FinPro

Financial Professional Gateway

March 26, 2020

Agenda

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- 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**

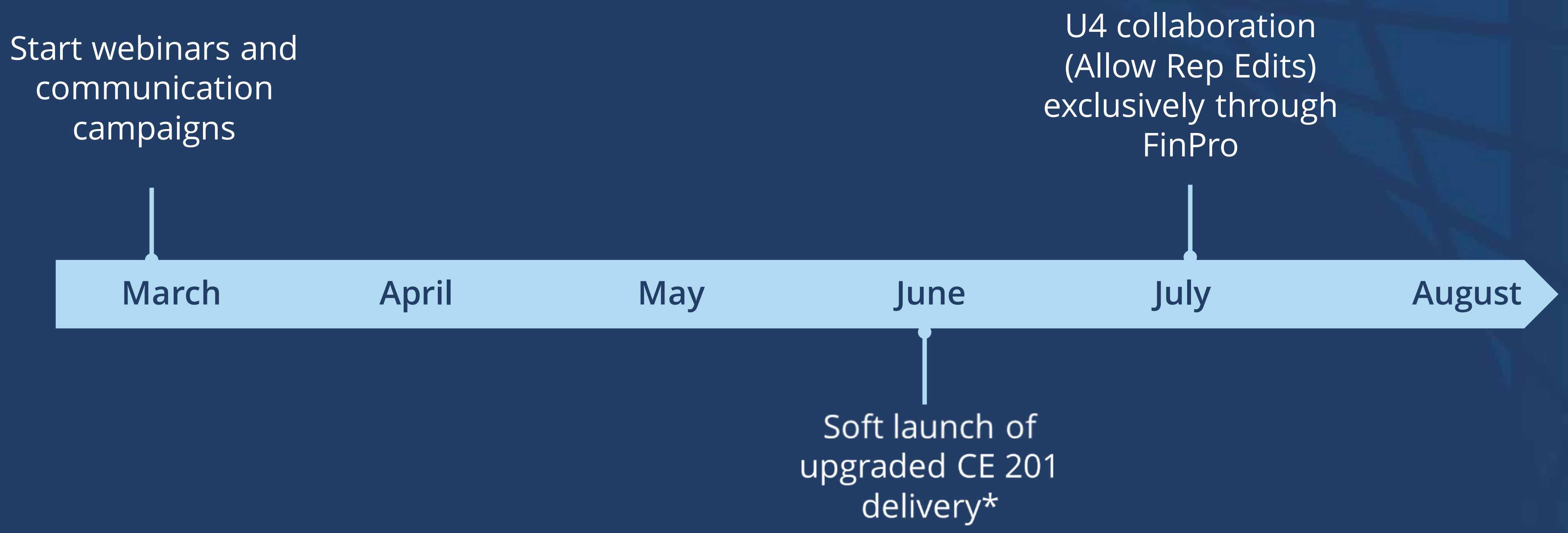
- **Today, we are focused on current professionals**
  - Allows reps to access and review their information on their own
  - Easily access CE to complete on a timely basis
  - Streamline communication between the firm and the rep by ensuring each can see the same information

- **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



*** 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

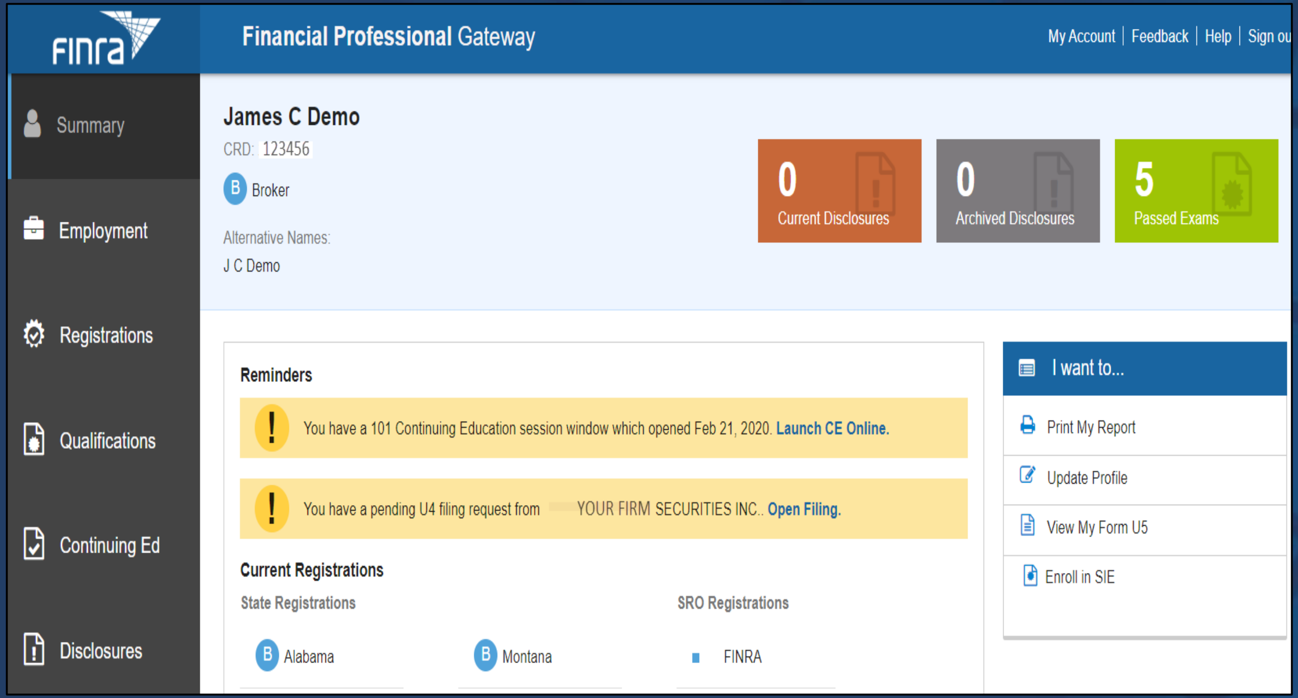
Firms who have at least one individual with a FinPro account

FINRA Registered Reps

625,000

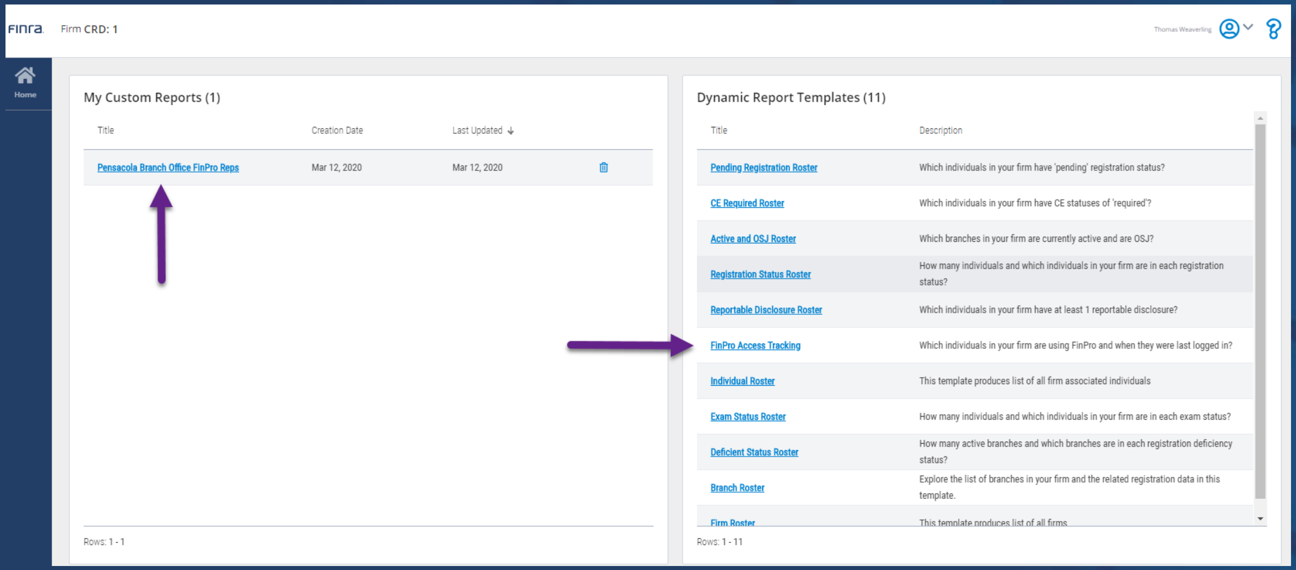
FinPro Today (Demo)

- 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)**
  - 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

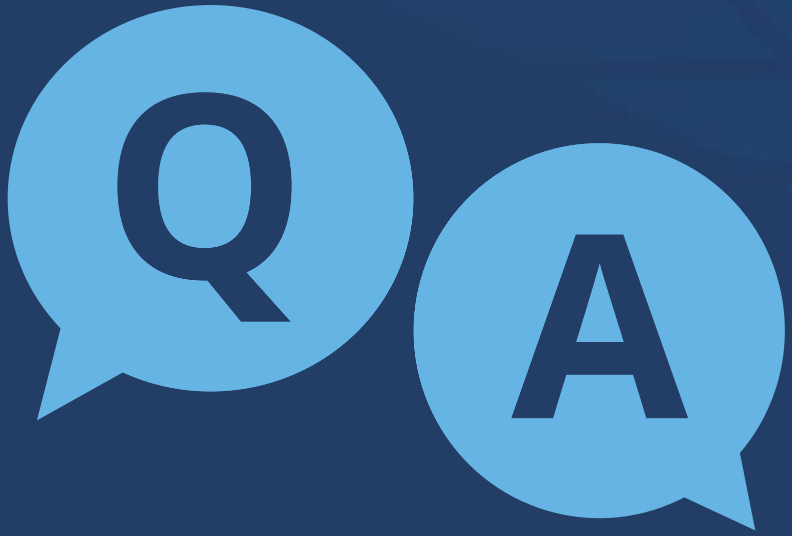
- **Sign-up for support**
  - Email @ Finprofeedback@finra.org

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.