Enhanced U4 Online Filing Experience Webinar

March 2020
Agenda

- Recap
- Demo
- Milestones
- Key U4 Launch Details
- March Testing Details
- Q&A
Recap of February Webinar

- The February webinar covered themes of changes to the U4 filing experience

- Firms that missed the first webinar can access the presentation and associated recording on the Enhanced U4 Webinar page: [https://www.finra.org/events-training/webinars/enhanced-u4-filing-experience](https://www.finra.org/events-training/webinars/enhanced-u4-filing-experience)

- Information about other FINRA Systems Webinars is available on the FINRA Webinars page: [https://www.finra.org/events-training/webinars](https://www.finra.org/events-training/webinars)
Demo

- Navigation From FINRA Gateway to U4
- Deep Dive into a Disclosure Reporting Page (DRP)
- New “Allow Rep Edits” using FinPro (Financial Professional Gateway) Experience
Milestones

**New U4**

- **Firm Testing Begins**
  - March 2020
  - Standalone U4 filing experience

- **Firm Testing Continues**
  - April 2020
  - U4 filing experience for firms integrated with new FINRA Gateway
  - Expand FinPro outreach

- **Firm Testing Continues**
  - May 2020
  - U4 filing experience for reps integrated with FinPro

- **Production Preview**
  - June 2020
  - Onboard interested firms to the new U4 experience (without ability to submit)

- **U4 Launch**
  - July 2020
  - All BD & IA firms will use the new filing experience for U4
  - Reps will use FinPro to collaborate on the U4

**Classic CRD**

- Classic CRD U4 Data Entry Experience (for BDs and IAs)
- Classic CRD Registered Rep U4 site
Key U4 Launch Details

- Firm users will be required to use the new functionality to submit U4 filings.
  - The existing CRD U4 filing experience will be removed.

- The Registered Representative Site will be retired: https://filing.crd.finra.org/crdmain
  - Reps will need to access draft U4 filings in FinPro. More information available at: finra.org/finpro

- Filing experience for U5/BR and the other forms will remain unchanged for now.

- Web EFT subscribers are not affected, and schemas for U4 batch filings will not be changing.
March Testing Details

- First opportunity to test a standalone version of the enhanced U4 experience will begin during the week of March 30.
  - Initially, only the enhanced U4 experience will be available; it will be integrated with other system functionality in the coming weeks.

- Interested users should enter their information in the testing section of the post-webinar survey that will be sent this afternoon.
  - We also have the list of volunteers from the February post-webinar survey.

- We will onboard interested users in waves, adding a new group each week.
  - Users are required to have current entitlement to submit Form U4 in Classic CRD in order to participate in testing.
Resources

- Be in the Know: finra.org/registration-exams-ce/new-crd/be-know
- Digital Experience Transformation (DXT): finra.org/filing-reporting/dxt
- Subscribe to Registration and Licensing Subscription List: tools.finra.org/email_subscriptions
- Register for upcoming webinars
- Email questions to webcrd@finra.org