FINRA’s Digital Transformation and New CRD Expansion
Wednesday, May 15
1:45 p.m. – 2:45 p.m.

FINRA’s Digital Transformation focuses on a series of new FINRA systems and tools to transform FINRA’s external digital experience with the goal of helping the industry reduce costs, run more effective compliance programs and enable automation to increase efficiency. During this session, FINRA and industry staff discuss the strategic plan, goals, roadmap, and 2019 highlights including the new CRD system. The new CRD platform provides a glimpse into what to expect in the future from FINRA and how your firm will benefit from these improvements.

Moderator: Bill Swanstrom
Vice President, Registration and Disclosure Business Services
FINRA Registration and Disclosure’s Business Development and Innovation

Panelists: Janet Dyer
Vice President, Institutional Compliance
Fidelity Investments

Noah Egorin
Product Manager and Senior Director
FINRA Registration and Disclosure’s Business Development and Innovation

Ivy Ho
Vice President, Enterprise Shared Applications
FINRA Industry & Investor Technology
FINRA’s Digital Transformation and New CRD Expansion Panelist Bios:

Moderator:

**Bill Swanstrom**, Vice President, FINRA Registration and Disclosure, leads business development, innovation and strategic initiatives that leverage RAD’s licensing systems and business services as well as overseeing the Gateway Call Center. Mr. Swanstrom’s focus is on outreach and expanding the role and impact that member firms have when it comes to licensing and registration systems and services. The new CRD system and Financial Professional (FinPro) Gateway are opportunities to leverage technology, respond to industry challenges and introduce a more effective licensing platform. These systems will focus on enabling firm compliance, reducing administrative burden, simplifying requirements and improving the overall user experience. Throughout his tenure, Mr. Swanstrom sponsored the development, deployment and operation of the Nationwide Multistate Licensing System on behalf of FINRA for The Conference of State Bank Supervisors (CSBS). In addition, he has led numerous support consolidation initiatives to improve efficiency and expand the customer support model introducing improved access to information and enhanced communication channels for the Gateway Contact Center. The Gateway Contact Center staff includes the front-line responders for member firms, investors, compliance professionals, and the general public regarding compliance and registration questions, navigational support, and investor questions. The systems supported include: Web CRD, IARD, BrokerCheck, Firm Gateway, FinPro, Account Administration, E-Bill, OATS, and eFOCUS among others. He holds a Bachelor’s degree from Towson University in Political Science.

Panelists:

**Janet Dyer** is Vice President in Fidelity Investments’ Institutional Compliance team. In this role, Ms. Dyer leads the compliance team that supports Fidelity Capital Markets, as well as the team that manages the Firm’s regulatory inquiries and examinations. Ms. Dyer joined Fidelity Investments in 2005, and since that time has held various roles within its Institutional Compliance organization. Prior to joining Fidelity Investments, Ms. Dyer worked in financial services consulting and at a retail introducing broker/dealer. Ms. Dyer received her undergraduate degree from Western New England University, her MBA and MS in Information Systems from Boston University, and her juris doctorate from Suffolk University Law School.

**Noah Egorin** is Senior Director and Product Manager for Business Development & Innovation in FINRA’s Registration and Disclosure department. He is responsible for leading FINRA’s effort to modernize and transform the products the industry utilizes to meet their registration and disclosure obligations. Mr. Egorin is also focused on utilizing FINRA’s information, analyses, and unique role to create new products that benefit the financial services industry. Prior to his current role, Mr. Egorin led FINRA’s Firm Compliance Tools unit where he focused on developing tools to assist broker-dealers with compliance activities. His efforts have focused on compliance tool offerings associated with variable annuity exams, mutual funds, and municipal bond disclosure. In this role, Mr. Egorin was responsible for the FINRA Report Center (and associated Report Cards), FINRA’s Online Manual, and other interactive tools. He has also supported FINRA’s efforts to syndicate investor education materials and develop data interfaces for FINRA systems. Prior to joining FINRA, Mr. Egorin served as Group Manager for the Product Planning practice of the Adrenaline Group, a Washington, DC-based consulting firm that assisted firms with commercial product development, and also spent time as Program Manager on the Microsoft Office team in Redmond, WA. Mr. Egorin holds a BS in Computer Science from Washington & Lee University.

