

FINra[®]
**Introduction to The Financial
Industry Networking Directory
(FIND)[™] & Transitioning to FinPro**

June 18, 2020

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Introduction To FIND

- The Financial Industry Networking Directory (FIND)[™] is a new FINRA service that looks to connect individuals with financial services firms that are recruiting for full-time employment and internship positions.
- Individuals who take the Securities Industry Essentials[®] (SIE[®]) exam can choose to opt into a database available for firms to utilize for recruiting.
- To be eligible for the FIND service individuals must:
 - Have an SIE enrollment that was not paid for by a broker-dealer
 - Not be registered with a firm
- FIND is currently a pilot for firms.
- There is currently no fee for firms who are interested in utilizing this database.

Candidate Experience

By switching the toggle switch to "Opted In" you agree to the [Terms and Conditions](#) and [Privacy Policy](#).

Opted In

Save

Basic Information

Name and contact information is pulled from your current information listed above

LinkedIn Profile Link

Enter URL for LinkedIn Profile

Education

Education Entry 1

Delete Entry

Education Level

Select Level Of Education

Degree Completion Status

Select Degree Completion Status

School Name

Enter School Name

Area of Study

Enter Area Of Study

Add Education Entry

Employment

Current Employment Status

Employed

Not Employed

No Response

Current/Most Recent Employer

Enter Current/Most Recent Employer

Area(s) of Interest in the Securities Industry

Retail Sales

Investment Advisory Services

Research

Market Making/Trading

Public Finance

Other

Institutional Sales

Investment Banking/Underwriting

Information Technology

Operations

Legal/Compliance

Current Geographic Location

Select Current Location

Are you willing to relocate?

