

Introducing FINRA Gateway, FINRA's New Front Door

Powered by the Digital Experience Transformation (DXT)

September 2020

Agenda

Improving FINRA's Digital Experience

Building With Our Users

Key Features

FINRA Gateway Demo

Rollout and What's Next

Resources

Powered by the Digital Experience Transformation (DXT)

Simplify digital interactions with FINRA to reduce industry compliance costs while enabling proactive and efficient compliance programs



- Reduce industry operational burden
- Deliver streamlined experience to users
- Enhance data submission, discovery and export
- Surface/guide compliance tasks
- Ease of use/less dependence on FINRA staff
- Decrease industry compliance costs

Why build a next generation Firm Gateway?

There are opportunities...

Cleaner starting point at logon

Align FINRA tasks and information to user's role and needs

Clarity around outstanding compliance tasks

Fewer repetitive and labor-intensive tasks

Connection between FINRA requirements and firm reporting tasks

Flexible access and use of FINRA data

Thematic Changes

We are not changing the work to be done; we are streamlining the way in which you do the work

Primary focus on compliance work to be done

Enable customization today and personalization in the future

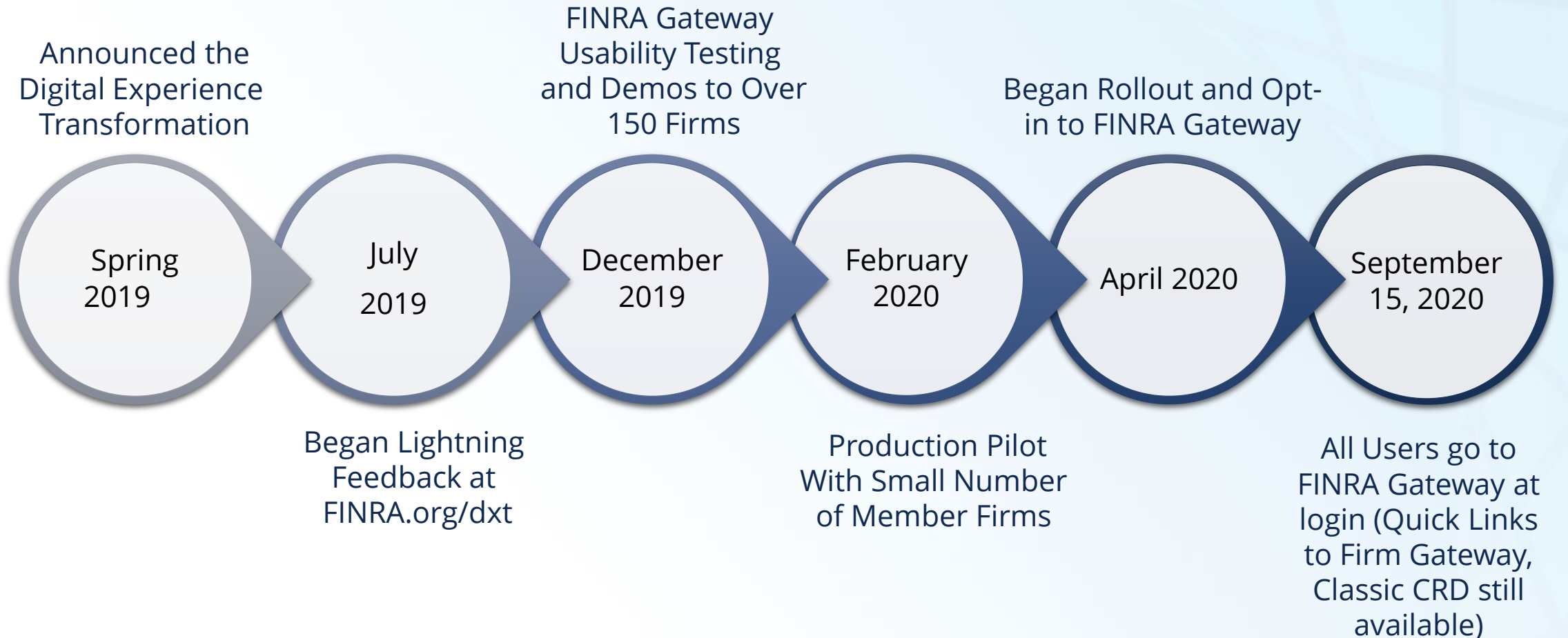
Amplify transparency around reporting and compliance events

Simplify and automate redundant tasks where feasible

Empower self-service where possible

Ease the challenge of finding and using data from FINRA systems

Building With Our Users



Key Features at Rollout



Simplified User Experience

Customizable user experience that can be tailored to user needs



Profiles

Enhanced firm, branch and individual profiles with better navigation and access to forms



Requests

Consolidated list of all digital FINRA requests and work due in a single place with the ability to save filtered and sorted views



Reports

Ability to create, save and return to reports that have been created to user specification – now available for registered individual and branches



Support

A new way to contact the FINRA Call Center online through the system rather than on the phone



