Dynamic Reporting
Web Interface User Guide

Version 0.2

01-10-20
## Revision History

<table>
<thead>
<tr>
<th>Date</th>
<th>Author</th>
<th>Version</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>10-04-19</td>
<td>Zolboo Dashzeveg</td>
<td>0.1</td>
<td>Initial draft</td>
</tr>
<tr>
<td>01-10-20</td>
<td>Zolboo Dashzeveg</td>
<td>0.2</td>
<td>Updated Dynamic Reporting style to reflect the new FINRA Gateway that’s coming as part of FINRA’s Digital Experience Transformation initiative.</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>The count columns will appear in the report grid when any or all columns under a top-level column is selected to be displayed in the grid. For example, if you’ve selected Regulator Code column under Registrations in Individual Roster template, you will need to click on the Registrations count to see the associated regulators with the individual’s registrations.</td>
</tr>
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Introduction

A product of our Digital Experience Transformation (DXT) and Registration System Transformation (RST) initiatives, Dynamic Reporting makes it easy for firm registration and compliance staff to answer common questions and make informed decisions using the most current individual and branch registration data available. This User Guide provides an overview of this new capability with a step-by-step instruction for the firm users.

This is a companion document to the following Dynamic Reporting Resources:

  This resource provides a quick-start video tutorial and overview of Dynamic Reporting.

  This resource provides description of all data and allowable values for Dynamic Reporting with Individual dataset.

  This resource provides description of all data and allowable values for Dynamic Reporting with Individual dataset.

If you have a Feature Suggestion, Technical Issue, Data Issue or any Other requests, please use our feedback form here: [https://finra.aha.io/idea_portals/4ed89c5d3528ae736c7cfadd1e5f959d/ideas/new](https://finra.aha.io/idea_portals/4ed89c5d3528ae736c7cfadd1e5f959d/ideas/new). Your feedbacks are essential for us to continuously improve Dynamic Reporting and to provide you the best user experience possible.
Only FIRM users with ‘My CRD – Reports’ entitlement can ACCESS to Dynamic Reporting.

<table>
<thead>
<tr>
<th>My CRD:</th>
<th>User</th>
<th>Administrator</th>
</tr>
</thead>
<tbody>
<tr>
<td>Activities:</td>
<td>User</td>
<td>Administrator</td>
</tr>
<tr>
<td>Reports:</td>
<td>User</td>
<td>Administrator</td>
</tr>
</tbody>
</table>

1. Access [https://data.finra.org](https://data.finra.org) and insert your new CRD credential and click Accept.

**Note:** You can also access Dynamic Reporting from Web CRD and New CRD directly.
- In the Web CRD, click on Dynamic Reporting link under Reports.
- In the New CRD, add the Dynamic Reporting to your favorites in Quick Links first and click on the link.

There’s also login link and other support information available on [https://www.finra.org/filing-reporting/dxt/dynamic-reporting](https://www.finra.org/filing-reporting/dxt/dynamic-reporting).
Welcome to the Dynamic Reporting!

2. My Custom Reports dashboard will be empty when you first land on Dynamic Reporting homepage but FINRA has created sample reports under Dynamic Report Templates dashboard for you to start creating your own custom reports from. To see all available sample reports, scroll down in Dynamic Report Templates dashboard. This catalog will grow with time as we add more and more data to the Dynamic Reporting.

Note: Dynamic Reporting currently contain limited CRD and FinPro data for firm individuals and branches. The data refreshes continuously throughout the day in Dynamic Reporting compared having to wait until the next day to retrieve updated CRD data for your reports in the old system.

See below how Dynamic Report Templates are configured to help you get a quick start on creating custom reports for your firm using different data sets and customizations.

