

FINra[®]

Regulator E-Bill User Guide

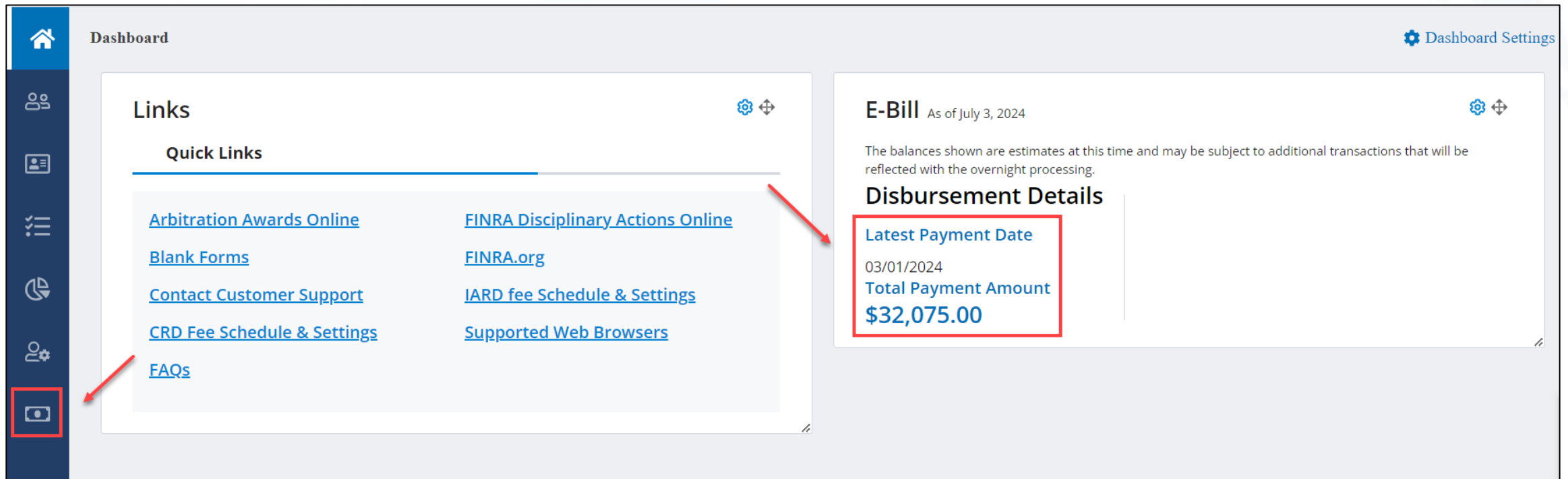
July 2024

Introduction

- As part of FINRA's continued system modernization activities, the FINRA E-Bill application has been integrated with the Regulator Workspace platform.
- The Disbursement Detail Report (DDR) and other transaction information will now be accessed via a new E-Bill widget on the Regulator Workspace dashboard.
- There are no new entitlements required to continue accessing E-Bill. Regulator Super Account Administrators (SAA) will continue to entitle other regulator users just as before.

Accessing E-Bill

- E-Bill is now available to entitled users via the Regulator Workspace dashboard.
- To view accounting information in E-Bill, click the latest payment information in the E-Bill widget or click the E-Bill icon on the left navigation panel.
 - Note: If the E-Bill widget is not displaying, click the “ADD WIDGETS” button and select E-Bill.



E-Bill Account Details

- The Account Details feature allows users to view details about previous payments.
 - Users first input a payment date range (defaults to last 12 months) and then select a specific payment date using the dropdown.

The screenshot displays the 'Account Details' section for California. At the top, there are tabs for 'Account Details' and 'Reports'. Below the state name, it indicates 'Data available from 04/01/2014'. A red box highlights the 'Payment Date Range' filter, which is set from 07/02/2023 to 07/02/2024. Below this, another red box highlights the 'Payment Date(s)' dropdown menu, which is currently open and showing a list of dates: 03/01/2024 (selected), 03/01/2024, 02/23/2024, 02/16/2024, and 02/09/2024. To the right of the dropdown are 'APPLY' and 'CLEAR' buttons. Below the filters is a table with columns: Payment Date, Transaction #, Filing ID, Individual Name, Individual CRD #, and Description. The table contains several rows of payment data.

