Introducing FINRA Gateway, FINRA’s New Front Door

Powered by the Digital Experience Transformation (DXT)

September 2020
Agenda

• Improving FINRA’s Digital Experience
• Building With Our Users
• Key Features
• FINRA Gateway Demo
• Rollout and What’s Next
• Resources
Powered by the Digital Experience Transformation (DXT)

Simplify digital interactions with FINRA to reduce industry compliance costs while enabling proactive and efficient compliance programs

- Reduce industry operational burden
- Deliver streamlined experience to users
- Enhance data submission, discovery and export
- Surface/guide compliance tasks
- Ease of use/less dependence on FINRA staff
- Decrease industry compliance costs
Why build a next generation Firm Gateway?

There are opportunities...

- Cleaner starting point at logon
- Align FINRA tasks and information to user’s role and needs
- Clarity around outstanding compliance tasks
- Fewer repetitive and labor-intensive tasks
- Connection between FINRA requirements and firm reporting tasks
- Flexible access and use of FINRA data
Thematic Changes

We are not changing the work to be done; we are streamlining the way in which you do the work

- Primary focus on compliance work to be done
- Enable customization today and personalization in the future
- Amplify transparency around reporting and compliance events
- Simplify and automate redundant tasks where feasible
- Empower self-service where possible
- Ease the challenge of finding and using data from FINRA systems
Building With Our Users

- **Spring 2019**: Announced the Digital Experience Transformation
- **July 2019**: Began Lightning Feedback at FINRA.org/dxt
- **December 2019**: FINRA Gateway Usability Testing and Demos to Over 150 Firms
- **February 2020**: Production Pilot With Small Number of Member Firms
- **April 2020**: Began Rollout and Opt-in to FINRA Gateway
- **September 15, 2020**: All Users go to FINRA Gateway at login (Quick Links to Firm Gateway, Classic CRD still available)

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Key Features at Rollout

**Simplified User Experience**
Customizable user experience that can be tailored to user needs

**Requests**
Consolidated list of all digital FINRA requests and work due in a single place with the ability to save filtered and sorted views

**Support**
A new way to contact the FINRA Call Center online through the system rather than on the phone

**Profiles**
Enhanced firm, branch and individual profiles with better navigation and access to forms

**Reports**
Ability to create, save and return to reports that have been created to user specification – now available for registered individual and branches

**Quick Links**
One-click access back to Classic Firm Gateway and Web CRD features

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By 9/15 FINRA Gateway will become the Front Door for all FINRA Member Firms

By 9/15 users logging in to Firm Gateway on behalf of FINRA Member Broker Dealer firms will land in FINRA Gateway

- FINRA has not yet optimized the system for the Investment Adviser (IA) experience.
- Investment Advisers will be contacted when this functionality is available in the system.

Two Key Tips to help you navigate the system:

1. **Quick Links** can take you immediately to the systems you know

2. **How can we help you?** menu allows you to search for answers in-product and from FINRA .org
Rollout

Your engagement and feedback helps us optimize the rollout

Communication, Training, and Customer Support
- We will keep you posted at https://www.finra.org/filing-reporting/dxt/finra-gateway
- In-product tutorials will help guide you to new features at logon
- Training webinars are also being offered

Thank you for your Feedback!
- Most of the recent enhancements we have made are related to user feedback including:
  - Enhancements in **Quick Links** to ease the transition
  - Improved sizing of the **Pop-Over window**
  - Enhanced and easier **filtering for Reports**
  - Additional information in **Profiles**
We have been adding new capabilities throughout 2020:

- **New Features Planned**
  - Improved **Requests** experience including highly-requested information such as Status and Request Case number
  - Enhanced data entry experience to **simplify submission of U4** and other filings
  - **Recent Links** to help you quickly return to where you left off
  - Enhanced **Contact Management and Notifications** to help you proactively manage compliance
  - Incorporation of **content from FINRA.org and a knowledge base** to help inform your work

- **Check out FINRA Gateway Release Notes** for the latest: https://www.finra.org/filing-reporting/dxt/finra-gateway/release-notes
Resources

• Questions and Feedback?
  • feedbackfinragateway@finra.org

• FINRA Gateway Product Page
  • https://www.finra.org/finra-gateway

• Feedback on New and Upcoming Features
  • https://www.finra.org/filing-reporting/finra-gateway/user-research- Lightning Feedback