Introduction to The Financial Industry Networking Directory (FIND)™ & Transitioning to FinPro

June 18, 2020
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The Financial Industry Networking Directory (FIND)™ is a new FINRA service that looks to connect individuals with financial services firms that are recruiting for full-time employment and internship positions.

Individuals who take the Securities Industry Essentials® (SIE®) exam can choose to opt into a database available for firms to utilize for recruiting.

To be eligible for the FIND service individuals must:
- Have an SIE enrollment that was not paid for by a broker-dealer
- Not be registered with a firm

FIND is currently a pilot for firms.

There is currently no fee for firms who are interested in utilizing this database.
Candidate Experience

By switching the toggle switch to "Opted In" you agree to the Terms and Conditions and Privacy Policy.

Basic Information

Name and contact information is pulled from your current information listed above

LinkedIn Profile Link

Enter URL for LinkedIn Profile

Education

Education Entry 1

Education Level
Select Level Of Education

Degree Completion Status
Select Degree Completion Status

School Name
Enter School Name

Area of Study
Enter Area Of Study

Employment

Current Employment Status
Employed

Not Employed

No Response

Current/Most Recent Employer
Enter Current/Most Recent Employer

Area(s) of Interest in the Securities Industry
Retail Sales

Investment Advisory Services

Research

Market Making/Trading

Public Finance

Other

Current Geographic Location
Select Current Location

Are you willing to relocate?
Select Relocation Option
<table>
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<tr>
<th>Employer</th>
<th>Registered Rep.</th>
<th>Name</th>
<th>Firm</th>
<th>Branch Office</th>
<th>Address</th>
<th>State</th>
<th>Phone</th>
<th>Notes</th>
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<td>Name</td>
<td>Firm</td>
<td>123 Main St.</td>
<td>123 Main St., NY</td>
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Copyright 2020 FINRA
Summary Allowed Usage & Term and Conditions

- **Information is provided “As Is”**

- **Firm Requirements:**
  - Firms are asked to protect the information of the candidates
  - Information used exclusively for recruiting, hiring, contracting
  - If firm become aware a candidate has opted out of the service or similar firms should no longer contact the individuals

- **Firm Prohibitions:**
  - Firms are prohibited from reselling/redistributing the provided data
  - Firms are prohibited from marketing to selling to the candidates
  - Firms can not claim an endorsement by FINRA

- **Firm Can:**
  - Tell candidates that they received their information from the FINRA FIND Service
  - Can use the information for aggregate data analysis, reporting, and similar

- **Key FINRA Requirements:**
  - FINRA has the right to inform candidates which subscribers received your data
Working with FINRA

Contact FINRA
- Email customersupport@finra.org
- Indicate you are interested in the FIND service.
- The FIND Team will respond quickly.

Execute Agreement
- Ensure you provide FINRA with the name, email, and title of the person who will execute the agreement.

Request List of Candidates
- Firms provide FINRA with the parameters used to filter the candidate population.

Provides Candidate Information
- Spreadsheet of candidates provided.

Feedback
- Insight into all aspects of the service is appreciated and will help drive the future of the service.
Feedback From the Industry To Date

- “Tough time to launch a service of this nature”
- “The LinkedIn URL is extremely valuable”
- “Some of the geographic regions need to be broken into smaller areas”
- “It appears many individuals are working in the financial services industry”
- “We found a great candidate”
- “Unfortunately one person we reached out to had just accepted another position”
Future of FIND

- FINRA is exploring how to better support recruiting and onboarding for both firms and prospective industry professionals.

- Are there ways to allow individuals to provide more information?
- Are there ways to have individuals pre-provide U4 information?
- Are there ways for individuals to bring background checks with them?
- Should FINRA allow individuals with current qualifications (but not actively registered) in the service?
- How should the FIND service evolve if the ability to maintain qualifications beyond two years is adopted?
- Other?
Bringing a FIND Candidate Onboard (example)

- **Firm (FINRA Gateway)**
  - Decides to Onboard
  - Starts Draft U4
  - Enables “Allow Rep Edits”
  - Logs in to FinPro (FIND User ID)

- **FIND Candidate (FinPro)**
  - Fills out U4
  - Schedules Top-off Exam
  - Monitors Record
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:

Hello Anthony Anderson,

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

Copy

CANCEL REMOVE REP ACCESS ALLOW REP EDITS
Financial Professional Gateway

Summary

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

SRO Registrations
B FINRA

I want to...
Print My Report
Update Profile
View My Form U5
Enroll in SIE
To ask a question, please email webcrd@finra.org
Key Dates For Upcoming Changes

- **June 15**
  - CE 201 via FinPro utilizes new technology no longer requiring Adobe Flash

- **October 5**
  - All BD & IA firms will use the new filing experience for the U4 *
  - Reps will use FinPro to collaborate on the U4
  - CE 101 via FinPro utilizes new technology no longer requiring Adobe Flash

- **November 9**
  - All CE completed via FinPro

* Testing for the new filing experience for the U4 available now.
Resources

- **Key website locations**
  - Financial Industry Networking Directory website: finra.org/find
  - Securities Industry Essentials Exam: finra.org/sie
  - FinPro website: finra.org/finpro

- **Webinar recordings: finra.org/webinars**
  - Enhanced Form U4
  - Registration Systems Changes
  - FinPro

- **Registration and Licensing email list: tools.finra.org/email_subscriptions**
  - Invitations to future webinars
  - CRD program announcements
  - Feedback opportunities

- **Other resources:**
  - FINRA Gateway rollout: finra.org/finragateway
  - Digital Experience Transformation (DXT): finra.org/filing-reporting/dxt
  - Email registration-related questions to webcrd@finra.org