Select Relocation Option

Save

Sample Data

employment_status	education	discipline	graduation	current_region	relocation_interest	desired_region
Employed	Bachelor's Degree	Marketing	Completed	Washington-Adlington-Alexandria, DC-VA-MD-WV	Yes, Anywhere	
	Master's Degree	Finance	Completed			
Employed	Bachelor's Degree	Finance	Completed	Grand Rapids-Wyoming, MI	Yes, I will choose specific cities	
Employed	High School Diploma or Equivalent		Completed	Dayton, OH	Yes, Anywhere	
No Response	Bachelor's Degree	Finance	Completed	New York-Northern New Jersey-Long Island, NY-NJ-PA		
Employed	High School Diploma or Equivalent	Other	Completed	Chicago-Joliet-Naperville, IL-IN-WI	Yes, Anywhere	
Employed	Associate's Degree	Marketing	Completed	Miami-Fort Lauderdale-Pompano Beach, FL	No	
Not Employed	Bachelor's Degree	Finance	Completed	Tampa-St. Petersburg-Clearwater, FL	Yes, Anywhere	["Tampa-St. Petersburg-Clearwater, FL", "Miami-Fort Lauderdale-Pompano Beach, FL", "Orlando-Kissimmee-Sanford, FL", "New York-Northern New Jersey-Long Island, NY-NJ-PA", "Chicago-Joliet-Naperville, IL-IN-WI"]
Employed	Bachelor's Degree	Finance	Completed	New York-Northern New Jersey-Long Island, NY-NJ-PA	Yes, I will choose specific cities	
No Response				New York-Northern New Jersey-Long Island, NY-NJ-PA		
Employed	Bachelor's Degree	Finance	Completed	Pittsburgh, PA	Yes, Anywhere	
Not Employed	Bachelor's Degree	Business Administration/Management	Completed	Austin-Round Rock-San Marcos, TX	No	
Employed	Bachelor's Degree	Economics	Completed	Minneapolis-St. Paul-Bloomington, MN-WI	Yes, Anywhere	
Employed	Master's Degree	Business Administration/Management	Completed	Houston-Sugar Land-Baytown, TX	Yes, I will choose specific cities	
Employed	Some College, No Degree	Finance	Currently Enrolled		Yes, I will choose specific cities	
Not Employed	Master's Degree	Finance	Currently Enrolled	New York-Northern New Jersey-Long Island, NY-NJ-PA	No	
Not Employed	Bachelor's Degree	Finance	Completed	Los Angeles-Long Beach-Santa Ana, CA	Yes, Anywhere	
Employed	Master's Degree	Finance	Completed	Atlanta-Sandy Springs-Marietta, GA	No	
Employed	Master's Degree	Business Administration/Management	Currently Enrolled	Miami-Fort Lauderdale-Pompano Beach, FL	Yes, Anywhere	
Employed	Bachelor's Degree	Finance	Completed	New York-Northern New Jersey-Long Island, NY-NJ-PA	No	
Employed	Master's Degree	Business Administration/Management	Completed	Houston-Sugar Land-Baytown, TX	Yes, I will choose specific cities	["New York-Northern New Jersey-Long Island, NY-NJ-PA"]
Employed	Bachelor's Degree	Finance	Completed	Nashville-Davidson--Murfreesboro--Franklin, TN	Yes, Anywhere	
Not Employed	Bachelor's Degree	Finance	Completed	Jacksonville, FL	Yes, Anywhere	
No Response	Bachelor's Degree	Finance	Completed	Los Angeles-Long Beach-Santa Ana, CA	Yes, Anywhere	
Not Employed	Bachelor's Degree	Finance	Currently Enrolled	New York-Northern New Jersey-Long Island, NY-NJ-PA	Yes, Anywhere	
Not Employed	Bachelor's Degree	Economics	Completed	Bridgeport-Stamford-Norwalk, CT	Yes, I will choose specific cities	["New York-Northern New Jersey-Long Island, NY-NJ-PA"]
Employed	Bachelor's Degree	Economics	Completed	Miami-Fort Lauderdale-Pompano Beach, FL	No	
No Response	Bachelor's Degree	Film	Completed	Sacramento--Arden-Arcade--Roseville, CA	Yes, Anywhere	
No Response	Bachelor's Degree	Film	Completed	Sacramento--Arden-Arcade--Roseville, CA	Yes, Anywhere	
Employed	Bachelor's Degree	Finance	Completed			
