

What to Expect on August 21, 2021

- Webinar Instructions:
 - Call **833-255-6670** for audio
 - Send questions to feedbackfinragateway@finra.org.
 - WebEx tools (e.g, chat) are **not** available during this webinar
- Thanks for joining us! We will be with you shortly.

Move Over, Firm Gateway: What to Expect on August 21, 2021

Powered by the Digital Experience Transformation (DXT)

July 2021

Powered by the Digital Experience Transformation (DXT)

Why Build a Next Generation Firm Gateway?

Building With Our Users

What to expect on August 21, 2021

Firm Gateway Access

Classic CRD Features

FINRA Gateway Demo

Resources

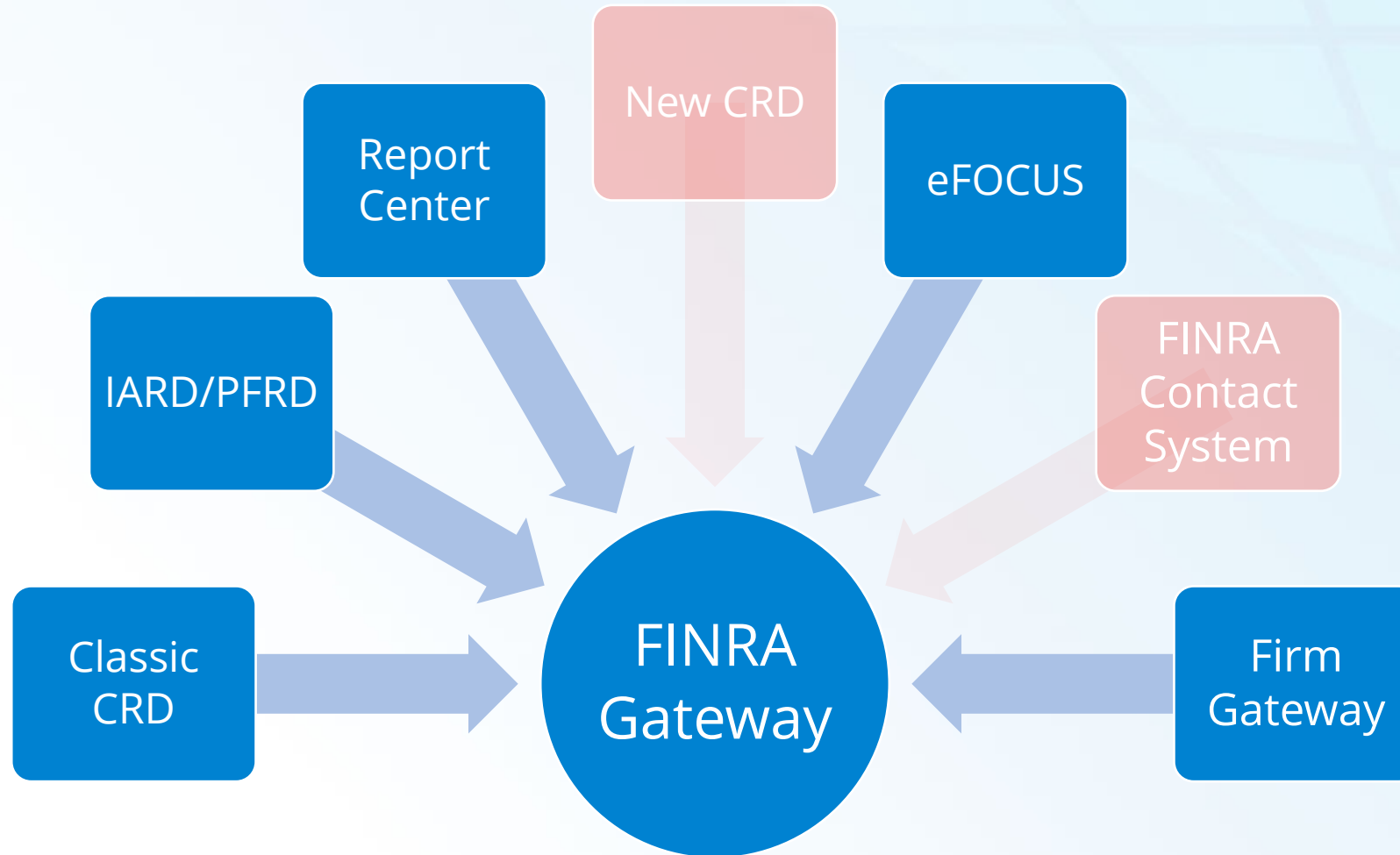
Powered by the Digital Experience Transformation (DXT) **FINRA**