Payment Date	Transaction #	Filing ID	Individual Name	Individual CRD #	Description
03/01/2024	50489174	63799978	[REDACTED]	[REDACTED]	CA Individual
03/01/2024	50489855	63759307	[REDACTED]	[REDACTED]	CA Individual
03/01/2024	50493147	63800086	[REDACTED]	[REDACTED]	CA Individual
03/01/2024	50494944	63799736	[REDACTED]	[REDACTED]	CA Individual
03/01/2024	50496066	63800327	[REDACTED]	[REDACTED]	CA Individual
03/01/2024	50496471	63800461	[REDACTED]	[REDACTED]	CA Individual
03/01/2024	50501165	63809710	[REDACTED]	[REDACTED]	CA RA Regist

E-Bill Account Details (continued)

- Filtering is available using the menu icon at the top of each column.

California ()
 Data available from 04/01/2014

Payment Date Range: 07/09/2023 To 07/09/2024

Payment Date(s): 03/01/2024 APPLY CLEAR



Payment Date	Transaction Date	Transaction #	Filing ID	Individual Name	Individual CRD #	Description
03/01/2024	02/20/2024	50489174	63799978	CA Individual Reg. Fee
03/01/2024	02/20/2024	50489855	63759307	CA Individual Reg. Fee
03/01/2024	02/21/2024	50493147	63800086	CA Individual Reg. Fee
03/01/2024	02/21/2024	50494944	63799736	CA Individual Reg. Fee
03/01/2024	02/21/2024	50496066	63800327	CA Individual Reg. Fee
03/01/2024	02/21/2024	50496471	63800461	CA Individual Reg. Fee
03/01/2024	02/22/2024	50501165	63809710	CA RA Registration Fee

E-Bill Reports

- Selecting the Reports tab will allow users to request the full Disbursement Detail and Accounting Summary reports in PDF or CSV format.
- Once generated, reports are available to view and download at the bottom of the page.

Account Details **Reports**

California ()
 ⓘ Data available from 04/01/2014

Report	Report Purpose	Payment Date	
Disbursement Detail	This report provides State/SRO Disbursement details for a payment date.	Select Date: 03/01/2024	<input type="button" value="GENERATE PDF"/> <input type="button" value="GENERATE CSV"/>
Accounting Summary	This report provides accounting summary for a jurisdiction for the selected date range.	Select Date Range: 06/02/2024 To 07/02/2024	<input type="button" value="GENERATE PDF"/> <input type="button" value="GENERATE CSV"/>

Report Requests In The Last 30 Days

Report Generation Date	Report	Date	Export
07/02/2024	Disbursement Detail	03/01/2024 to 03/01/2024	<input type="button" value="Export"/>

E-Bill Disbursement Detail Report PDF

- Sample of the PDF version of the report:

Report Run Date: 07/02/2024						FINRA E-Bill System			
Account: ██████ (CALIFORNIA DEPT OF CORPORATION)						Disbursement Detail Report: 03/01/2024			
<u>Transaction Date</u> <u>Post Date</u>	<u>Transaction #</u>	<u>Individual CRD #</u>	<u>Individual Name</u>	<u>Filing ID</u>	<u>Description</u>	<u>Org CRD #</u>	<u>Org Name</u>	<u>Branch CRD #</u>	<u>Amount</u>
02/23/2024 02/25/2024	50505194	██████	██████	63708293	CA Individual Reg. Fee	██████	██████	██████	\$25.00
02/23/2024 02/25/2024	50507004	██████	██████	63806395	CA Individual Reg. Fee	██████	██████	██████	\$25.00
02/23/2024 02/25/2024	50508250	██████	██████	63826102	CA Individual Reg. Fee	██████	██████	██████	\$25.00
02/23/2024 02/25/2024	50510062	██████	██████	63828156	CA Individual Reg. Fee	██████	██████	██████	\$25.00

E-Bill Disbursement Detail Report CSV

- Sample of the CSV version of the report:

	A	B	C	D	E	F	G	H	I	J
1	Regulator CRD	Regulator Name	Payment Reference Number	Payment Date	Payment Amount	Transaction Date	Transaction Number	Filing ID	Individual CRD	Individual Name
2		CALIFORNIA DEPT OF CORPORATION	WIR-EFT-928517	3/1/2024	32075	2/27/2024	50525132	57389559		
3		CALIFORNIA DEPT OF CORPORATION	WIR-EFT-928517	3/1/2024	32075	2/27/2024	50523030	62687211		
4		CALIFORNIA DEPT OF CORPORATION	WIR-EFT-928517	3/1/2024	32075	2/28/2024	50530195	62687915		
5		CALIFORNIA DEPT OF CORPORATION	WIR-EFT-928517	3/1/2024	32075	2/29/2024	50535202	63040277		
6		CALIFORNIA DEPT OF CORPORATION	WIR-EFT-928517	3/1/2024	32075	2/29/2024	50535202	63040277		
7		CALIFORNIA DEPT OF CORPORATION	WIR-EFT-928517	3/1/2024	32075	2/23/2024	50506551	63042930		
8		CALIFORNIA DEPT OF CORPORATION	WIR-EFT-928517	3/1/2024	32075	2/23/2024	50506525	63313724		
9		CALIFORNIA DEPT OF CORPORATION	WIR-EFT-928517	3/1/2024	32075	2/28/2024	50532488	63875711		
10		CALIFORNIA DEPT OF CORPORATION	WIR-EFT-928517	3/1/2024	32075	2/26/2024	50516846	63392407		
11		CALIFORNIA DEPT OF CORPORATION	WIR-EFT-928517	3/1/2024	32075	2/29/2024	50539245	63405070		
12		CALIFORNIA DEPT OF CORPORATION	WIR-EFT-928517	3/1/2024	32075	2/28/2024	50531771	63423293		
13		CALIFORNIA DEPT OF CORPORATION	WIR-EFT-928517	3/1/2024	32075	2/23/2024	50507029	63463322		
14		CALIFORNIA DEPT OF CORPORATION	WIR-EFT-928517	3/1/2024	32075	2/27/2024	50526936	63464868		
15		CALIFORNIA DEPT OF CORPORATION	WIR-EFT-928517	3/1/2024	32075	2/27/2024	50521066	63470351		
16		CALIFORNIA DEPT OF CORPORATION	WIR-EFT-928517	3/1/2024	32075	2/23/2024	50507062	63472173		
17		CALIFORNIA DEPT OF CORPORATION	WIR-EFT-928517	3/1/2024	32075	2/28/2024	50530591	63479239		
18		CALIFORNIA DEPT OF CORPORATION	WIR-EFT-928517	3/1/2024	32075	2/23/2024	50508529	63481766		
19		CALIFORNIA DEPT OF CORPORATION	WIR-EFT-928517	3/1/2024	32075	2/26/2024	50517814	63491551		
20		CALIFORNIA DEPT OF CORPORATION	WIR-EFT-928517	3/1/2024	32075	2/23/2024	50506984	63524261		
21		CALIFORNIA DEPT OF CORPORATION	WIR-EFT-928517	3/1/2024	32075	2/23/2024	50506984	63524261		
22		CALIFORNIA DEPT OF CORPORATION	WIR-EFT-928517	3/1/2024	32075	2/23/2024	50507173	63526326		
23		CALIFORNIA DEPT OF CORPORATION	WIR-EFT-928517	3/1/2024	32075	2/26/2024	50517685	63531391		
24		CALIFORNIA DEPT OF CORPORATION	WIR-EFT-928517	3/1/2024	32075	2/29/2024	50537241	63535241		
25		CALIFORNIA DEPT OF CORPORATION	WIR-EFT-928517	3/1/2024	32075	2/29/2024	50535446	63536681		

FAQs

- Have there been any changes to the schedule or contents of the DDR?
 - **Answer:** No. Reports will be available on the same schedule and will contain the same information.
- Will the renewal reports also be available in E-Bill?
 - **Answer:** Not at this time. Users should still retrieve renewal reports from Web CRD/IARD. Moving renewal reports to E-Bill can be considered in a future system release.
- What are the support contacts for E-Bill?
 - **Answer:** Please direct questions to the FINRA Support Center at 240-386-4242 or reg.support@finra.org, or to the NASAA Corporate office at contact@nasaa.org.