

# FINra® Leveraging FinPro for Streamlined Compliance

June 25, 2020



# Agenda

- | Introduction
- | Guiding Tenets
- | Demonstration
- | Future of FinPro
- | 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.**



# 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**

**Satisfy  
Continuing Education  
Requirements**


**Leverage Dynamic Reports for  
FinPro Onboarding and CE**

**Support  
Annual Record  
Review  
(Attestation)**

**U4 Collaboration  
(Allow Rep Edits)**



# Rep Creates FinPro Account

**Financial Professional Gateway**

Feedback | Help

Complete Profile

Validate Account

Verify Identity

### Create Profile

Prefix

First Name\*

Middle Name

Last Name\*

Suffix

New User ID\*

tbroker

Generate new ID from First and Last Name

Do you have an SSN?

Yes

No

SSN\*

123-45-6789

Date of Birth\*

01/10/1980

Your SSN is required to verify your identity. If you have never been issued an SSN, you will be required to enter your CRD#.

Residential Address Line 1\*

101 Main Street

Residential Address Line 2

City\*

State\*

Postal Code\*

Country\*

Rockville

Maryland

20850

United States

Business Phone\*

800-123-4567

Personal Phone\*

301-123-9876

Personal phone may be used as part of identity verification (one-time passcode text) during the registration process.

Business Email


tbroker@myfirm.com

Personal Email\*

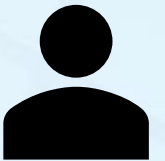
tbroker@gmail.com

Personal email is used to validate your account, complete the registration process, and reset passwords.

☐ I'm not a robot



Register



**Rep  
Experience**



# In FinPro, Rep Sees Reminder to Access CE

FINRA

The screenshot displays the FINRA Financial Professional Gateway interface for a user named James C Demo. The top navigation bar includes the FINRA logo, the title "Financial Professional Gateway", and links for "My Account", "Feedback", "Help", and "Sign out". A left sidebar contains navigation links: "Summary", "Employment", "Registrations", "Qualifications", "Continuing Ed", and "Disclosures".

The main content area for James C Demo (CRD: 123456, Broker) shows the following statistics:

- 0 Current Disclosures
- 0 Archived Disclosures
- 5 Passed Exams

A red arrow points to a yellow reminder box that reads: "You have a 101 Continuing Education session window which opened Feb 21, 2020. [Launch CE Online.](#)".

Below the reminder, the "Current Registrations" section lists "State Registrations" for Alabama and Montana, and "SRO Registrations" for FINRA.


On the right, a sidebar titled "I want to..." contains links: "Print My Report", "Update Profile", "View My Form U5", and "Enroll in SIE".




**Rep  
Experience**



# New CE Content on new Platform (No Flash Required)


**S201 Regulatory Element Program**  
(ID: S201)

You have registered for the following class

 Class ID : **CE S201**  
Web-Based

















Language : English  
Duration : 00:00

MY STATUS

**Krishna Podury**  
Registered on : 15-MAY-2020  

IN PROGRESS

ACTIVITIES

NAME	STATUS	ACTION
 <b>ROC</b>  	<input type="radio"/> Not evaluated	<div>LAUNCH</div>
 <b>Module A – XL Issues</b> completed on: 15-MAY-2020  	<input checked="" type="radio"/> Completed successfully	<div>RE-LAUNCH</div> 
 <b>Module B – Bax Checks the Facts</b>  	<input type="radio"/> Not evaluated	<div>LAUNCH</div>
 <b>Module C – Financial Exploitation of Senior Investors</b>  	<input type="radio"/> Not evaluated	<div>LAUNCH</div>
 <b>Module D - In Your Best Interest</b>  	<input type="radio"/> Not evaluated	<div>LAUNCH</div>

  
**Rep  
Experience**



# Dynamic Report – FinPro Accounts

FINRA Firm CRD: 1

Thomas Weaverling

Home

My Custom Reports (1)

Title	Creation Date	Last Updated ↓	
<a href="#">Pensacola Branch Office FinPro Reps</a>	Mar 12, 2020	Mar 12, 2020	

