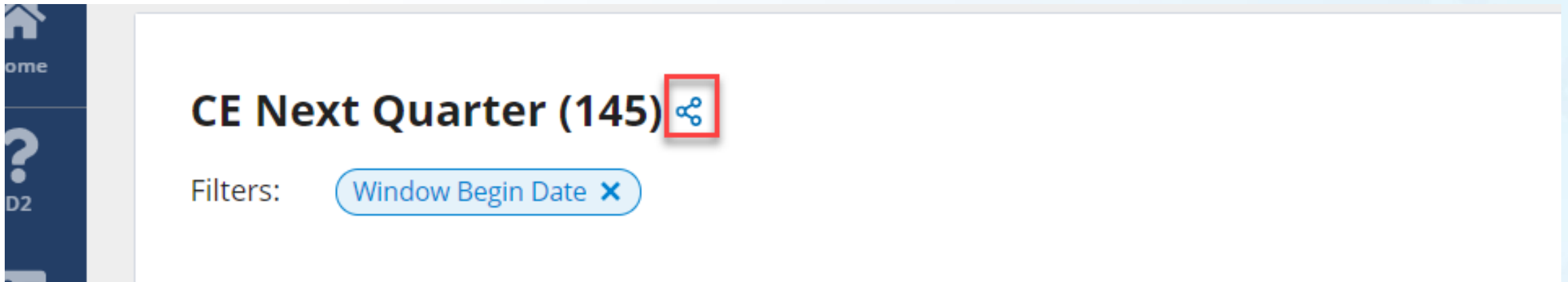
- | **Share Feature**
- | **Save As Feature**
- | **Filter Shortcuts**
- | **CE Templates**
- | **Supervising OSJ Branches Template**
- | **Templates for NY Firms Onboarding IAs**

Share Feature Overview

- **Share** is accessible for all **custom reports**. The share icon appears next to custom report titles on the Reports tab and when viewing a custom report.
- Click the Share icon next to the custom report title you want to share. **Copy the link** provided in the Share window.
- **Compose an email message** and **paste the link** into the message body. Send the message to recipients of your choice. No data will be shared. Recipients must be able to login to FINRA Gateway to use the link.
- Recipients can click the link, **login to FINRA Gateway**, and **view the report settings for their firm's data**. They can then **save the shared report to their custom reports**. Recipients must be able to login to FINRA Gateway and have appropriate entitlements to their firm's data.
- If the settings of the shared report change, the recipient can click the shared link again to load the updated settings.

Accessing the Share Feature

- The **Share feature is only available for custom reports** and can be accessed by clicking the Share icon.
- The **Share icon appears next to saved custom reports titles** in the My Custom Reports section of the FINRA Gateway Reports tab. It also appears next to the report title when viewing a custom report.




Compose the Share email message

- Click the Share icon to open the Share window. Click **Copy Link** and **Done**.
- Create a new **email message** and **paste** the link into the message body.
- You can send a Share link to anyone but **only people who can login to FINRA Gateway will be able to use it.**

[CE Next Quarter](#) 

Get Link

http://dataview-7116ac66-690c-4658-a347-589e6cce8963

[Copy Link](#)

Receiving a Share link

- If you receive a Shared link, click on the link to open the report in FINRA Gateway. If you are **logged in to FINRA Gateway**, you will go straight to the report. If you are not logged in, you will need to login before you can access the report.
- The Share link applies the sender's custom settings to **your firm's data**. You will need appropriate data and entitlements. If the settings of the shared report change, the recipient can click the shared link again to load the updated settings.
- Use the **Save** tool to save the shared report to your custom reports.

Subject

Shared Custom Report

Click the link below to load the CE Next Quarter template settings. When you open the link, save the report as "CE Next Quarter."

[/dataview-7116ac66-690c-4658-a347-589e6cce8963](#)

Save As Feature Overview

- **Save As** is an option on the **Save tool** available on all custom reports.
- Use **Save As** to create multiple iterations of a custom report without saving over the original custom report.

The screenshot displays a web interface for a custom report. At the top left, it shows 'Quarter (145)' with a refresh icon. Below this is a filter for 'Window Begin Date'. The main area contains a table with columns: Last Name, Suffix, First Name, Middle Name, Window Begin Date (sorted ascending), and Appointment. On the right side of the table, there are icons for 'Columns', 'Filter', 'Group', 'Save', and 'Export'. The 'Save' icon is highlighted with a red box, and its dropdown menu is open, showing two options: 'Save' and 'Save As'. The 'Save As' option is highlighted with a white background. The date '2021-07-06' is visible in the 'Window Begin Date' column.

Save As

- To access the **Save As** feature, open a custom report and click the **Save tool**.
- After clicking the Save tool, a menu will appear with the options **Save As** and **Save**.
- Use **Save As** to save the custom report with a new name and preserve the original
- Use **Save** to save changes to the original custom report.

The screenshot shows a software interface for a custom report. At the top left, it says 'Quarter (145)' with a refresh icon. Below this is a filter for 'Window Begin Date'. The main area is a table with columns: Last Name, Suffix, First Name, Middle Name, Window Begin Date (with an upward arrow), Window, and Appointment. At the top right, there are icons for 'Columns', 'Filter', 'Group', 'Save', and 'Exp'. The 'Save' icon is highlighted with a red box, and a dropdown menu is open, showing 'Save' and 'Save As' options. The date '2021-07-06' is visible in the 'Window' column.

