Agenda

- Introduction
- Guiding Tenets
- Key Dates
- By the Numbers
- FinPro Today (Demo)
- Dynamic Reporting (Demo)

- Coming Features
- Onboarding Support
- Resources
- Questions (email finprofeedback@finra.org)
Introduction

- FinPro’s vision is to be the one stop for all individuals – current, former and future financial professionals

- Today, we are focused on current professionals
  - Allows reps to access and review their information on their own
  - Easily access CE to complete on a timely basis
  - Streamline communication between the firm and the rep by ensuring each can see the same information

- In the future, FinPro will become a foundational platform for individuals and firms
  - Plays an important role in FINRA’s CE Transformation proposal
  - Is pivotal in how firms interact with their staff and prospective registered representatives to maximize the efficiencies with FINRA's digital transformation effort
Guiding Tenets

- FinPro will introduce efficiencies to the registration, licensing and compliance process
- Firms will always maintain relationship with the individuals
- Firms will have the ability to control what features are available for the individual
- Firms will drive additional features through continued engagement with FINRA
- Development of new features will be focused on broad industry impact and value
Key Dates

- March: Start webinars and communication campaigns
- April: U4 collaboration (Allow Rep Edits) exclusively through FinPro
- May: soft launch of upgraded CE 201 delivery*
- June: * CE 201 Soft Launch is expected to run in parallel with CE Online for some period of time before becoming exclusively available via FinPro
- July: 
- August: 

* CE 201 Soft Launch is expected to run in parallel with CE Online for some period of time before becoming exclusively available via FinPro.
By the Numbers

121,000  FinPro accounts created.

Active Registered Reps  103,000

18,000  Not Currently Registered Reps

2,000  Firms who have at least one individual with a FinPro account

FINRA Registered Reps  625,000
FinPro Today (Demo)

- Review information
- See reminders of tasks requiring attention
- Easily access U4 shared by firm for input
- Link directly to Continuing Education (CE)
- Print record
- View U5
- Modify residential address information (formerly registered reps)
Dynamic Reporting for Tracking FinPro (Demo)

- Template ready for use
- Customizable to meet your needs
- Supports and facilitates firm adoption of FinPro
- Key data points for operations and supervision
Coming Features

- **Rep Notifications**
  - Starting with CE

- **Attestation**
  - Individuals will have the ability to acknowledge their information is complete, accurate and up to date
  - Firm report to audit who has completed attestation review

- **Firm Configuration**

- **Individual-initiated Record Updates (Firm-controlled)**
  - Residential address
  - Other business activities

- **Other Features Driven by Firm and Financial Professional Feedback and Priorities**
Onboarding Support

- **Resources** ([www.finra.org/FinPro](http://www.finra.org/FinPro))
  - Sample email communication templates
  - Account creation video and user guide
  - Dedicated support team to guide your individuals

- **1x1 call with your firm**
  - Review examples of how other firms are using FinPro today
  - Identify key features to streamline your registration, licensing and compliance process

- **Sign-up for support**
  - Email @ Finprofeedback@finra.org
Resources

Stay Up-to-date and Subscribe (Registration and Licensing Information Mailing List)
https://www.finra.org/registration-exams-ce/new-crd/be-know

Submit Feedback
https://www.finra.org/registration-exams-ce/finprofeedback

Email Us for Onboarding Support
finprofeedback@finra.org
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