



Financial Professional Gateway (FinPro)

Overview Webinar

Registration & Disclosure

07/26/2018

Thank You for Attending
We will get started shortly

AGENDA

- 01 | Call Logistics & Introduction
- 02 | Introduction to FinPro
- 03 | Coming Soon
- 04 | Future Potential Functionality
- 05 | Q & A

1 | Call Logistics & Introduction

Call Logistics & Introduction

Important Information for Today's Call

○ Logistics

- All lines have been muted
- To ask a question during the call, email finprofeedback@finra.org

○ Speakers

- Bill Swanstrom, Vice President, Registration & Disclosure
- Noah Egorin, Senior Director, Registration & Disclosure
- Tom Weaverling, Director, Registration & Disclosure
- Deepa Parasuram, Director, FINRA Technology

2 | Financial Professional Gateway Basics

The Financial Professional Gateway provides current and former representatives direct access to resources and tools for managing their registration.

- **Review information available in Web CRD**
- **Review U5 information filed by firms**
- **Collaborate with firm on U4 filings**
- **Access continuing education**
- **Schedule exams**



Financial Professional Gateway

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



Summary



Employment



Registrations



Qualifications



Continuing Ed



Disclosures

JANE MICHEAL CALIBER

CRD: 6907240

Alternative Names:

None

0

Current Disclosures



0

Archived Disclosures



0

Passed Exams



Reminders



You have a S10 exam appointment scheduled on Aug 15, 2018. [See Exam Details.](#)



You have a 106 Continuing Education session window which opened May 25, 2018. [Launch CE Online.](#)



You have a pending U4 filing request from J.P. MORGAN SECURITIES LLC. [Open Filing.](#)

Current Registrations

Not Currently Registered

Home Address

Current Address

315 12th Street Unit 2, Palisades Park, NJ 07650

May 2017 - Present

Previous Address

500 Windsor Drive Apt 102, Palisades Park, NJ 07650

Dec 2013 - May 2017

11 W Harriet ave APT 106, Palisades Park, NJ 07650

Nov 2012 - Dec 2013



I want to...



Print My Report



Update Profile

Creating An Account & Logging In

Access key information on FINRA's web site (<http://www.finra.org/finpro>)

New users can create a FinPro account from this page.

Existing users can access the login screen from this page or directly (<https://finpro.finra.org>)

Way

dividuals (current or former representatives) direct access to ration requirements.

information available in the Web CRD/IARD systems, minations history, as well as view open education or firm on U4 filings. »

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tions. »

Troubleshooting

ts for using the Financial Professional Gateway, plus how to



LAUNCH FINPRO

[Create a FinPro Account](#)

SYSTEM REQUIREMENTS

Devices Supported


- Desktop
- Laptop
- Tablet
- Smartphone

Browsers Supported

- IE 11 or higher
- Firefox 45 or higher
- Chrome 53 or higher
- Safari 9 or higher

FinPro Experience – Create Profile



 **Financial Professional Gateway** Feedback | Help

Create Profile

Prefix

First Name*

Middle Name

Last Name*

Suffix

First Name is required

New User ID*

Generate new ID from First and Last Name

SSN*

####

Date of Birth*

MM/DD/YYYY

Residential Address Line 1*

Residential Address Line 2

City*

State*

Postal Code*

Country*

United States

Business Phone*


Personal Phone

Business Email

Personal Email*

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

I'm not a robot



reCAPTCHA


Privacy - Terms

Register

If you are experiencing any difficulties, please contact the Gateway Call Center at (240) 386-4040 for assistance.

FinPro Experience – Identity Verification




**Financial Professional Gateway**Christine | [Help](#) | [Sign-out](#)

☒ PRIVACY STATEMENT

☒ PROFILE CREATION

☒ PASSWORD RESET

☐ IDENTITY VERIFICATION

Powered by  **TransUnion**

Your credit report indicates that you may have a closed Mortgage loan which you may have closed around October 2012. Select the lender name from the choices below

☐ Cenlar Mtg

☐ Green Tree

☐ Hobb Bank Usa N A

☐ Onwest Bank Fob

☐ None of the Above

In which of the following states have you had a drivers license?

☐ California

☐ New Mexico

☐ North Dakota

☐ Wisconsin

☐ None of the Above

Which of the following addresses belongs to a business you are currently or previously associated with?

☐ 10254 Majestic

☐ 3280 Rosemond Suite 11

☐ 336 Forest Fair



☐ 4475 Chamblee

☐ None of the Above

Submit

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[Privacy](#) | [Legal](#)  

3 | Coming Soon

Coming Soon

○ Functionality

- Notifications for FinPro users when new U5 information is posted
- Communication from firm to rep about “Rep Edits” will reference FinPro

○ Preparing For Broader Availability

- Materials to assist your communication with representatives about getting started and using FinPro

4 | Future Potential Functionality

Future Potential Functionality

Concept	Description
Firm Configuration	Functionality that allows firms to customize the available functionality and experience for representatives registered with their firm
Representative Notifications	Ability for FINRA, regulators, and firms to send alerts and notifications to the representative via FinPro
Representative-Initiated Record Updates	Ability to allow representatives to update information that would be routed to firms for submission to FINRA. Examples actions could include: OBA request, address changes, and registration request.
Representative Attestation	Ability to allow firms to have representatives acknowledge accuracy of information currently on record and make appropriate changes.
“eSignature”	Allowing the representative to acknowledge information being filed.
Representative Direct Pay	Allow individuals to pay FINRA fees directly
Status Transparency	Ability for a representative to see the current status of registrations being processed and reviewed by firms, FINRA, and other regulators.

5 | Q&A & Conclusion



Conclusion

Thank you for participating in today's call.

For further information on FinPro, please visit www.finra.org/finpro

For information on changes coming to CRD and future industry calls, please visit www.finra.org/newcrd

Please send additional questions about FinPro and feedback on today's call to finprosupport@finra.org