Filter Shortcuts

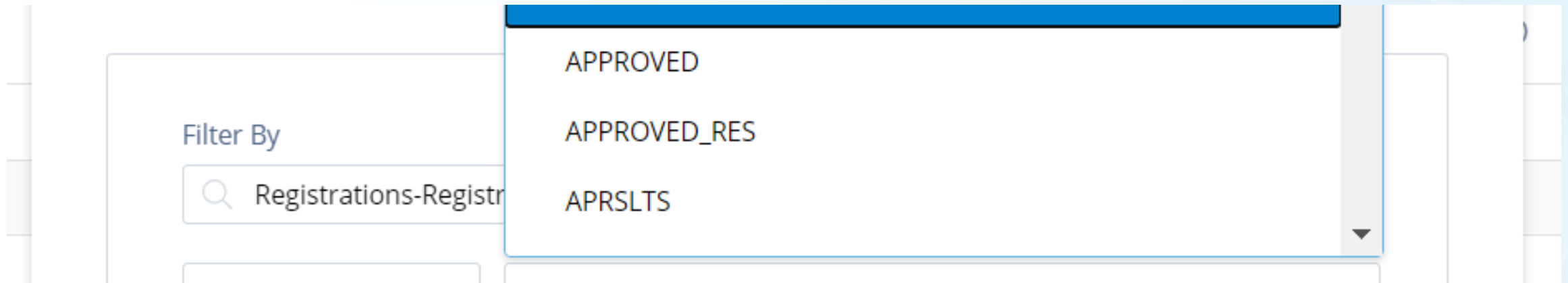
- Click a **filter tag** to access the **filter settings**. This is a quick way to review the settings and change them to make iterations of a report, such as CE 30/60/90/120 days.
- Click the “x” on a filter tag to **remove the filter**.

The screenshot shows a data table interface with the following elements:

- Title:** Approaching Requirement (145)
- Actions:** Columns, Filter, Group, Save, Export
- Filter Tag:** A tag labeled "Window Begin Date" with a red 'x' icon, highlighted by a red rectangular box.
- Table Headers:** Individual CRD#, Last Name, Suffix, First Name, Middle ..., Window Begin... ↑, Window End Da..., Appointment ..., Appointment...

Facilitated Filtering

- For certain filters, such as Registration Status Code, **you can now select a pre-determined filter value from a list.** Where these filter lists are available, you can scroll the list and select the value without risk of making a typo or forgetting a code.
- **You can type ahead for faster selection of filter values.** For example, if you select the "Branch Office Locations-Branch Address-State Name" dropdown and type "N" you will be placed at "Nebraska" thus avoiding the need to scroll all the way down the list.



CE Templates

- CE templates were updated to make browsing the data easier and eliminate the frustration customers reported regarding clicking to see key data points in the table. Note – you will need to use the horizontal scroll at the bottom to see all columns.

Title	Description
CE 2-Year Termed	Queue, th Year Tern
CE Approaching Requirement New	Replacen Approach individua the next :
CE Currently Required New	Replacen CE Requi requirem
CE Download New	Replacen provides SATISFIE
CE Inactive New	Replacen this temp Inactive.
CE Satisfied New	Replacen Satisfied, requirem

CE Approaching Requirement (145) Columns Filter Group Save Export

Filters: Window Begin Date X

Individual CRD#	Last Name	Suffix	First Name	Middle ...	Window Begin... ↑	Window End Da...	Appointment ...	Appointment...
[Link]	[Link]		[Name]	[Middle]	[Date]	[Date]		
[Link]	[Link]		[Name]	[Middle]	[Date]	[Date]		
[Link]	[Link]		[Name]	[Middle]	[Date]	[Date]		
[Link]	[Link]		[Name]	[Middle]	[Date]	[Date]		
[Link]	[Link]		[Name]	[Middle]	[Date]	[Date]		
[Link]	[Link]		[Name]	[Middle]	[Date]	[Date]		
[Link]	[Link]		[Name]	[Middle]	[Date]	[Date]		
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[Link]	[Link]		[Name]	[Middle]	[Date]	[Date]		
[Link]	[Link]		[Name]	[Middle]	[Date]	[Date]		
[Link]	[Link]		[Name]	[Middle]	[Date]	[Date]		

How can we help?

Supervising OSJ Branches

- Template updated to remove the frustration customers reported regarding the hierarchical data. Note – you will need to use the horizontal scroll at the bottom to see all columns.

Supervising OSJ Branches (5014)

Columns Filter Group Save Export

Organization CRD#	OSJ Branch CRD Number ↑	OSJ Branch Code Number	OSJ Branch Billing Code	OSJ Branch FINRA District	OSJ Branch Street 1

How can we help?

Templates for NY Firms Onboarding IAs

- Four templates are available to help NY firms onboard IAs to CRD in time for the July 2021 deadline.

The screenshot displays a reporting interface with four report templates on the left and a data table on the right.

Report Templates:

- NY IAR - Active NY RA Individuals** (New): Lists all individuals with the firm who have an active NY RA status. The report includes exam information and professional designations.
- NY IAR - All RA Individuals (Approved)** (New): Lists all individual approved RA information, information.
- NY IAR - Approved NY RA Individuals** (New): Lists individuals with New York Number and information.
- NY IAR - NY RAs With Open Exam Windows** (New): Lists individual request and information, 65 and Series designations.

Data Table: NY IAR - NY RAs With Open Exam Windows (213)

Filters: **Emploment-Employment Active ? X** | **Emploment-Employment Type Code (3) X** | **Registrations-Registration Category Code X** | **Exams-Exam Pending Flag X** | **Exams-Exam (2) X**

First Name ↑	Last Name ↑	Individual CRD#	Registrations ↓ ?	Exams ↓ ?	Professional Design... ?	Disclosures ?	Disclosure Filings
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RESOURCES

FINRA Gateway Reports

<https://www.finra.org/filing-reporting/finra-gateway/dynamic-reporting>