Employed	Bachelor's Degree	Finance	Completed	Seattle-Tacoma-Bellevue, WA	Yes, I will choose specific cities	["Seattle-Tacoma-Bellevue, WA", "Baltimore-Towson, MD", "Buffalo-Niagara Falls, NY", "Fresno, CA", "Jacksonville, FL", "San Francisco-Oakland-Fremont, CA"]
Not Employed	Bachelor's Degree	Business Administration/Management	Completed	Los Angeles-Long Beach-Santa Ana, CA	Yes, Anywhere	
Not Employed	Bachelor's Degree	Marketing	Completed	Birmingham-Hoover, AL	Yes, Anywhere	
Employed	Bachelor's Degree	Business Administration/Management	Completed	New York-Northern New Jersey-Long Island, NY-NJ-PA	Yes, Anywhere	
Not Employed	Master's Degree	Accounting	Completed	International - North America (non-United States)	Yes, Anywhere	
Employed	Some College, No Degree	Business Education		Seattle-Tacoma-Bellevue, WA	No	
Employed	Master's Degree	Business Administration/Management	Completed	Atlanta-Sandy Springs-Marietta, GA		
Employed	Master's Degree	Finance	Completed	Washington-Adlington-Alexandria, DC-VA-MD-WV	Yes, Anywhere	
Not Employed	Bachelor's Degree		Completed	Los Angeles-Long Beach-Santa Ana, CA	No	["Los Angeles-Long Beach-Santa Ana, CA"]
Employed	Bachelor's Degree	Finance	Currently Enrolled	Dallas-Fort Worth-Adlington, TX	Yes, Anywhere	
Employed	Master's Degree	Business Administration/Management	Completed	Boston-Cambridge-Quincy, MA-NH	No	
Employed	High School Diploma or Equivalent	Accounting	Completed		Yes, I will choose specific cities	
Employed	Bachelor's Degree	Finance	Completed	Washington-Adlington-Alexandria, DC-VA-MD-WV	No	
Not Employed	Some College, No Degree	Finance	Currently Enrolled	San Francisco-Oakland-Fremont, CA	No	
Employed	Master's Degree	Public Administration	Completed	Kansas City, MO-KS	Yes, I will choose specific cities	["Kansas City, MO-KS", "Dallas-Fort Worth-Adlington, TX"]
No Response	Bachelor's Degree	Digital Communications and Media/Multimedia	Completed	New York-Northern New Jersey-Long Island, NY-NJ-PA	Yes, I will choose specific cities	["New York-Northern New Jersey-Long Island, NY-NJ-PA"]
Employed	Bachelor's Degree	Neuroscience	Completed	Syracuse, NY		
Employed	Master's Degree	Statistics	Completed	New York-Northern New Jersey-Long Island, NY-NJ-PA	Yes, Anywhere	
Not Employed	Bachelor's Degree	Finance	Currently Enrolled	Burlington, VT	Yes, I will choose specific cities	["New York-Northern New Jersey-Long Island, NY-NJ-PA", "Boston-Cambridge-Quincy, MA-NH"]
No Response	Bachelor's Degree	Economics	Completed	Los Angeles-Long Beach-Santa Ana, CA	Yes, I will choose specific cities	["New York-Northern New Jersey-Long Island, NY-NJ-PA"]
No Response	Bachelor's Degree	Economics	Completed	International - North America (non-United States)	Yes, Anywhere	
Employed	Master's Degree	Finance	Completed	Los Angeles-Long Beach-Santa Ana, CA	No	
Not Employed	Bachelor's Degree	Finance	Currently Enrolled	Chicago-Joliet-Naperville, IL-IN-WI	Yes, I will choose specific cities	["Boston-Cambridge-Quincy, MA-NH", "Milwaukee-Waukesha-West Allis, WI", "Madison, WI"]
Not Employed	Bachelor's Degree	Industrial Engineering	Completed	Charlotte-Gastonia-Rock Hill, NC-SC	No	
Not Employed	Bachelor's Degree	Government	Completed	Washington-Adlington-Alexandria, DC-VA-MD-WV	Yes, Anywhere	
Not Employed	Some College, No Degree	Business Administration/Management	Completed	San Francisco-Oakland-Fremont, CA	Yes, I will choose specific cities	["San Francisco-Oakland-Fremont, CA", "Sacramento--Arden-Arcade--Roseville, CA", "San Jose-Sunnyvale-Santa Clara, CA", "Los Angeles-Long Beach-Santa Ana, CA"]
Employed	Bachelor's Degree	Finance	Completed	Los Angeles-Long Beach-Santa Ana, CA	Yes, I will choose specific cities	