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

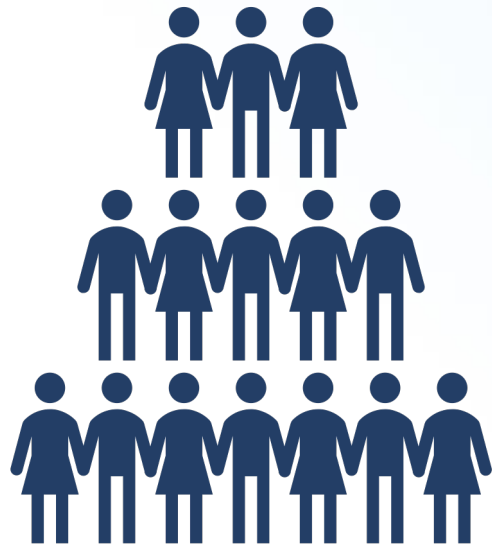


- Reduce industry operational burden
- Deliver streamlined experience to users
- Enhance data submission, discovery and export
- Surface/guide compliance tasks
- Ease of use/less dependence on FINRA staff
- Decrease industry compliance costs

Why Build a Next Generation Firm Gateway?



FINRA Gateway addresses the industry's request to have ONE centralized portal to complete all actions related to compliance.



Users



Feedback



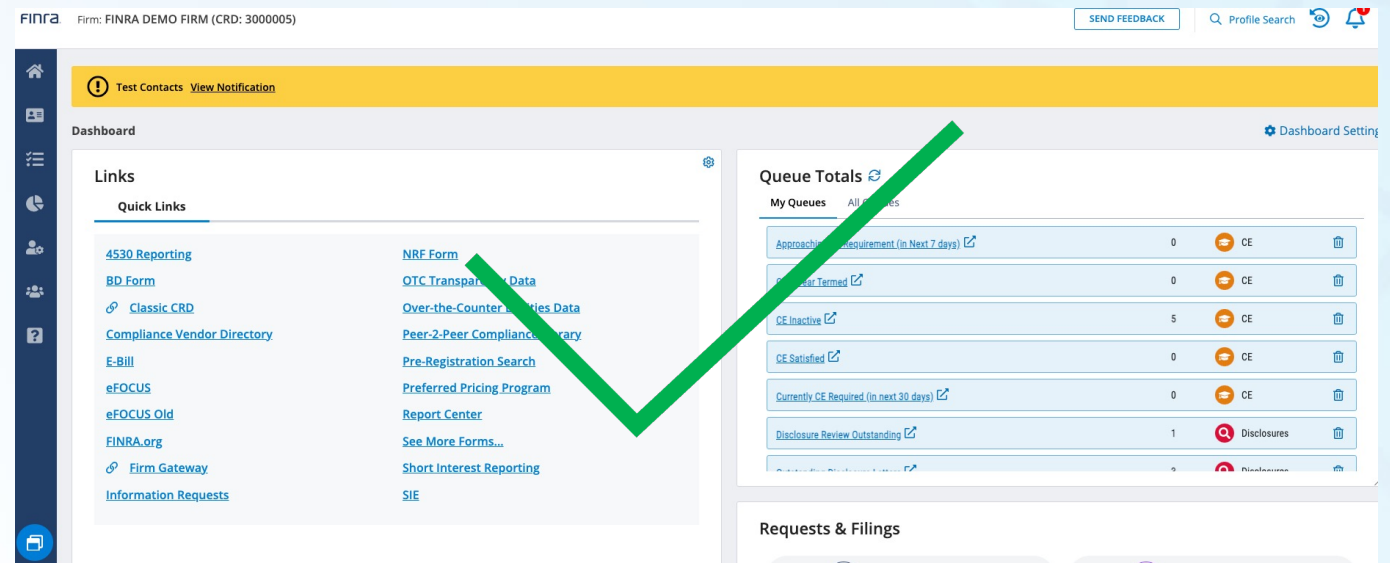
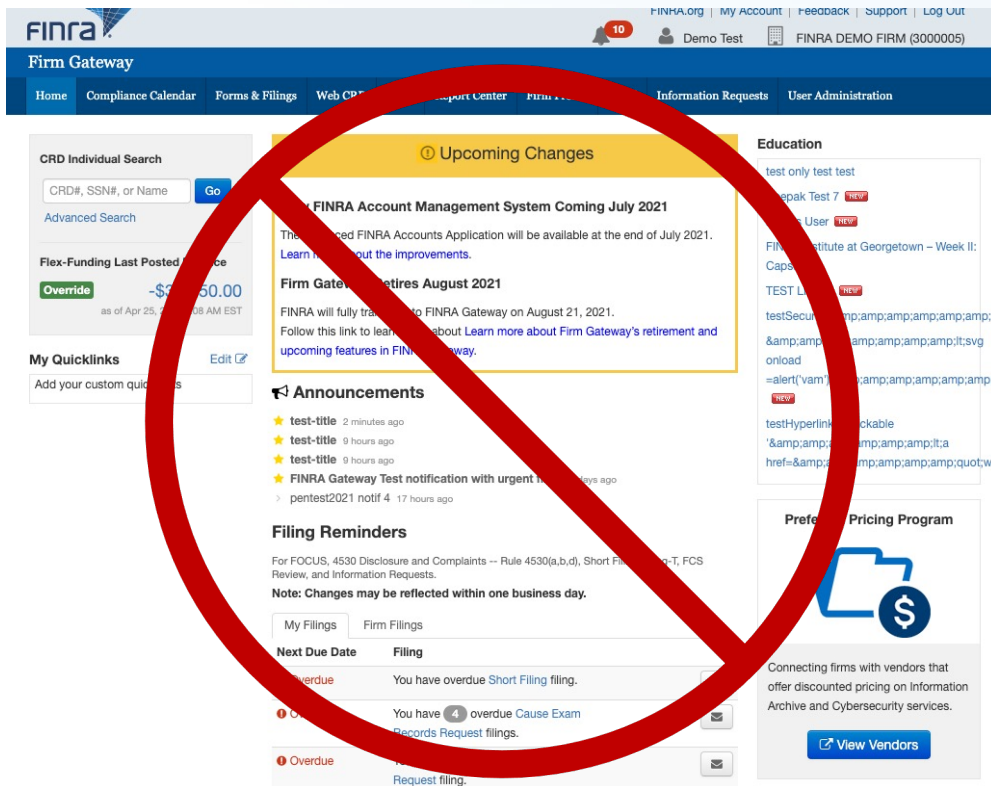
Recent Enhancements:

- Easier to read text
- Enhanced U4 & U5 printing
- Simplified report templates
- Grouping & exporting report features
- "Sort by" Requests & Filings items
- Ability to view SSN when searching
- Homepage personalization via widgets
- And much more to come!

What's Changing August 21?

Firm Gateway Access

- Users will no longer be able to log in or navigate back to Firm Gateway home page
- All functionality will be available in FINRA Gateway applications or quick links



What's Changing August 21?

Classic CRD Functionality Being Retired

- View Individual
- View Organization
- Individual Search
- Branch Search (also known as Organization Search)
- Branch Composite View
- Form U5 Filing capabilities
- Several Classic CRD Reports

Report Name	FINRA Gateway Template	Report Description
Branch - Associated Individuals		This report identifies all a parameters are entered, t
Branch - Branch Roster	Branch Roster	This report enables the re
Branch - Branch Snapshot		This report provides bran
Branch - Individuals with Multiple Employment Addresses		This report enables the re
Branch - Supervising OSJ Branches	Supervising OSJ Branches	This report includes a list
CE - Approaching CE Queue Report and Download	CE Approaching Requirement	Lists individuals in the fir
CE - Approaching CE Two Year Termed Download		Lists all individuals who w

FINRA Gateway Demo

- **FINRA Gateway Product Page**
 - <https://www.finra.org/finra-gateway>
- **CRD Is Moving to FINRA Gateway Page**
 - <https://www.finra.org/registration-exams-ce/classic-crd/crd-moving-to-finra-gateway>
- **Communication, Training, and Customer Support**
 - Check out FINRA Gateway Release Notes for the latest: <https://www.finra.org/filing-reporting/dxt/finra-gateway/release-notes>
 - Webinars: <https://www.finra.org/events-training/webinars/finra-gateway>
 - Search our **How can we help you? Menu** for in-product tutorials and user guides
- **Questions and Feedback?**
 - feedbackfinragateway@finra.org