<table>
<thead>
<tr>
<th>Template Title</th>
<th>Data Set</th>
<th>Template Configuration</th>
</tr>
</thead>
<tbody>
<tr>
<td>Individual Roster</td>
<td>Individuals</td>
<td>Individual Data Columns: Individual CRD#</td>
</tr>
<tr>
<td>Pending Registration Roster</td>
<td>Individuals</td>
<td>Individual Data Columns and Filtered by: Registrations-Registration Status Name = PENDING</td>
</tr>
<tr>
<td>CE Required Roster</td>
<td>Individuals</td>
<td>Individual Data Columns and Filtered by: Current CE Status = REQUIRED</td>
</tr>
<tr>
<td>Exam Status Roster</td>
<td>Individuals</td>
<td>Individual Data Columns and Grouped by: Status Name under Completed Exams</td>
</tr>
<tr>
<td>Registration Status Roster</td>
<td>Individuals</td>
<td>Individual Data Columns and Grouped by: Registration Status Name under Registrations</td>
</tr>
<tr>
<td>FinPro Access Tracking</td>
<td>Individuals</td>
<td>Individual and FinPro Data Columns: Individual CRD#</td>
</tr>
<tr>
<td>Branch Roster</td>
<td>Branches</td>
<td>Branch Data Columns: Branch CRD#</td>
</tr>
<tr>
<td>Reportable Disclosure Roster</td>
<td>Individuals</td>
<td>Individual Data Columns and Filtered by: Disclosures-Reportable Flag = YES</td>
</tr>
<tr>
<td>Active and OSJ Roster</td>
<td>Branches</td>
<td>Branch Data Columns and Filtered by: Branch Operational Status = ACTIVE and Office of Supervisory Jurisdiction? = YES</td>
</tr>
<tr>
<td>Deficient Status Roster</td>
<td>Branches</td>
<td>Branch Data Columns and Filtered by: Branch Operational Status = ACTIVE AND Grouped by: Branch Deficiency Status</td>
</tr>
</tbody>
</table>
3. Now, to create custom report(s) with your firm’s individual data set, please start by clicking on one of the individual templates e.g. Individual Roster.

Note: If you would like to create custom report(s) with your firm’s branch data set, please start with Branch Roster, Active and OSJ Roster or Deficient Status Roster which contain the CRD branch data.

4. You can start exploring your firm’s individual data by clicking on one of the counts (as shown below) to see the record details for each individual within the nested table.
To collapse the expanded table, click on the number again.

**Note:** If you notice data hidden or cutoff in some of the columns, please hover over the column name and double-click to autosize the column.
5. **GRID MENU.** If you’re not seeing all of the data in columns or would like to pin certain columns or reset to go back to the beginning, hover over a column name and you will see the breadcrumb appear.

6. Click on the breadcrumb and you can apply or remove pin, autosize this column or all columns, and reset the entire columns display.

7. **To COPY a value or COPY WITH HEADER,** right click on the value within a column.

---

**Individual Roster**

<table>
<thead>
<tr>
<th>Individual CRID#</th>
<th>First Name</th>
<th>Last Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Engedi</td>
<td>Fernand</td>
</tr>
<tr>
<td>100</td>
<td>Ivo</td>
<td>Cervera</td>
</tr>
<tr>
<td>1000</td>
<td>Tisdale</td>
<td>Aburto</td>
</tr>
<tr>
<td>10000</td>
<td></td>
<td>Fombella</td>
</tr>
<tr>
<td>100000</td>
<td></td>
<td>Amri</td>
</tr>
<tr>
<td>1000000</td>
<td></td>
<td>Lancha</td>
</tr>
<tr>
<td>100000000</td>
<td>Saro</td>
<td>Ould Mc</td>
</tr>
</tbody>
</table>
8. COLUMNS. Start customizing your individual report by clicking on Columns button.

![Columns interface]

9. Click on Expand All Group to see all columns available in the Set Columns panel. To choose which individual fields or columns to display check or uncheck columns and click APPLY.

![Set Columns interface]

You can also click ‘Clear to Default View’ which will default the column selection to the column setting of the template you’ve started with.

**Note:** If you can’t find the column you are looking for, please click Ctrl+F on Window or Command+F on Mac and do quick search after you’ve expanded all groups.
10. FILTER. Click Filter button.

11. In the Filter By panel, click on Find Filter box and search for a column that you would like to filter your firm individuals by e.g. Current CE Status.