**Ivy Ho**, Vice President of Technology at FINRA, leads product development of a diverse portfolio of applications for FINRA’s external stakeholders including firms, SEC, other regulators and the public. Ms. Ho is a technology leader with more than 32 years’ experience in technology. Before joining FINRA in 2003, Ms. Ho held leadership positions consulting with large corporate clients in delivering innovative technology solutions to drive business strategy. Ms Ho began her career as a software engineer and assumed increasing responsibility in software architecture and project management with Marriott International and General Electric over a 10 year span.
FINRA’s Digital Transformation and New CRD Expansion
Panelists

Bill Swanstrom
Vice President, Registration & Disclosure Business Development & Innovation (FINRA)

Ivy Ho
Vice President, Industry & Investor Technology (FINRA)

Noah Egorin
Senior Director, Registration & Disclosure Business Development & Innovation (FINRA)

Janet Dyer
Vice President, Compliance (Fidelity Investments)
To Access Polling

- Under the “Schedule” icon on the home screen,
- Select the day,
- Choose the FINRA’s Digital Transformation and New CRD Expansion session,
- Click on the polling icon:
Who Is In The Room? (Live Poll)

- Big Firm
- Medium Firm
- Small Firm
- Vendor
- Regulator
- Consultant
- Other
What is your role in the organization? (Live Poll)

- Registration Professional
- Compliance
- Operations
- Technology
- Counsel
- Non-Firm
Introduce a modern, cost efficient, financial services registration system that allows FINRA to be responsive to change, support proactive compliance, enable an ecosystem and delight all of its users.
## Transformation Themes

<table>
<thead>
<tr>
<th>Designed To Get Work Done</th>
<th>Flexible Data Entry</th>
<th>Focus on Convenience</th>
</tr>
</thead>
<tbody>
<tr>
<td>Proactive Compliance</td>
<td>One-Stop Shop For Reps</td>
<td>Self-Service Reporting</td>
</tr>
<tr>
<td>Communication and Collaboration</td>
<td>Better Systems Integration</td>
<td>Increased Availability and Supported Devices</td>
</tr>
</tbody>
</table>

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Delivered to Firms

**Activities**
Consolidated view of the classic CRD Queues and provided features to customize and export the lists

**Individuals**
New interface for querying and viewing information about professionals

**FinPro**
Continued expansion of FinPro, including notifying professionals when U5 information is filed and improving the onboarding experience

**Customization**
Features that empower the user to display items relevant to their role, including activities, reports and quicklinks
### 2.707 ACTIVITIES

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<th>Description</th>
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<td>6/27/19</td>
<td>Details</td>
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</table>
Individual Profile

ROMA Spruill Askew

CRD: 7003039
Alternative Names: None

Position: Registered Representative

Current Office Location
CRD Branch No: 99684
Branch Billing Code: 
NYSE Branch Code: 

9609 KKY AVE
ROCKVILLE, MD 20850

Current Residential Address
Training Residence, Empire States
Reston, VA 20191

Current Registrations with your firm
State Registrations

- Alabama
- Alaska
- Arizona
- Arkansas
- California
- Colorado
- Connecticut
- Delaware
- District of Columbia
- Florida
- Georgia
- Hawaii
- Idaho
- Illinois
- Indiana

SRO Registrations

- FINRA
New CRD & FinPro Usage

New CRD

5,552 individuals have used New CRD and represent >45% of FINRA firms

FinPro

>73,000 professionals registered

4,528 U5 Notifications Sent
**Coming This Year**

**FinPro**
Enhancements to support firms’ and reps’ attestation of information in CRD and notification of CE

**Reporting**
Introduction of new functionality to utilize and customize CRD data

**Core Foundational Services**
Along with the core database moving to the cloud, firm configuration, new audit and notification functionality will be established

**Views**
Further enhancements to how firms view individuals, and new displays and functionality for firms and branch information

**Automation**
First new CRD APIs to allow for obtaining “real-time” data and supporting firm workflow

**Regulator Functionality**
New capability for FINRA's disclosure review staff, including automation, workflow and communication features
### Branch Profile

**Branch 1294822**

- **Branch Type:** OSJ
- **Operational Status:** Active
- **Branch Code:** G42
- **Firm Billing Code:** G42
- **Type of Regist./Notice Filing:** Broker-Dealer

**Other Business Names:**
- ABC & Associates
- ACE Insurance
- ABC Website
- XYZ Website

**CURRENT BRANCH OFFICE ADDRESS**
- 750 Washington Blvd, 5th Floor, Stamford, CT 06901
- Telephone: (203) 328-1160
- Fax: (203) 328-1199

