Agenda

- Introduction
- Guiding Tenets
- Demonstration
- Future of FinPro
- Onboarding Support
- Questions

- FinPro Rollout Milestones
- Stay up to Date
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.
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

Leverage Dynamic Reports for FinPro Onboarding and CE

Support
Annual Record Review (Attestation)

Satisfy
Continuing Education Requirements

U4 Collaboration (Allow Rep Edits)
Rep Creates FinPro Account
In FinPro, Rep Sees Reminder to Access CE
New CE Content on new Platform (No Flash Required)
Dynamic Report – FinPro Accounts

### My Custom Reports (1)

<table>
<thead>
<tr>
<th>Title</th>
<th>Creation Date</th>
<th>Last Updated</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pensacola Branch Office FinPro Reqs</td>
<td>Mar 12, 2020</td>
<td>Mar 12, 2020</td>
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</table>

### Dynamic Report Templates (11)

<table>
<thead>
<tr>
<th>Title</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pending Registration Report</td>
<td>Which individuals in your firm have 'pending' registration status?</td>
</tr>
<tr>
<td>CE Required Report</td>
<td>Which individuals in your firm have CE statuses of 'required'?</td>
</tr>
<tr>
<td>Active and OSR Report</td>
<td>Which branches in your firm are currently active and are OSR?</td>
</tr>
<tr>
<td>Registration Status Report</td>
<td>How many individuals and which individuals in your firm are in each registration status?</td>
</tr>
<tr>
<td>Reportable Disclosure Report</td>
<td>Which individuals in your firm have at least 1 reportable disclosure?</td>
</tr>
<tr>
<td>FinPro Access Tracking</td>
<td>Which individuals in your firm are using FinPro and when they were last logged in?</td>
</tr>
<tr>
<td>Individual Report</td>
<td>This template produces list of all firm associated individuals</td>
</tr>
<tr>
<td>Exam Status Report</td>
<td>How many individuals and which individuals in your firm are in each exam status?</td>
</tr>
<tr>
<td>Delinquent Status Report</td>
<td>How many active branches and which branches are in each registration deficiency status?</td>
</tr>
<tr>
<td>Branch Report</td>
<td>Explore the list of branches in your firm and the related registration data in this template.</td>
</tr>
<tr>
<td>Firm Report</td>
<td>This template produces list of all firms</td>
</tr>
</tbody>
</table>
### Personal Information

#### General Information

<table>
<thead>
<tr>
<th>Field</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>First Name</td>
<td>Anthony</td>
</tr>
<tr>
<td>Last Name</td>
<td>Anderson</td>
</tr>
<tr>
<td>Individual Social Security Number (SSN)</td>
<td>xxx-xxx-xxxx</td>
</tr>
<tr>
<td>Individual CDO #</td>
<td>123456</td>
</tr>
</tbody>
</table>

#### Other Names

<table>
<thead>
<tr>
<th>Field</th>
<th>Value</th>
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</thead>
<tbody>
<tr>
<td>First Name</td>
<td>Middle</td>
</tr>
<tr>
<td>Anthony</td>
<td>Jr</td>
</tr>
</tbody>
</table>
Firm Selects the U4 Sections the Rep Can Edit

Please specify the level of representative access for this filing

- [ ] Allow full access for rep edits (all the pages of the filing will be available for edit by representative)
- [ ] Only allow rep edits for the following sections:
  - [ ] Personal Information
  - [ ] Employment History/Other Business
  - [ ] Registration Requests with Firms (Office Addresses, Registrations, Jurisdictions and Fingerprint Information by Firm)
  - [ ] Registrations with Unaffiliated Firms
  - [ ] Exam Requests
  - [ ] Professional Designations
  - [ ] Disclosures (Bankruptcy, Bond, Civil Judicial, Compromise, Customer Complaint, Investigation, Judgment/Lien, Regulatory Action and Termination)

The Representative can access filings through the Financial Professional Gateway

- [ ] FinPro User

You can include this information in your communication to the Representative:

Hello Anthony Anderson,

Please edit/revise your U4 filing by following the instructions below:

- [ ] Cancel
- [ ] Remove Rep Access
- [ ] Allow Rep Edits

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In FinPro, Rep Sees Reminder to Access U4
Rep Makes Edits in the U4

Personal Information

First Name *
Anthony

Middle Name

Last Name *
Anthony

Suffix
Mr.

Social Security Number (SSN) *
XXX-XXX-XXXX

CRD Number *
123456
Rep Marks Status to Completed

Rep Completion Status
- In Progress
- Completed

Rep Access
- No Access for rep
- Allow full access for rep edits (all the pages of the filing will be available for edit by representative)
- Only allow rep edits for the following sections:
  - Personal Information
  - Employment History/Other Business
  - Registration Requests with Firms (Office Addresses, Registrations, Jurisdictions and Fingerprint Information by Firm)
  - Registrations with Unaffiliated Firms
  - Exam Requests
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  - Disclosures (Bankruptcy, Bond, Civil, Judicial, Compromise, Customer Complaint, Investigation, Judgment/Lien, Regulatory Action and Termination)

CANCEL  SAVE
Future Attestation Feature

Financial Professional Gateway

CRAIG LINDER
CRD: 12345
Broker

Alternative Names:
Craig Michael Linder

Current Registrations
State Registrations
Alabama    Nebraska    FINRA
Alaska   Nevada   BOX
Arizona   New Hampshire   BX
Arkansas    New Jersey   CBOE
California    New Mexico   CBOE BYX
Colorado    New York   CBOE BZX
Connecticut   North Carolina   CBOE C2
Delaware   North Dakota   CBOE EDGA
District of Columbia   Ohio   CBOE EDGX
Florida    Oklahoma   IEEX

FinPro Attestation
I attest to accuracy of information...
Some information is incorrect and needs to be updated. Please contact your firm to provide updated information.

Last updated 02/01/2018 10:05 am

CANCEL   APPLY
Future of FinPro

➢ 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](http://www.finra.org/FinPro))
  - Sample onboarding email templates
  - Account creation video and user guide
  - Dedicated support team

- **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

<table>
<thead>
<tr>
<th>Date</th>
<th>Feature</th>
</tr>
</thead>
<tbody>
<tr>
<td>November 2016</td>
<td>Review Latest CRD Record (Snapshot Report)</td>
</tr>
<tr>
<td>October 2018</td>
<td>Electronic Copy of Latest U5</td>
</tr>
<tr>
<td>May 2020</td>
<td>Access Continuing Education</td>
</tr>
<tr>
<td></td>
<td>Allow Rep Edits</td>
</tr>
<tr>
<td></td>
<td>Receive Reminders</td>
</tr>
<tr>
<td>June 2020</td>
<td>Reps will use FinPro to access enhanced CE 201 <em>Flash not required</em></td>
</tr>
<tr>
<td></td>
<td>U4 Filing Experience Launch</td>
</tr>
<tr>
<td>Now: October 5, 2020</td>
<td>Reps will use FinPro to collaborate on the U4</td>
</tr>
<tr>
<td>November 9, 2020</td>
<td>All CE Through FinPro</td>
</tr>
</tbody>
</table>

- **Enhanced CE 201 Available Through FinPro**
- **U4 Filing Experience Launch**
- **All CE Through FinPro**
- **Reps must use FinPro to access all CE**
- **Attestation available in FinPro**

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Stay up to Date

- **FinPro Info Page:** finra.org/finpro
  - Webinars
  - FAQs
  - Release Notes

- **Financial Industry Networking Directory (FIND):** finra.org/find
  - Recruiting service for individuals new to securities industry

- **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