Quick Links

One-click access back to Classic Firm Gateway and Web CRD features

FINRA Gateway Demo

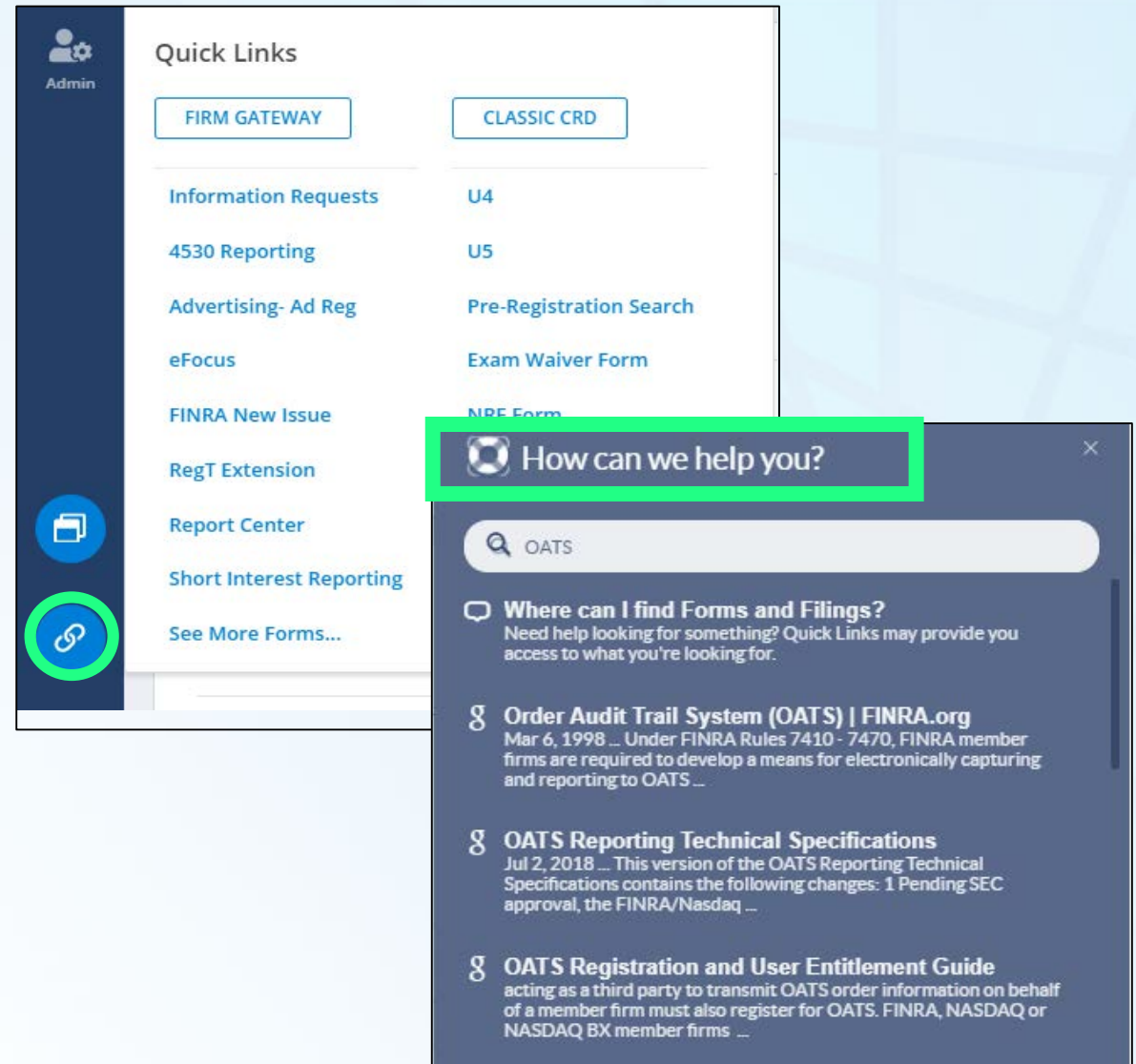
By 9/15 FINRA Gateway will become the Front Door for all FINRA Member Firms

By 9/15 users logging in to Firm Gateway on behalf of FINRA Member Broker Dealer firms will land in FINRA Gateway

- FINRA has not yet optimized the system for the Investment Adviser (IA) experience.
- Investment Advisers will be contacted when this functionality is available in the system.

Two Key Tips to help you navigate the system:

1. **Quick Links** can take you immediately to the systems you know
2. **How can we help you?** menu allows you to search for answers in-product and from FINRA .org



Rollout

Your engagement and feedback helps us optimize the rollout

Communication, Training, and Customer Support

- We will keep you posted at <https://www.finra.org/filing-reporting/dxt/finra-gateway>
- In-product tutorials will help guide you to new features at logon
- Training webinars are also being offered

Thank you for your Feedback!

- Most of the recent enhancements we have made are related to user feedback including:
 - Enhancements in **Quick Links** to ease the transition
 - Improved sizing of the **Pop-Over window**
 - Enhanced and easier **filtering for Reports**
 - Additional information in **Profiles**

What's Next?

We have been adding new capabilities throughout 2020:

- **New Features Planned**

- Improved **Requests** experience including highly-requested information such as Status and Request Case number
 - Enhanced data entry experience to **simplify submission of U4** and other filings
 - **Recent Links** to help you quickly return to where you left off
 - Enhanced **Contact Management and Notifications** to help you proactively manage compliance
 - Incorporation of **content from FINRA.org and a knowledge base** to help inform your work
- **Check out FINRA Gateway Release Notes** for the latest: <https://www.finra.org/filing-reporting/dxt/finra-gateway/release-notes>

Resources

- **Questions and Feedback?**
 - feedbackfinragateway@finra.org
- **FINRA Gateway Product Page**
 - <https://www.finra.org/finra-gateway>
- **Feedback on New and Upcoming Features**
 - <https://www.finra.org/filing-reporting/finra-gateway/user-research>- Lightning Feedback