### Activities (3)

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### Branch Registration
# Branch Profile: Data Exploration

## Related Branches (8)

### Staff (120)

Drag a column header here to group by column

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<tr>
<th>Name</th>
<th>CRD #</th>
<th>Billing Code</th>
<th>Position</th>
<th>Supervisor/Person in Charge</th>
<th>Start Date</th>
<th>End Date</th>
<th>Type of Association</th>
<th>Current Disclosures</th>
<th>SD</th>
<th>Other Business</th>
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<td>111113</td>
<td>10101</td>
<td>IA</td>
<td>Supervisor</td>
<td>Jul 21, 2010</td>
<td>Present</td>
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<td>RR</td>
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<td>Aug 01, 2009</td>
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<td>2</td>
<td>Yes</td>
<td>Yes</td>
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</table>
Under Development But Further Down The Road

Enhanced Data Collection
New experience for collecting required registration information (U4, U5)

Automation
Expansion of interfaces for interacting with registration data and automating submissions

Reporting
Increased capabilities to not only create and use reports but also explore data and analyses

Regulator Interactions
New functionality for firms to respond to inquiries, collaborate with FINRA and resolve regulatory tasks.
What do you use besides CRD (choose all that apply) (Live Poll)

- Firm Gateway
- Information Requests
- Other Forms & Filings
- Report Center
- Firm Profile
- FINRA Contact System
- Compliance Calendar
We’re Expanding! Introducing DXT

CRD Transformation was the beginning of the Digital Experience Transformation!

Digital Experience Transformation (DXT) will take the innovation beyond registration to address challenges across FINRA’s Digital Footprint including:

- Firm Gateway
- Information Requests
- Forms & Filings
- Reports and Exports
- Compliance Reminders
- Integrated Customer Support
Simplify digital interactions with FINRA to reduce industry compliance costs while enabling proactive and efficient compliance programs.
Efficient: Save Time and Reduce Effort

- Unified Worklist
- Filter out noise
- Find what you need quickly
### Firm Consolidated Worklist (Concept)

#### Firm Worklist

<table>
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<tr>
<th>Type / Subject</th>
<th>Description</th>
<th>Issued</th>
<th>Due</th>
<th>Status</th>
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<td>2018123454</td>
<td>Cycle Exam</td>
<td>03/01/2019</td>
<td>03/08/2019</td>
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<td>2018123456</td>
<td>Cause Exam</td>
<td>03/01/2019</td>
<td>03/08/2019</td>
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<td>FOCUS Part II/IIA Montly Filing Due</td>
<td>01/01/2019</td>
<td>04/15/2019</td>
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<tr>
<td>Certification</td>
<td>SAA Certification</td>
<td>04/22/2019</td>
<td>06/21/2019</td>
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### Data Views

- Update Broker (U4)
- Register a Broker (U4)
- Withdraw/Terminate Broker (U5)
- Information Requests
- View all FOCUS Filings

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*View more*...
### Branch Worklist (Concept)

**Branch Worklist**

<table>
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<th>Type / Subject</th>
<th>Description</th>
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**Filings**
Filings (Concept)

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view more...

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<td>04/15/2019</td>
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view more...

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Data Views...
Proactive: Improve Quality of Compliance

- Personalized and Actionable notifications
- Online collaboration with FINRA staff
- Flexible access to FINRA data for review and export
## Data Exploration & Data Export (Concept)

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</tr>
<tr>
<td>Firm (DFGH): Disclosure History</td>
<td>03/01/2019</td>
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<tr>
<td>Branch (1234567): CE Required</td>
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<tr>
<td>Branch (123456): Rep. Roster</td>
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<td>Potential ATS Cross Manipulation Details</td>
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<td>TRACE Quality of Market Details: Treasuries</td>
<td>04/22/2019</td>
<td>Share, Download</td>
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view more...
Flexible: Empower Self-Service & Automation

- Mobile-delivery of key features
- Machine-to-Machine integrations with firms and vendors
- Immediate, self-service customer support and online support ticket management
## Self-Service Support & Knowledge Base (Concept)

### Support

#### My Tickets

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<td>23456856</td>
<td>Cannot submit filing</td>
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*view more...*
So What Does This Mean for the Industry?

Opportunities

Benefits

Adapting to change

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