Summary Allowed Usage & Term and Conditions

- **Information is provided “As Is”**
- **Firm Requirements:**
 - Firms are asked to protect the information of the candidates
 - Information used exclusively for recruiting, hiring, contracting
 - If firm become aware a candidate has opted out of the service or similar firms should no longer contact the individuals
- **Firm Prohibitions:**
 - Firms are prohibited from reselling/redistributing the provided data
 - Firms are prohibited from marketing to selling to the candidates
 - Firms can not claim an endorsement by FINRA
- **Firm Can:**
 - Tell candidates that they received their information from the FINRA FIND Service
 - Can use the information for aggregate data analysis, reporting, and similar
- **Key FINRA Requirements:**
 - FINRA has the right to inform candidates which subscribers received your data

Working with FINRA

Contact FINRA

- Email customersupport@finra.org
- Indicate you are interested in the FIND service.
- The FIND Team will respond quickly.

Execute Agreement

- Ensure you provide FINRA with the name, email, and title of the person who will execute the agreement.

Request List of Candidates

- Firms provide FINRA with the parameters used to filter the candidate population.

Provides Candidate Information

- Spreadsheet of candidates provided.

Feedback

- Insight into all aspects of the service is appreciated and will help drive the future of the service.

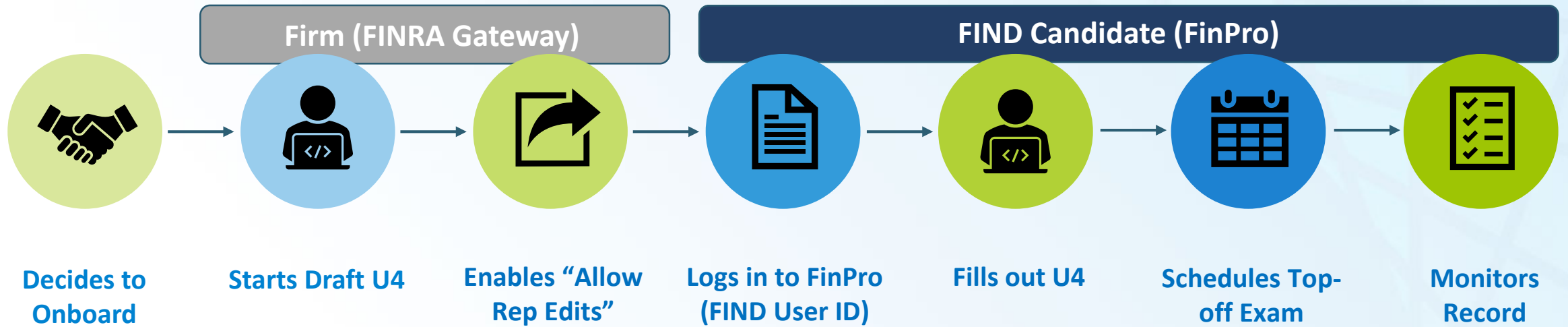
Feedback From the Industry To Date

- “Tough time to launch a service of this nature”
- “The LinkedIn URL is extremely valuable”
- “Some of the geographic regions need to be broken into smaller areas”
- “It appears many individuals are working in the financial services industry”
- “We found a great candidate”
- “Unfortunately one person we reached out to had just accepted another position”

Future of FIND

- FINRA is exploring how to better support recruiting and onboarding for both firms and prospective industry professionals.
- Are there ways to allow individuals to provide more information?
- Are there ways to for to have individuals pre-provide U4 information?
- Are there ways for individuals to bring background checks with them?
- Should FINRA allow individuals with current qualifications (but not actively registered) in the service?
- How should the FIND service evolve if the ability to maintain qualifications beyond two years is adopted?
- Other?

Bringing a FIND Candidate Onboard (example)



- Data Entry
- Personal Information
- Employment History / Other Business
- Registration Requests with Firms
- Registration with Unaffiliated Firms
- Exam Requests
- Professional Designations
- Disclosures
- Signatures
- Review and Submit
- Summary

Personal Information

General Information

First Name: Middle Name:

Last Name: Suffix:

Individual Social Security Number (SSN): [View/Edit SSN](#)

Individual CRD #:

Other Names

First Name	Middle	Last name	Suffix
Anthony	Jr	Anderson	-

Data Entry

Personal Information

Employment History / Other Business

Registration Requests with Firms

Registration with Unaffiliated Firms

Exam Requests

Professional Designations

Disclosures

Signatures

Review and Submit

Summary

Rep Edits

Please specify the level of representative access for this filing

- Allow full access for rep edits (all the pages of the filing will be available for edit by representative)
- Only allow rep edits for the following sections:
 - Personal Information
 - Employment History/Other Business
 - Registration Requests with Firms (Office Addresses, Registrations, Jurisdictions and Fingerprint Information by Firm)
 - Registrations with Unaffiliated Firms
 - Exam Requests
 - Professional Designations
 - Disclosures (Bankruptcy, Bond, Civil Judicial, Compromise, Customer Complaint, Investigation, Judgment/Lien, Regulatory Action and Termination)

