



FinPro

Financial Professional Gateway

March 26, 2020

Agenda

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- By the Numbers
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- Dynamic Reporting (Demo)
- Coming Features
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- Resources
- Questions
(email finprofeedback@finra.org)

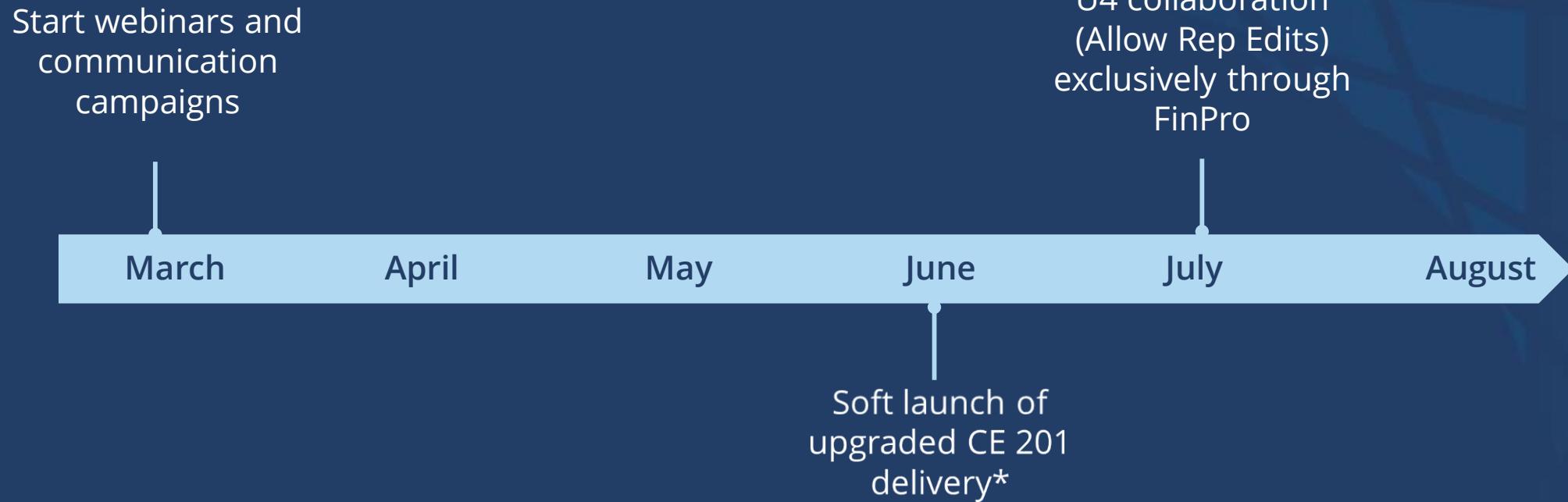
Introduction

- **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



*** 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

2,000

Firms who have at least one individual with a FinPro account

18,000

Not Currently Registered Reps

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)

Financial Professional Gateway

My Account | Feedback | Help | Sign out

James C Demo
CRD: 123456
Broker
Alternative Names:
J C Demo

0 Current Disclosures | 0 Archived Disclosures | 5 Passed Exams

Reminders

! You have a 101 Continuing Education session window which opened Feb 21, 2020. [Launch CE Online](#).

! You have a pending U4 filing request from YOUR FIRM SECURITIES INC. [Open Filing](#).

I want to...

Print My Report | Update Profile | View My Form U5 | Enroll in SIE

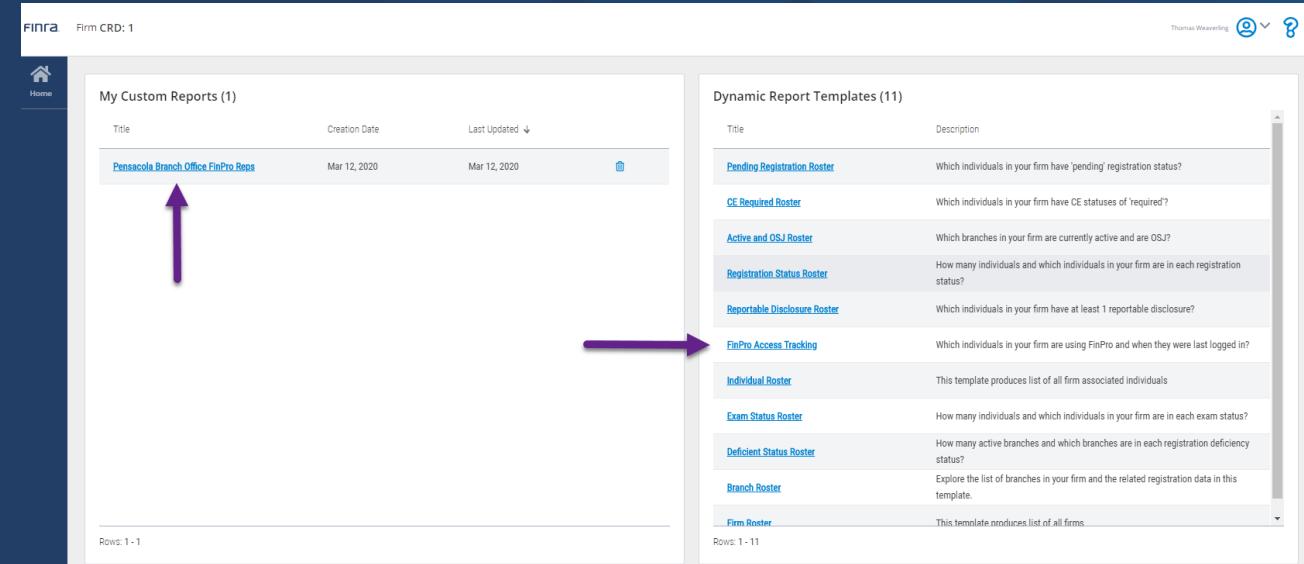
Current Registrations

State Registrations: B Alabama, B Montana

SRO Registrations: FINRA

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



The screenshot shows the FINRA Dynamic Reporting interface. On the left, under 'My Custom Reports (1)', there is one entry: 'Pensacola Branch Office FinPro Reps' (Creation Date: Mar 12, 2020, Last Updated: Mar 12, 2020). On the right, under 'Dynamic Report Templates (11)', there is a list of templates with their descriptions:

Title	Description
Pending Registration Roster	Which individuals in your firm have 'pending' registration status?
CE Required Roster	Which individuals in your firm have CE statuses of 'required'?
Active and OSJ Roster	Which branches in your firm are currently active and are OSJ?
Registration Status Roster	How many individuals and which individuals in your firm are in each registration status?
Reportable Disclosure Roster	Which individuals in your firm have at least 1 reportable disclosure?
FinPro Access Tracking	Which individuals in your firm are using FinPro and when they were last logged in?
Individual Roster	This template produces list of all firm associated individuals
Exam Status Roster	How many individuals and which individuals in your firm are in each exam status?
Deficient Status Roster	How many active branches and which branches are in each registration deficiency status?
Branch Roster	Explore the list of branches in your firm and the related registration data in this template.
Firm Roster	This template produces list of all firms

- **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)**
 - 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



We would appreciate your feedback. Please complete the follow up survey you will received about today's Webinar.