

Introducing FINRA Gateway

Powered by the Digital Experience Transformation (DXT)

March 2020

Agenda

Improving FINRA's Digital Experience

Building With Our Users

Key Features

FINRA Gateway Demo

Rollout and What's Next

Resources

Powered by the Digital Experience Transformation (DXT)

Simplify digital interactions with FINRA to reduce industry compliance costs while enabling proactive and efficient compliance programs



- Reduce industry operational burden
- Deliver streamlined experience to users
- Enhance data submission, discovery and export
- Surface/guide compliance tasks
- Ease of use/less dependence on FINRA staff
- Decrease industry compliance costs

Why build a next generation Firm Gateway?

There are opportunities...

Cleaner starting point at logon

Align FINRA tasks and information to user's role and needs

Clarity around outstanding compliance tasks

Fewer repetitive and labor-intensive tasks

Connection between FINRA requirements and firm reporting tasks

Flexible access and use of FINRA data

Thematic Changes

We are not changing the work to be done; we are streamlining the way in which you do the work

Primary focus on compliance work to be done

Enable customization today and personalization in the future

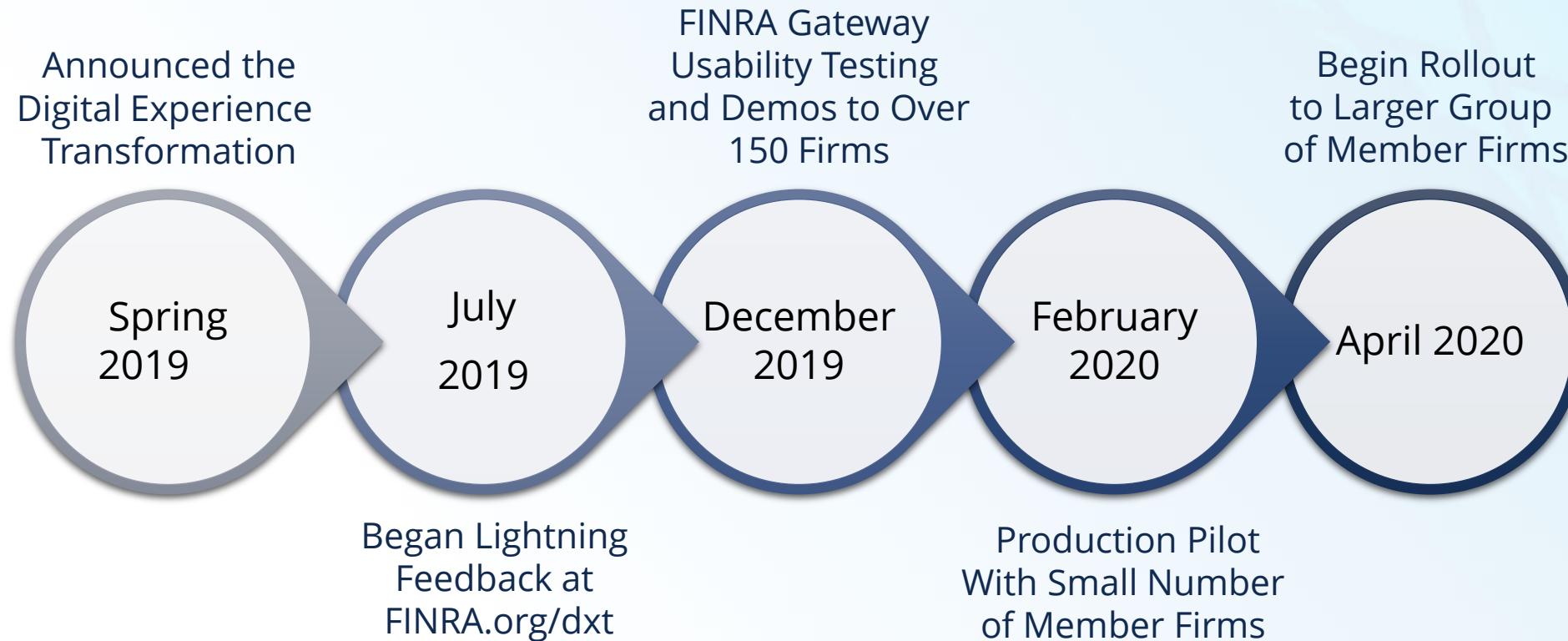
Amplify transparency around reporting and compliance events

Simplify and automate redundant tasks where feasible

Empower self-service where possible

Ease the challenge of finding and using data from FINRA systems

Building With Our Users



Key Features at Rollout



Simplified User Experience

Customizable user experience that can be tailored to user needs



Requests

Consolidated list of all digital FINRA requests and work due in a single place with the ability to save filtered and sorted views



Support

A new way to contact the FINRA Call Center online through the system rather than on the phone



Profiles

Enhanced firm, branch and individual profiles with better navigation and access to forms



Reports

Ability to create, save and return to reports that have been created to user specification – now available for registered individual and branches



Quick Links

One-click access back to Classic Firm Gateway and Web CRD features

FINRA Gateway Demo

FINRA®

Rollout

Your engagement and feedback helps us optimize the rollout

Production Rollout Scheduled to Begin in April

- We are planning a phased rollout
 - We monitor feedback and issues as we scale the rollout to more firms and users
- Users will be prompted to “opt in” to FINRA Gateway
 - At logon to Firm Gateway, firms selected for onboarding will be prompted to “opt in” to FINRA Gateway with a choice to continue to Classic for the time being

Communication, Training, and Customer Support

- We will keep you posted at <https://www.finra.org/filing-reporting/dxt/finra-gateway>
- In-product tutorials will help guide you to new features at logon
- Training webinars are also planned

For the second half of 2020, we are planning on adding the following new capabilities:

- Enhanced Requests and Profiles features
- Reports capability for new data sets
- New Features
 - Announcements to keep you abreast of the latest FINRA and system news
 - Enhanced data entry experience to simplify submission of U4 and other filings
 - Recent and historical filings to help you quickly return to where you left off
 - Enhanced contact management and notifications to help you proactively manage compliance
 - Incorporation of content from FINRA.org and a knowledge base to help inform your work

- **Questions and Feedback?**
 - feedbackfinragateway@finra.org
- **FINRA Gateway Product Page**
 - <https://www.finra.org/finra-gateway>
- **Feedback on New and Upcoming Features**
 - <https://finra.org/dxt> - Lightning Feedback