The Representative can access filings through the Financial Professional Gateway

FinPro User

i You can include this information in your communication to the Representative:

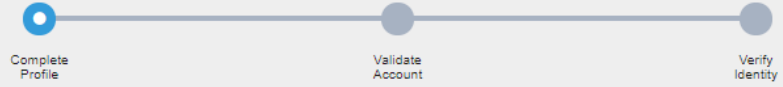
Copy

*Hello Anthony Anderson,
Please edit/review your U4 filing by following the instructions below.*

CANCEL

REMOVE REP ACCESS

ALLOW REP EDITS



Some information is missing. Please provide to complete your profile


Prefix <input type="text"/>	First Name* <input type="text" value="Mary"/>	Middle Name <input type="text" value="A"/>	Last Name* <input type="text" value="Poppins"/>	Suffix <input type="text"/>
CRD#* <input type="text"/>		Date of Birth* <input type="text" value="MM/DD/YYYY"/>		
Residential Address Line 1* <input type="text" value="3802 Pearl Avenue"/>		Residential Address Line 2 <input type="text"/>		
City* <input type="text" value="Tampa"/>	State* <input type="text" value="Florida"/>	Postal Code* <input type="text" value="33611-3517"/>	Country* <input type="text" value="United States"/>	
Business Phone* <input type="text" value="800-555-1234"/>		Personal Phone* <input type="text" value="301-123-4567"/>		
Business Email <input type="text"/>		Personal Email* <input type="text" value="FinProTester@yahoo.com"/>		

Personal phone may be used as part of identity verification (one-time passcode text) during the registration process.

Personal email is used to validate your account, complete the registration process, and reset passwords.

I'm not a robot

Submit



Financial Professional Gateway

[My Account](#) | [Feedback](#) | [Help](#) | [Sign out](#)

James C Demo
CRD: 123456

B Broker

Alternative Names:
J C Demo

0 Current Disclosures

0 Archived Disclosures

5 Passed Exams

Reminders

! You have a pending U4 filing request from **YOUR FIRM SECURITIES INC..** [Open Filing.](#)

Current Registrations

State Registrations

B Alabama **B** Montana

SRO Registrations

■ FINRA

I want to...

- [Print My Report](#)
- [Update Profile](#)
- [View My Form U5](#)
- [Enroll in SIE](#)

- Summary
- Employment
- Registrations
- Qualifications
- Continuing Ed
- Disclosures



To ask a question, please email webcrd@finra.org

Key Dates For Upcoming Changes

- **June 15**
 - CE 201 via FinPro utilizes new technology no longer requiring Adobe Flash
- **October 5**
 - All BD & IA firms will use the new filing experience for the U4 *
 - Reps will use FinPro to collaborate on the U4
 - CE 101 via FinPro utilizes new technology no longer requiring Adobe Flash
- **November 9**
 - All CE completed via FinPro

* Testing for the new filing experience for the U4 available now.

Resources

- **Key website locations**
 - Financial Industry Networking Directory website: finra.org/find
 - Securities Industry Essentials Exam: finra.org/sie
 - FinPro website: finra.org/finpro
- **Webinar recordings: finra.org/webinars**
 - Enhanced Form U4
 - Registration Systems Changes
 - FinPro
- **Registration and Licensing email list: tools.finra.org/email_subscriptions**
 - Invitations to future webinars
 - CRD program announcements
 - Feedback opportunities
- **Other resources:**
 - FINRA Gateway rollout: finra.org/finragateway
 - Digital Experience Transformation (DXT): finra.org/filing-reporting/dxt
 - Email registration-related questions to webcrd@finra.org