Rows: 1 - 1

Dynamic Report Templates (11)

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

Rows: 1 - 11



Firm Experience



**FINRA**

## Firm Experience



# Firm Selects the U4 Sections the Rep Can Edit

FINRA

Firm: ABC Corp (CRD: 123123)

Profile Search

Matthew Wentland

Name: Anthony Anderson

CRD: 123456

Created: 06/06/2018

Updated: 09/20/2018

Filing ID: 00000

Filing Type: U4

Firm Name: ABC FIRM LLC

Firm CRD: 123123

Data Entry

Personal Information

Employment History / Other Business

Registration Requests with Firms

Registration with Unaffiliated Firms

Exam Requests

Professional Designations

Disclosures

Signatures

Review and Submit

Summary

Rep Edits

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:

Copy

Hello Anthony Anderson,

Please edit/review your U4 filing by following the instructions below.

CANCEL

REMOVE REP ACCESS

ALLOW REP EDITS

**Firm  
Experience**

Copyright 2020 FINRA

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# In FinPro, Rep Sees Reminder to Access U4

Financial Professional Gateway

My Account | Feedback | Help | Sign out

Summary

Employment

Registrations

Qualifications

Continuing Ed

Disclosures

James C Demo

CRD: 123456

B

 Broker

Alternative Names:  
J C Demo

0

Current Disclosures

0

Archived Disclosures

5

Passed Exams

Reminders

!

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

Current Registrations

State Registrations

B

 Alabama

B

 Montana

SRO Registrations

FINRA

I want to...

Print My Report

Update Profile

View My Form U5

Enroll in SIE



Rep Experience




# Rep Makes Edits in the U4


FINRA

Firm: ABC Corp (CRD: 000000)

SEND FEEDBACK

Profile Search





Name: Anthony Anderson (CRD: 123456)

Created: 06/06/2018

Updated: 09/20/2019

Filing ID: 00000

Filing Type: U4 Initial

Firm Name: ABC Corp (CRD: 000000)

Data Entry

Personal Information

Employment History / Other Business

Registration Requests with Firms

Registration with Unaffiliated Firms

Exam Requests

Professional Designations

Disclosures

Signatures

Review and Submit

Summary

Personal Information

First Name \*  
Anthony

Middle Name

Last Name \*  
Anthony

Suffix  
Mr.

Social Security Number (SSN) \*  
XXX-XXX-XXXX [View/Edit SSN](#)

CRD Number \*  
123456

Other Names

[Completeness Check](#)

[Form View](#)

[Rep Edits](#)

[Save](#)

NEXT



Rep  
Experience




# Rep Marks Status to Completed


FINRA

Firm: ABC Corp (CRD: 000000)

SEND FEEDBACK

Profile Search





Name: Anthony Anderson (CRD: 123456)Created: 06/06/2018Updated: 09/20/2019Filing ID: 00000Filing Type: U4 InitialFirm Name: ABC Corp (CRD: 000000)

Rep Edits

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

☐ Professional Designations

☐ Disclosures (Bankruptcy, Bond, Civil Judicial, Compromise, Customer Complaint, Investigation, Judgment/Lien, Regulatory Action and Termination)

CANCEL


SAVE



Rep Experience



# Future Attestation Feature

**Financial Professional Gateway**

Change CRD#My Account | Feedback | Help | Sign out

Summary

Employment

Registrations

Qualifications

Continuing Ed

Disclosures

**CRAIG LINDER**  
CRD: 12345  
**B** Broker  
Alternative Names:  
Craig Michael Linder

0  
Current Disclosures

0  
Archived Disclosures

4  
Passed Exams

**Current Registrations**  
State Registrations

**B** Alabama

**B** Alaska

**B** Arizona

**B** Arkansas

**B** California

**B** Colorado

**B** Connecticut

**B** Delaware

**B** District of Columbia

**B** Florida

**B** Nebraska

**B** Nevada

**B** New Hampshire

**B** New Jersey

**B** New Mexico

**B** New York

**B** North Carolina

**B** North Dakota

**B** Ohio

**B** Oklahoma

SRO Registrations

**B** FINRA

**B** BOX

**B** BX

**B** CBOE

**B** CBOE BYX

**B** CBOE BZX

**B** CBOE C2

**B** CBOE EDGA

**B** CBOE EDGX

**B** IEX

I want to...

