Leveraging FinPro for Streamlined Compliance

May 21, 2020

Agenda

FINRA

- Introduction
- Guiding Tenets
- Demonstration
- Driving Priorities
- Onboarding Support
- Questions
- FinPro Rollout Milestones
- Stay up to Date

Introduction

- FINRA has undertaken an organization-wide initiative to simplify firms' digital experience with FINRA by facilitating more efficient and effective compliance programs.
- FinPro's vision is to be the one stop shop for all individuals – current, former and future financial professionals.
- Today, we are going to talk about FinPro features that will enhance and facilitate your compliance programs.
- We will also discuss upcoming FinPro milestones that may affect your firms' reps.
- Today's Speakers From Credentialing, Registration, Education and Disclosure (CRED)
  - LaTricia Henderson
  - Tom Weaverling
  - Krishna Podury
  - Aaron Archer
  - Noah Egorin

Guiding Tenets

- FinPro will introduce efficiencies to the registration, licensing and compliance process
- Firms will always manage and maintain a relationship with associated individuals; firms decide and control what FinPro features are used
- Development of new features will be focused on broad industry impact and driven by continued engagement with firms and FinPro users

Demonstration

Create FinPro Account

U4 Collaboration (Allow Rep Edits)

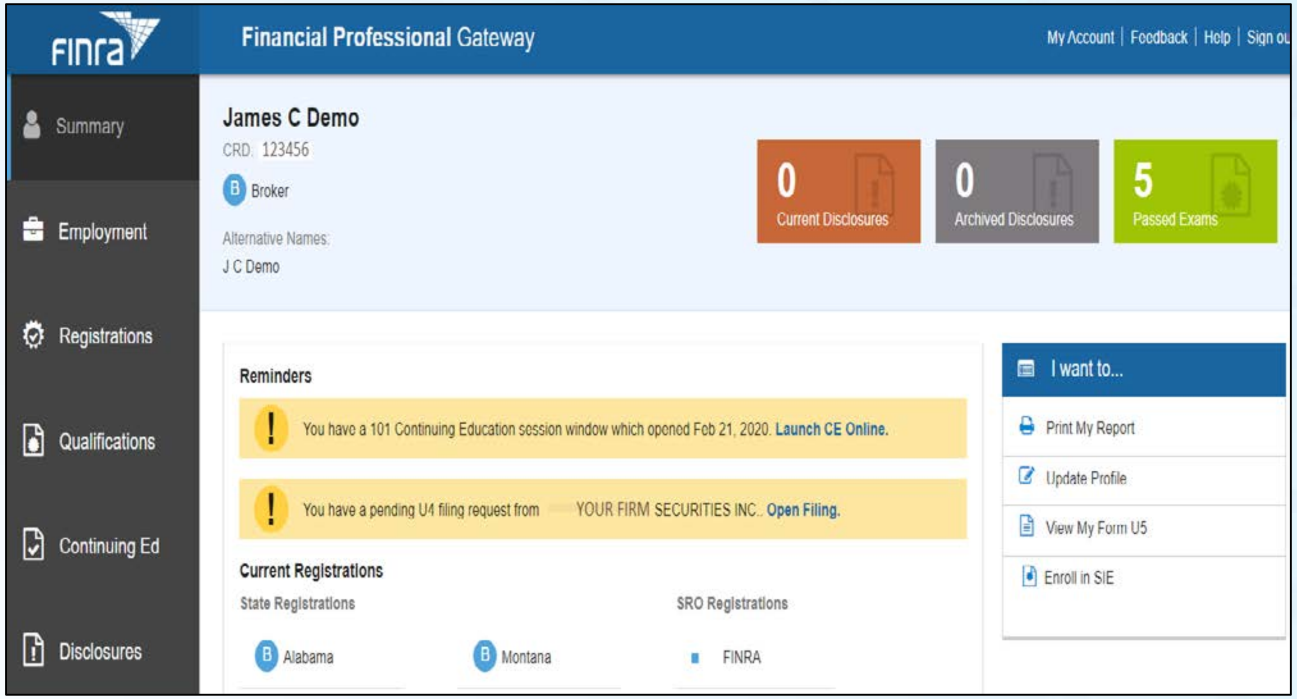
Satisfy Continuing Education Requirements

Support Annual Record Review (Attestation)

Leverage Dynamic Reports for FinPro Onboarding and CE

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)



Driving Priorities

- Future features driven by your feedback
- Customizable Attestation
- Enhanced notifications to communicate regulatory requirements
- Streamline common administrative tasks such as updating address or other business activities
- Modernize U5 delivery requirement and enable direct access to forms through FinPro

Onboarding Support

- **Resources (www.finra.org/FinPro)**
  - Sample onboarding email templates for a variety of onboarding approaches
  - 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

To ask a question, please email webcrd@finra.org

FinPro Rollout Milestones

November 2016
- FinPro Soft Launch
- Review Latest CRD Record (Snapshot Report)
- Access Continuing Education
- Allow Rep Edits
- Receive Reminders

October 2018
- Electronic Copy of Latest U5
- U5 Notification

May 2020

June 2020
- Enhanced CE 201 available through FinPro
- Reps will use FinPro to access enhanced CE 201
- *Flash not required

Now: October 5, 2020
- U4 Filing Experience Launch
- Reps will use FinPro to collaborate on the U4.
- Reps will use FinPro to access enhanced CE 101
- Attestation available in FinPro

November 6, 2020
- All CE through FinPro
- Reps must use FinPro to access all CE

Stay up to Date

- **FinPro Info Page: finra.org/finpro**
  - Webinars
  - FAQs
  - Release Notes
- **Other Webinar Recordings: finra.org/webinars**
  - FINRA Gateway
  - Registration Changes
  - Enhanced Form U4
- **Registration and Licensing Email List: tools.finra.org/email_subscriptions**
  - Invitations to future webinars
  - CRD program announcements
  - Feedback opportunities