

FINra®

FinPro

Financial Professional Gateway

March 26, 2020

# 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](mailto:finprofeedback@finra.org))

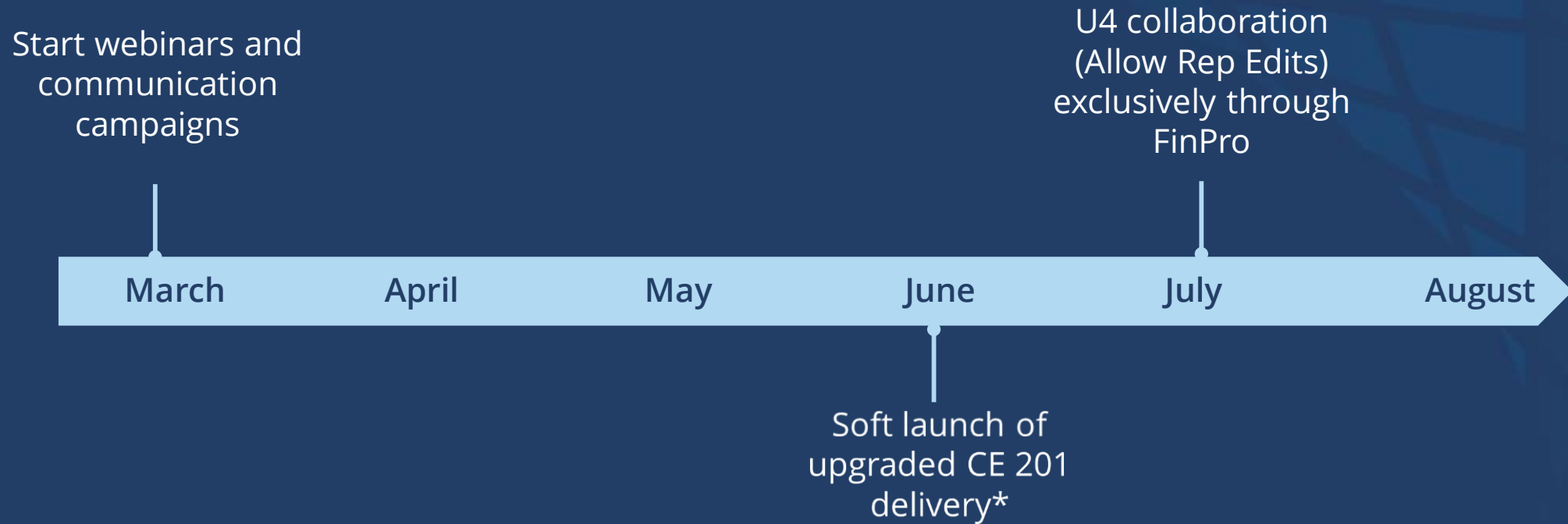
# Introduction

- **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)

The screenshot shows the Financial Professional Gateway interface. At the top, the FINRA logo is on the left, and the title "Financial Professional Gateway" is in the center. On the right, there are links for "My Account", "Feedback", "Help", and "Sign out".

Below the header, the user's profile is displayed for "James C Demo" with CRD: 123456 and a "Broker" status. To the right of the profile are three summary boxes: "0 Current Disclosures", "0 Archived Disclosures", and "5 Passed Exams".

A left-hand navigation menu includes links for Summary, Employment, Registrations, Qualifications, Continuing Ed, and Disclosures. The "Reminders" section contains two yellow alert boxes: one about a Continuing Education session window and another about a pending U4 filing request from "YOUR FIRM SECURITIES INC.". Below this, the "Current Registrations" section shows "State Registrations" for Alabama and Montana, and "SRO Registrations" for FINRA.

On the right side, a "I want to..." menu offers options: "Print My Report", "Update Profile", "View My Form U5", and "Enroll in SIE".

# 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 displays the FINRA Dynamic Reporting interface. On the left, under 'My Custom Reports (1)', a table lists a report titled 'Pensacola Branch Office FinPro Reps' created on Mar 12, 2020. A purple arrow points to this report. On the right, under 'Dynamic Report Templates (11)', a list of templates is shown, including 'Pending Registration Roster', 'CE Required Roster', 'Active and OSJ Roster', 'Registration Status Roster', 'Reportable Disclosure Roster', 'FinPro Access Tracking', 'Individual Roster', 'Exam Status Roster', 'Deficient Status Roster', 'Branch Roster', and 'Firm Roster'. A purple arrow points from the 'FinPro Access Tracking' template to the custom report.

Title	Creation Date	Last Updated
Pensacola Branch Office FinPro Reps	Mar 12, 2020	Mar 12, 2020

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.



# 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](mailto: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](mailto:finprofeedback@finra.org)



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