Print My Report

Update Profile

View My Form U5

Enroll in SIE

**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

Rep  
Experience

Copyright 2020 FINRA

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# 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](mailto:Finprofeedback@finra.org)

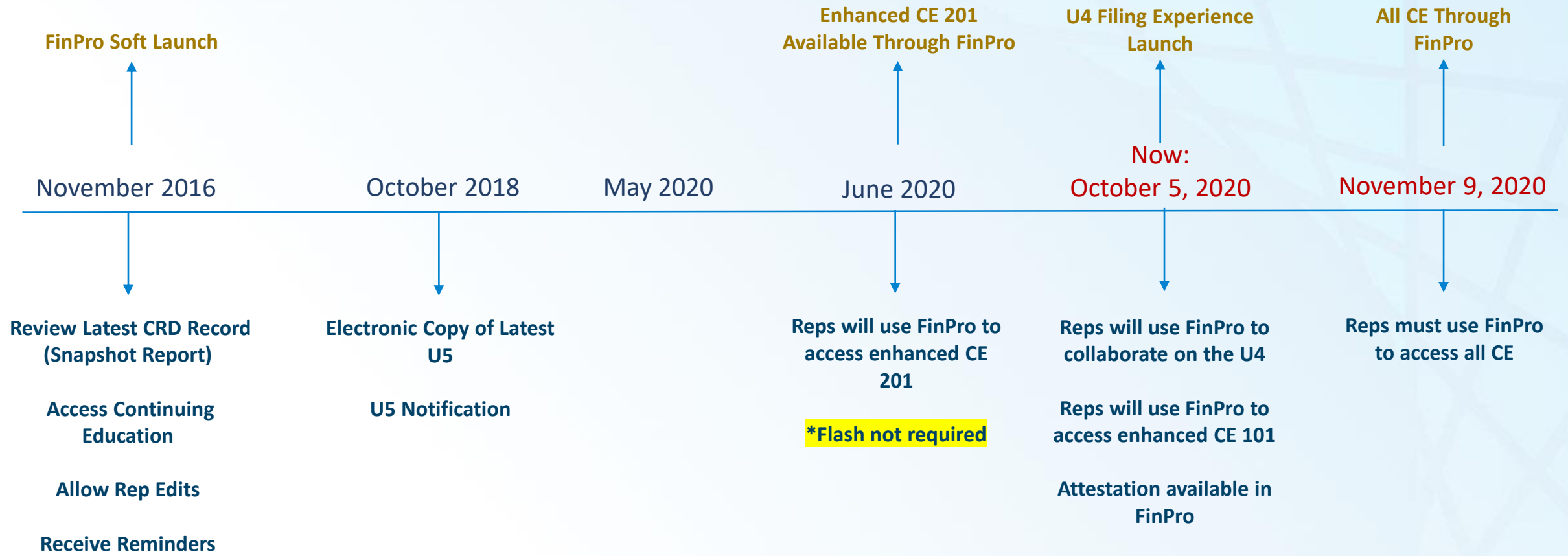




To ask a question, please email [webcprd@finra.org](mailto:webcprd@finra.org)



# FinPro Rollout Milestones





# Stay up to Date

- **FinPro Info Page:** [finra.org/finpro](https://finra.org/finpro)
  - Webinars
  - FAQs
  - Release Notes
- **Financial Industry Networking Directory (FIND):** [finra.org/find](https://finra.org/find)
  - Recruiting service for individuals new to securities industry
- **Other Webinar Recordings:** [finra.org/webinars](https://finra.org/webinars)
  - FINRA Gateway
  - Registration Changes
  - Enhanced Form U4
- **Registration and Licensing Email List:** [tools.finra.org/email\\_subscriptions](https://tools.finra.org/email_subscriptions)
  - Invitations to future webinars
  - CRD program announcements
  - Feedback opportunities