And click on the Current CE Status to open the filter operator.
12. Insert the value e.g. ‘Required’ in the Current CE Status column and click Add.

Note: Click on Data Dictionary if you have trouble identifying the filterable values per column to filter your firm individuals by. There are separate data dictionaries with columns and filterable values for you firm individuals when you access Individual Roster template and branches when you access Branch Roster template.
13. Upon adding all of the filters, click the Apply button in the Filter By panel to narrow down your firm individuals.

**Note:** If you are seeing no results, please click Clear All Filters and APPLY to restart the filtering.

To make sure your individuals are narrowed by Current CE Status = Required, you can click on Columns and check the Current CE Status column which the filter was applied to.
14. GROUP. Click on the Group button.

15. Check the column(s) that you want to group your firm individuals by e.g. Current CE Status and click APPLY.

Note: You can click Expand All Groups if you can’t find the column you are seeking here. You can also Clear All Groups if you’ve selected too many columns and would like to restart.
16. You can see below the number of individuals in your firm in each Current CE Status e.g. 901 individuals are required to satisfy the continuing education requirement. Now click on Required to drilldown on which individuals are required to complete the CE requirement.

<table>
<thead>
<tr>
<th>Individual Roster</th>
</tr>
</thead>
<tbody>
<tr>
<td>Current CE Status</td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
</tbody>
</table>

17. **SORT.** Click on the column name to sort your report data e.g. sort your report by individuals’ Last Name A to Z or Z to A.

**Note:** All text value columns can be sorting from A to Z or Z to A. All Date and Number columns can be sorted by Ascending or Descending. Dynamic Reporting currently does not support count sorting e.g. Registrations.
18. **EXPORT.** Click on Export button to export your customized report in CSV file. Your browser will download the zipped file.

*Note:* If you are experiencing long delay in exporting, please narrow down your results by applying filters. Exporting extensive records could take up to 10 minutes to download. Grouped export will flatten the individuals or branches per applicable group column value. And exporting nested tables or counts e.g. registrations will only export the number for now but the export feature will expand in the future.

19. **SAVE.** To save your customized report, click the Save button.
20. Insert Title for your customized report and click SAVE to save it to My Custom Report to access it later.

Note: Allowable characters for saving are letters, numbers and hyphens.

21. To access your saved report, click on the Home button to go back to your Dynamic Reporting homepage.
22. All of your saved custom reports will be accessible in the My Custom Reports dashboard. If you would like to update your customized report, click on the Title in My Custom Reports dashboard, make your changes and click Save.

23. To Delete your saved custom report, click on the Bin icon.
24. Delete Custom Report? panel will pop-up. And click YES, DELETE REPORT button.

25. BROWSER. To access Dynamic Reporting application, the firm users will need one of the following web browsers: Chrome, Safari, Firefox or Edge. Dynamic Reporting does not support Internet Explorer.

Internet Explorer is not supported. Please try one of these browsers instead:

- Chrome
- Safari
- Firefox
- Edge

Note: Internet Explorer support will be phased out for FINRA applications.
26. If you would like to see more columns and data to be displayed in your browser, click on the Control button on the right side of your browser and Zoom Out as shown below in Chrome.

![Individual Roster](image1)

**Note:** Mobile Device friendly experience will be coming to Dynamic Reporting in the near future.

27. If you would like to PRINT, click Ctrl+P (Windows) or Command+P (Mac) on your keyboard. Print screen will pop-up in your browser. Choose your settings and click Print using system dialog and click Print button.

![Print Settings](image2)

**Note:** A user friendly print feature is being considered to be added to Dynamic Reporting in the near future. If this is important to your functions, please provide your feedback below to help us prioritize to deliver this sooner.
28. Click on the link below to provide all of your FEEDBACK on Dynamic Reporting. Your feedbacks are extremely valuable in making Dynamic Reporting suited to your needs.

https://finra.aha.io/idea_portals/4ed89c5d3528ae736c7cfadd1e5f959d/ideas/new

You can also click on the question mark icon on the top right corner and click Give Feedback link to access the Feedback portal: