

FINRA[®]

Registration Support and Operations

Operations, Disclosure, Training and Communications

ARM Conference

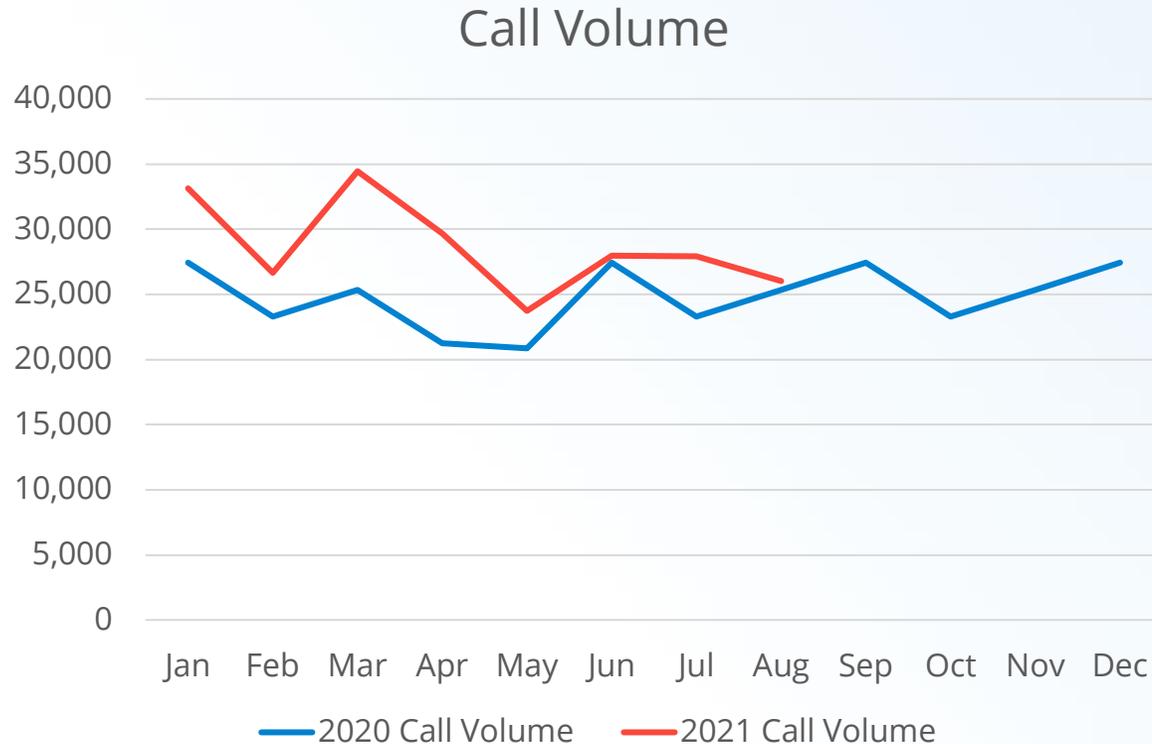
10/12/2021

CRED Operational Changes

CRED Organizational Changes

- The Operations Support Team has been consolidated to include the Gateway Call Center, Candidate Services, Regulatory User Support, and Research.
- This consolidation enables us to leverage the support teams to assist with incoming calls covering the following topics:
 - Financial Professional Gateway (FinPro)
 - E-Bill, Accounting and Renewals
 - Individual and Firm Disclosures

FINRA Call Center Call Volume



FINRA’s RSO department receives calls from firms, registered/unregistered reps, testing candidates, investors and the general public.

- In 2020, FINRA received 297,958 calls.
- As of August 2021, FINRA received 229,528 calls.
- Call volume has increased by about 15% so far this year.

Customer Call Wait Time

2020 Average Call Wait Time

2.7
MINUTES

1.8
MINUTES

2021 Average Call Wait Time

Call Wait Time (seconds)



Customer Call Wait Time

Last August, there was an average call wait time of 4 minutes and 25 seconds.

This August, the average call wait time was 26 seconds.



New System Announcements

FINRA SYSTEMS STATUS PAGE

- FINRA's System Status page was implemented March 2021.
- FINRA maintains status information for all systems in a single place.
- Visit the page to view planned maintenance times and system outage information:

finra.org/systemstatus

The screenshot displays the FINRA Systems Status page. The top navigation bar includes links for Rules & Guidance, Registration, Exams & CE, Events & Training, Filing & Reporting, and Compliance Tools. The left sidebar lists various services, with 'Systems Status' highlighted. The main content area features a green banner stating 'Incident Free'. Below this, a notice explains that all status information is reported in Eastern Time (ET) and provides contact information for technical support. A 'Scheduled Maintenance' section is also visible, detailing an outage for the DRPortal.finra.org system on Saturday, September 18, from 9-11 a.m. Eastern Time (ET). The description of the maintenance states that the FINRA DR Portal will be unavailable for system maintenance.

New Call Center Features

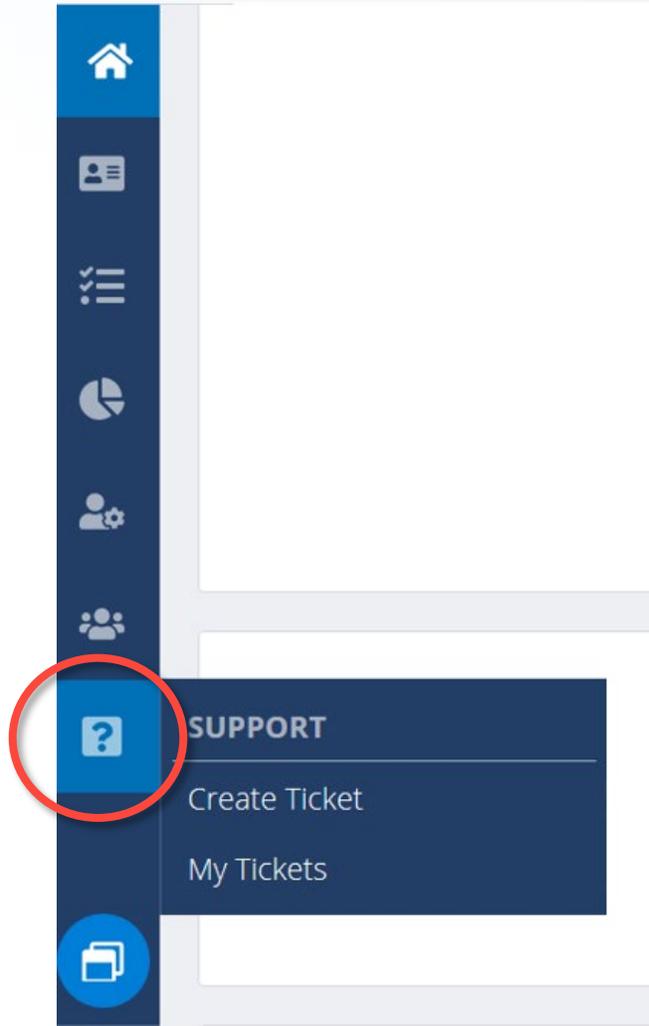
CALL CENTER MESSAGING

- In addition to adding issue updates to the FINRA System Status page, we can add instant system messaging to our phone lines.
- If a customer calls in for a question related to an issue, they can instantly receive the latest update instead of waiting on hold.

CALL BACK OPTION

- Implemented in March 2021 to advise callers of estimated wait time and an option to request a call back instead of staying on the line.
- Callers do not lose place in line.
- Since March, we've completed 5,092 callbacks.

Self-Service Tickets



- RSO completed 2,684 Self-Service tickets so far this year.
- In 2020 RSO completed 1,395 Self-Service tickets.
- Self-Service tickets are found within the Support section of the FINRA Gateway.
- You can quickly submit your support issues online through the system rather than on the phone.

New Tools under Evaluation for Support

- We are always looking for ways to continue enhancing the support offerings that firms can use by implementing new features:
 - Advanced callback, including scheduled time for call back
 - Co-Browsing and Screen Sharing
 - Chat
 - Call routing by Case
 - Artificial intelligence and a robust knowledge base
 - Request refund directly through E-Bill

New FINRA Fingerprint Process

New FINRA Fingerprint Process

- FINRA selected Sterling Identity as its new fingerprint provider
- Replaces a program that has been in existence since 2003
 - More technologically advanced
 - Increased quality process to reduce illegible fingerprints
- Sterling will process all fingerprints for broker-dealer firms and funding portal organizations whether in hardcopy or electronic format
- There is no change to the existing fingerprint fees at this time
- Prepare by completing Sterling's questionnaire, which identifies your firm's primary fingerprint submission option today and immediately after the transition



Fingerprint Impact by collection method

- **If your firm submits hard copy fingerprint cards:**
 - If collected in the United States or its territories, hardcopy fingerprints should be sent to Sterling directly
 - If collected outside the United States or its territories, hardcopy fingerprints must be sent to FINRA who will forward to Sterling on your behalf
 - Only FINRA-specific fingerprint cards will be accepted, and standard FBI cards will be rejected
 - Orders for fingerprint cards must go through Sterling
- **If a firm is using another fingerprint provider, your provider must make the necessary changes to support this transition**
- **If a firm is submitting electronic fingerprints directly to FINRA, you must contact Sterling to ensure your connection is complete**

Additional Fingerprint Impacts

- **Sterling will automatically assign a unique barcode with each submission**
 - Providing a barcode within Form U4 or Form NRF will no longer be required
 - Barcodes will be displayed in Classic CRD and FINRA Gateway for reconciliation

- **As a result of this transition, FINRA will have a period where fingerprints are not accepted:**
 - Begins four business days before go-live date
 - Required to ensure all submissions in current process are completed before the transition date
 - Any fingerprints received during the shutdown period will be rejected and will need to be submitted to Sterling on or after the go-live date

Registration Fee Increase

Registration Fee Increase

As announced in a recent rule filing (SR-FINRA-2020-032), FINRA is increasing some registration-related fees effective 1/1/22

- The Initial Registration and Transfer fee will increase from \$100 to \$125.
- The Branch Processing fee will increase from \$20 to \$75.
- The Branch Renewal Processing fee will increase from \$20 to \$75 effective this year's renewal cycle. This updated fee will reflect on each firm's preliminary and final statement for this year's renewal program.

Disclosure Letters

Disclosure Letters in FINRA Gateway Requests

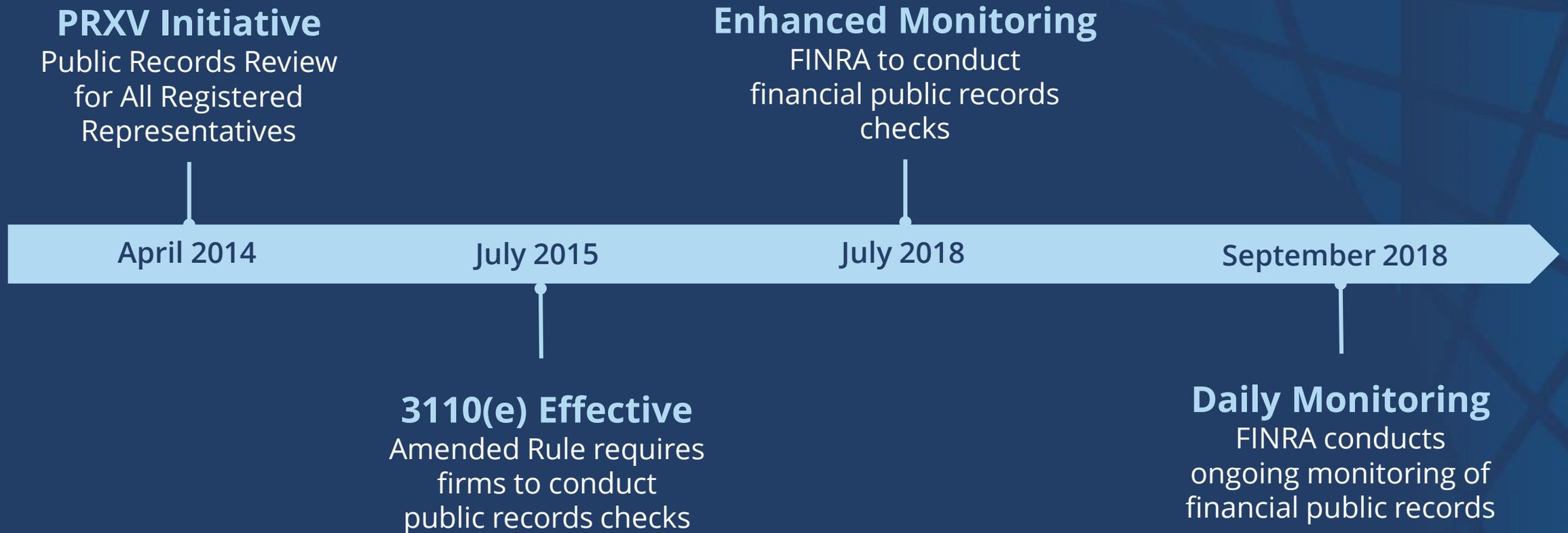
- ✓ Court Documents
- ✓ Correspondence (Signed & On Letterhead)
- Comments:
 - ✓ Comments should direct attention to critical information
 - ✗ "Filing Submitted"
 - ✗ "See Attached"
 - ✗ "Please Review"
 - ✗ "Why hasn't this letter been resolved?!?"

Disclosure Letters in FINRA Gateway Requests

- **Disclosure Review Analysts cannot see user information for comments.**
 - When communicating with Disclosure Review, identify letters by Individual CRD Number and Date Sent.
 - (Individual CRD Number = Case ID in FINRA Gateway Requests)
- **Marking a Disclosure Letter as “Complete” does not “Resolve” the Letter.**
 - “Withdrawn” or “Accepted” status indicates the Disclosure Letter is resolved.
 - “Submitted” indicates the Letter submission was marked “Complete.”
 - Additional documents may not be uploaded for a letter marked “Complete.”
 - Inactive Disclosure Letters are visible in the “Completed” Requests.
- **Email submissions are still accepted: DisclosureReviewDocuments@FINRA.org**

Public Records Review

Public Records Review (PRR) History



Public Records Review (PRR) Types

○ Daily Review

- Review of Financial Public Records Upon Initial Registration
 - Comprehensive review, indefinite look back
 - Completed within days of U4 filing

○ “Monitoring” Review

- Ongoing Review of Financial Public Records for All Registered Representatives
 - Excluding RR’s w/ European residential addresses
- Catches bankruptcy filings, judgments, and lien recordings – as soon as the next day
 - Helpful in updating “Pending” events & reducing late reporting

○ Criminal Review

- Periodic Review of Registered Representatives who:
 - Do not have a fingerprint result in the last five years, and
 - Have not been subject to Criminal Review in the last five years

PRR Letters – Handling & Response

1. **Carefully read the disclosure letter**
 - Some letters contain all the data necessary to complete the appropriate DRP
 - Where available, a public records website is included in the disclosure letter
2. **Make a “good faith effort” to validate the event**
 - ✓ Effort relative to age of the event and details provided
 - ✗ “Lack of recollection” alone is an insufficient response
3. **Submit disclosure – OR – documents / correspondence (in most cases)**
 - Correspondence should CLEARLY indicate non-reportability
 - ✓ “Filed in error” should be stated — not implied
 - ✗ Documents / Correspondence should not confirm a reporting obligation (e.g., lien release, judgment satisfaction, bankruptcy discharge)

Self-Reporting Is Still Required

Self-Reporting Is Still Required ... for U6 DRPs

Firms have an ongoing obligation to report new or amended disclosure information, including details reported via Form U6 by a regulator.

Self-Reporting Is Still Required ... for U6 DRPs

U6 DRPs require corresponding U4/U5 DRP reporting

- Independent knowledge triggers disclosure requirement
- Allegations may be “alternatively worded” within reason
- Current RRs can only comment through the Form U4 DRP

Self-Reporting Is Still Required ...

... But the "Comment" is optional.

- Keep in mind the instructions for the field: "... to provide a brief summary of the circumstances ... as well as the current status or final disposition."
- Comments that provide "current status" information should be reviewed and updated when appropriate.
- Avoid sharing personal details & third-party info — especially PII & RCI.
- Avoid comments to regulators.

Self-Reporting Is Still Required ... For 14I / 7E

Customer Complaints / Arbitrations / Civil Litigations

- Disclosure Review analysts periodically review Dispute Resolution cases & 4530 disclosure filings to ensure complete, accurate and timely reporting.
- When responding to Disclosure Letters about arbitrations, remember:
 1. 14I / 7E questions are allegation-driven (“which alleged that ...”).
 2. Title or position alone does not nullify a reporting requirement.
 3. Named Respondents and unnamed subjects of allegations have reporting obligations.
- “Firms and registered persons should review each claim on a case-by-case basis and make a good faith determination as to whether reporting is required.”

Training and Communications

Current Communications

- **Register for upcoming webinars at finra.org/webinars**
 - October 21 – Leveraging FinPro for Streamlined Compliance (available to register)
 - November 4 – Investment Adviser Representative CE (registration coming soon)
 - November 9 – Disclosure Reporting (registration coming soon)
- **Latest form filing updates in FINRA Gateway**
 - <https://www.finra.org/registration-exams-ce/classic-crd/registration-filing-finra-gateway>
- **Status of all CRD features moving to FINRA Gateway**
 - <https://www.finra.org/registration-exams-ce/classic-crd/crd-moving-to-finra-gateway>

Communication Survey

- FINRA is soliciting volunteers to provide feedback in the future regarding the best methods of communicating system changes.
- If interested, please visit finra.org/crdcommunication and complete the form.



Future Training Opportunities

- In September 2021, FINRA conducted a successful pilot of a virtual Registration Systems Bootcamp program and will tentatively launch the full program in Q1 2022
 - This will be a multi-day training designed to help new FINRA Gateway users become familiar with navigating the system
- Additional webinars will be scheduled based on new features and industry feedback
- FINRA will continue to monitor current events and will evaluate resuming in-person training at the appropriate time

Additional Resources

Webinar Recordings: finra.org/webinars

- FINRA Gateway
- FinPro
- Regulatory Filings (such as eFOCUS)

FINRA Gateway Rollout: finra.org/finra-gateway

- Key Dates
- FAQ
- Release Notes
- User Research

Email Subscription: tools.finra.org/email_subscriptions

- Invitations to Future Webinars
- CRD Program Announcements
- Feedback Opportunities



FINRA®

Testing and Continuing Education

Online Testing and CE Transformation

ARM Conference

10/12/2021

| Qualification Exams Update

| Continuing Education Transformation

| Resources

| Q & A

1 | Qualification Exams Update

COVID-19 Pandemic and Qualifications Exams

- March 16, 2020: All testing centers in US closed due to pandemic.
- March 16 – April 30, 2020: No qualification exams were administered in US testing centers.

COVID-19 Pandemic – Online Testing

- April 21, 2020: FINRA and NASAA began to pilot the delivery of qualification exams online.
- Six exams initially available both online and in test centers
 - SIE, Series 6, Series 7, Series 63, Series 65 and Series 66
- July 13, 2020: FINRA and NASAA announced online test appointment availability for these six exams to all candidates and members.

COVID-19 Pandemic – Online Testing, Continued

- February 24, 2021: FINRA announced an interim accommodation process to make other FINRA exams available for online testing.
- As of October 5, 2021, FINRA has successfully delivered over 37,500 online FINRA exams.
- FINRA will continue to make online testing available during the COVID-19 pandemic.
- In the longer term, FINRA may re-evaluate the overall availability of online testing.

2 | Continuing Education Transformation

Transforming CE – Main Goals

- Transition the Regulatory Element Program to an annual requirement with content tailored to each registration category
- Enhance Firm Element guidance and resources, including the creation of a centralized content catalog firms may leverage for Firm Element training
- Create a program that will allow individuals to maintain their qualification(s) up to five years after termination of their registration(s)

Transforming CE – Benefits

- Transitioning to an annual Regulatory Element requirement will provide registered persons with more timely and relevant training on significant regulatory matters
- Improve coordination between Regulatory Element and Firm Element Programs
- Improve Firm Element guidance, resources and access to content
- Extended ability to maintain qualification(s) while away from the industry
- FINRA system(s) enhancements

Transforming CE – Regulatory Element

- Annual requirement deadline would be December 31
- Content will be registration-targeted and include timely education on regulatory matters (e.g., rule changes, industry hot topics)
- Regulatory Element learning topics will be published in advance of each coming year to assist firms in planning their Firm Element programs
- FINRA system(s) functionality will be enhanced to facilitate compliance with the Regulatory Element requirements (e.g., tracking, notifications, reporting capabilities)

Transforming CE – Firm Element

- Improve guidance and resources provided to firms for conducting the Firm Element annual needs analysis and training program
- Firm Element training extended to all registered persons
- Recognition of other training requirements for purposes of satisfying Firm Element (e.g., ACM, AML, CFP)
- Create a centralized content catalog that would include content created by SROs and training providers that firms may optionally leverage for their firm training

Transforming CE – Maintaining Qualifications

- Ability for individuals to maintain their qualification(s) after termination of their registration(s) for up to five years
- Content is specific to the registration category for which an individual wishes to maintain their qualification
- Annual CE Program consists of Regulatory Element content and content selected from the centralized content catalog

Transforming CE – Using FinPro

- FinPro will become a hub for securities CE
- Regulatory Element, Firm Element (e-learning) and New CE Qualification Maintenance
- Securities professionals will sign up, select, complete and pay in FinPro

Transforming CE – Using FinPro, Continued

- Assigned learning applicable to the registration category for which an individual wishes to maintain their qualification
- Receive notifications and reminders throughout the program
- Stay up to date on current securities information

3 | Resources

Resources

Qualification Exams

- Coronavirus Impact on FINRA-Administered Exams: <https://www.finra.org/rules-guidance/key-topics/covid-19/exams>
- Schedule an Exam: <https://www.finra.org/registration-exams-ce/qualification-exams/schedule-exam>

Continuing Education Transformation

- [Regulatory Notice 18-26](#)
- [Regulatory Notice 20-05](#)
- [Proposed Rule Change to Amend Rule 1210 and 1240: SR-FINRA-2021-015](#)



FINRA®

FINRA Updates

Registration, FINRA Gateway and More

ARM Conference

10/12/2021

Speakers



Bill Swanstrom
Vice President



Claudia Holanda
Director



Jerry Gerard
Senior Director



Noah Egorin
Senior Director



Thomas Weaverling
Director

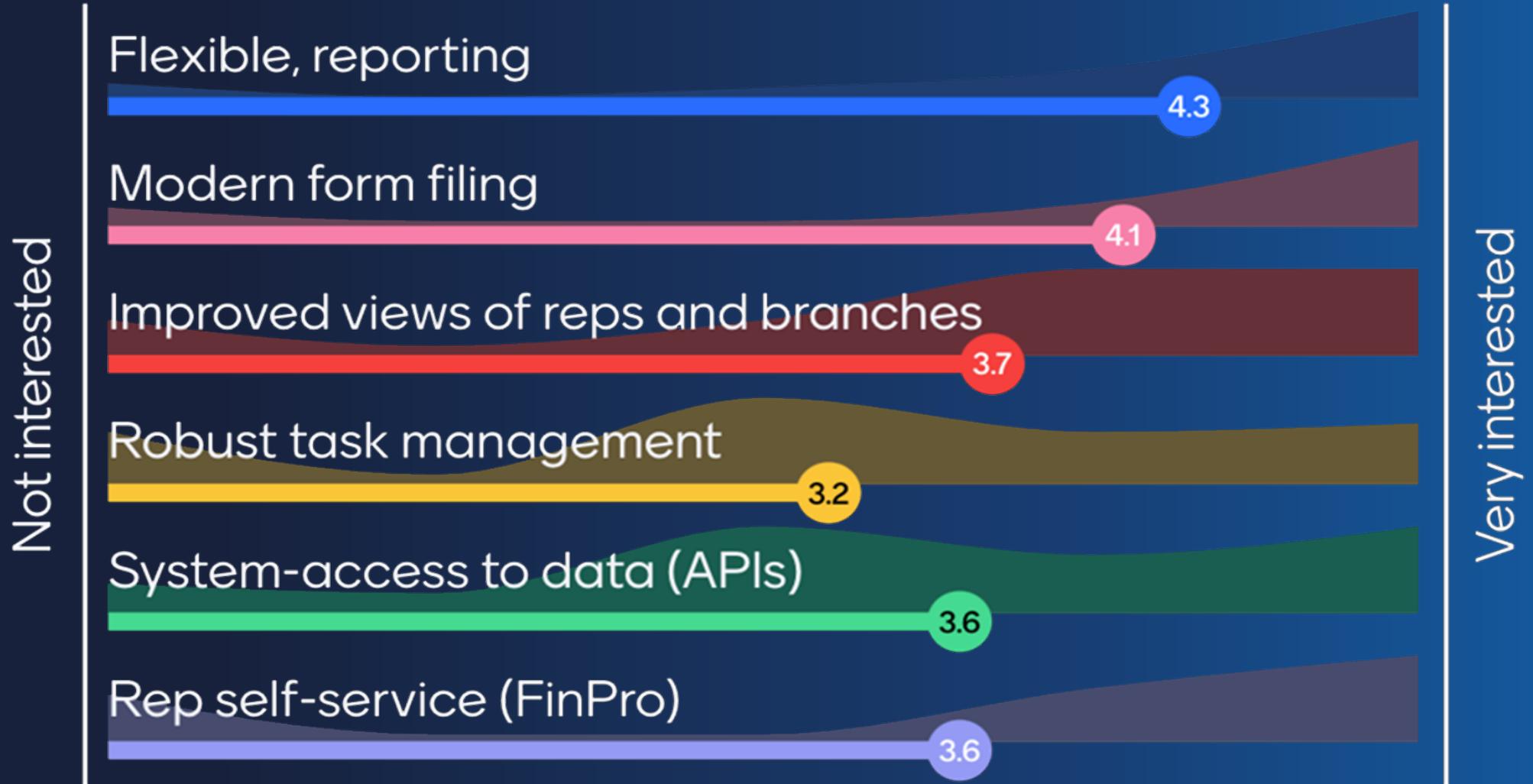
AGENDA

- 01 | Reflections
- 02 | Available Today
- 03 | What We Are Hearing/Feedback
- 04 | What's Coming
- 05 | Maximizing the Tools
- 06 | Key Dates



1 | Reflections

2019 Results



How We Were Feeling



Where We Have Been. Where We Are Going.

The Transformation Journey

- Continuous industry engagement
- A big vision
- Emergence of a digital transformation beyond registration
- Focus on key metrics
- Iterative approach

On The Horizon

- Expansion of FINRA Gateway (registration & beyond)
- Impact of major continuing education initiatives.
- Further investment in leveraging data & enabling automation
- Increased personalization and customization capabilities

First Steps to a New Way of Working



- A single FINRA application
- Model based on starting with the financial professional (or firm and branch)
- Separation of data collection from form
- Task-based mentality
- Contextually-aware tasks and experience

2 | Available Today

Profiles

FINRA Firm: FINRA DEMO FIRM (CRD: 3000005) SEND FEEDBACK Profile Search DT

Individual Profile Catherine Smith CRD# 80000012 Back

Catherine Smith (CRD# 80000012) Non FinPro User View/Print Individual Profile Download Profile

0 Registrations 3 Disclosures 36 Deficiencies 0 Valid Exams 9 Years in 1 Firms

Summary	
Rep Identifiers	Contact Information
SSN: ... View SSN	Residential Address: AutoTestXuBibBVKfjTV, MD 20850
DOB: 10/15/1959	Current Work Information
Alternate Names: Cathy Smith, Catherine Brown +1 More Alternate Name	Firm: FINRA DEMO FIRM 3000005
Rep Status	Located At: BD Main Office, Firm Billing Code: 58556, RESTON, VA 20190
CE Inactive: 01/26/2021	Position(s): R
Other Business: No	

Filings

- Pending Filings
- [U5 Drafts \(1\)](#)
- Historical Filings
- [Filing History](#)

Actions ?

- Individual Actions
- [Update \(U4 Amendment\)](#)
- [Full Termination \(U5 Full\)](#)
- [Partial Termination \(U5 Partial\)](#)

Expand All

Registrations

How can we help?

Data Collection (U4 & U5)

FINRA Firm: FINRA DEMO FIRM (CRD: 3000005) SEND FEEDBACK Profile Search DT

U4 Rep Name: Smith, Catherine (CRD: 80000012) Filing ID: 81240084 Filing Type: Amendment Updated: 8/31/21

Data Entry

- Personal Information
- Employment History / Other Business
- Registration Requests with Firms
- Registration with Unaffiliated Firms
- Exam Requests
- Professional Designations
- Disclosures
- Bankruptcy / Compromise**
- Bond
- Civil Judicial
- Criminal
- Customer Complaint / Arbitration / Civil Litigation
- Investigation
- Judgment/Lien

Personal Bankruptcy

14K. Within the past 10 years:

(1) have you made a compromise with creditors, filed a bankruptcy petition or been the subject of an involuntary bankruptcy proceeding?

Yes No

No Information Filed

[Add New](#)

i If events result in affirmative answers to both 14K(1) and 14K(2), details to each must be provided on separate lines.

Action

Rev. DRP (05/2009)

05/2009

Action Type (select appropriate item): *

Bankruptcy

Completeness Check: 4 Errors
Last Updated Aug 31, 2021, 3:13:32 PM

- EMPLOYMENT HISTORY / OTHER BUSINESS (2)
 - A minimum of 10 years of Employment History with gaps of no more than 3 months must be provided.
 - At least one current employment record is required.
- SIGNATURES (2)
 - 'Signature of Appropriate Signatory' is a required field.
 - 'Signature Date of Appropriate Signatory' is a required field.

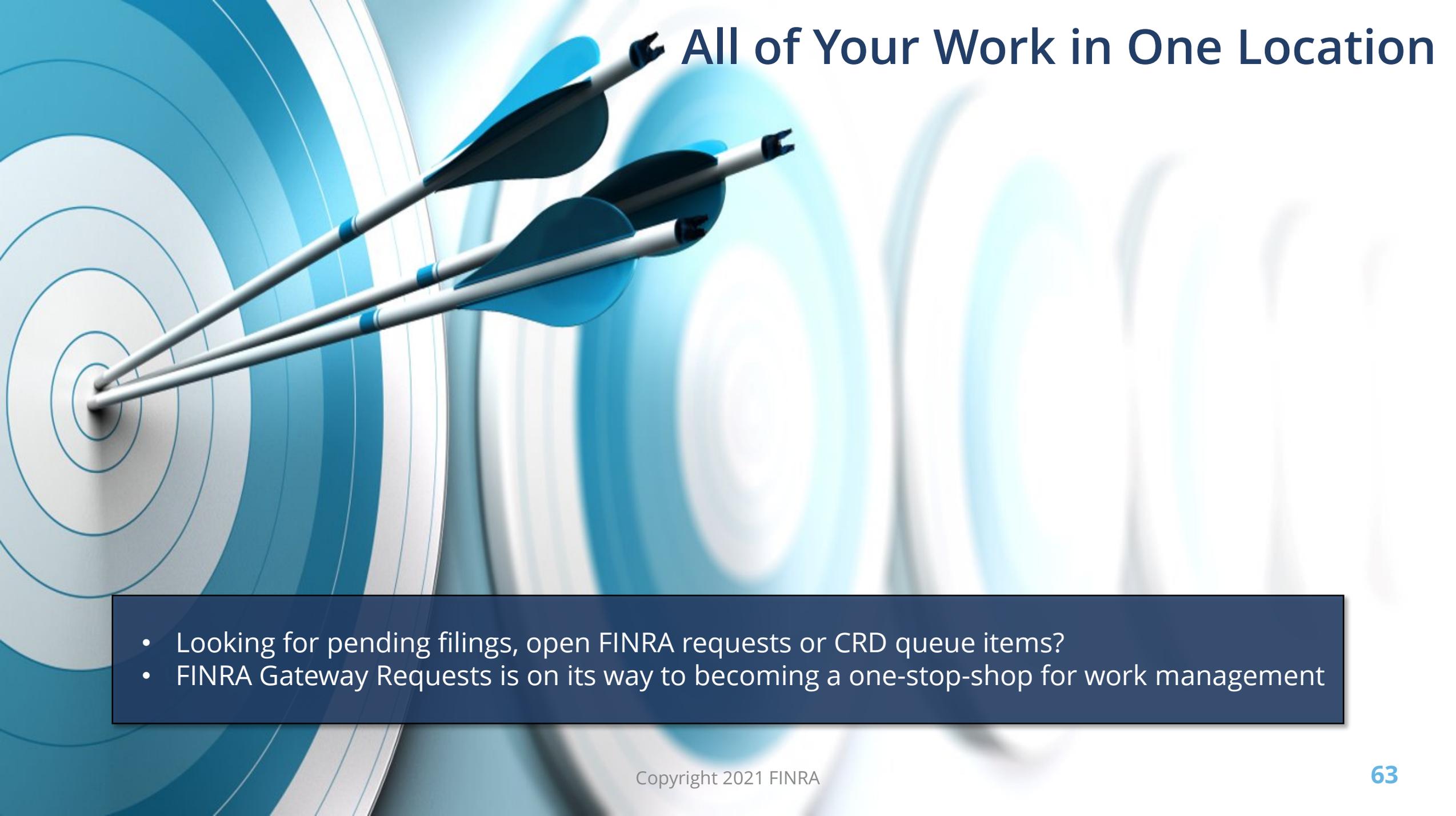
How can we help?

[Completeness Check](#) [Form View](#) [Allow Rep Edits](#) [Save](#) [PREVIOUS](#) [NEXT](#)

Allow Rep Edits Continues to Evolve



- Allowing access is inviting representative collaboration — not giving up control
- Notification functionality is planned
- Opportunity to establish firm settings and better integration in FinPro

The background of the slide features a large, stylized target with concentric blue and white circles. Three darts with blue fletching and white shafts are shown in mid-air, having just struck the center bullseye. The overall aesthetic is clean and professional, using a blue and white color palette.

All of Your Work in One Location

- Looking for pending filings, open FINRA requests or CRD queue items?
- FINRA Gateway Requests is on its way to becoming a one-stop-shop for work management

FINRA Gateway Reports

FINRA Firm: FINRA DEMO FIRM (CRD: 3000005) SEND FEEDBACK Profile Search DT

Reports

Search All Custom Reports, Templates...

My Reports (2) **Templates (35)** ^{New} Published Reports (6) ^{New}

- All
- Individual
- Firm
- Branch
- Terminations
- Continuing Education
- Exams ^{New}
- Registrations
- Disclosures

Active Individuals Roster Explore a comprehensive set of data attributes about individuals currently employed by your firm.	Individual Roster (including terminated individuals) Explore a limited set of data attributes about individuals...	All Accounts Report This Report provides information about all accounts that belong to your organization.
Branch Roster Explore a comprehensive set of data attributes about your firm's registered branches (active and...	Branches by Deficiency Status Explore registered branches categorized by branch deficiency status.	Firm Explore a comprehensive set of data attributes about your firm's registration and disclosure data.
Regulatory Filing History Explore filings submitted by your firm to FINRA.	Supervising OSJ Branches Replacement of the Classic CRD Branch - Supervising OSJ Branches, this report includes a list of OSJ...	Terminated Individuals by Reason Code Explore individuals terminated year to date categorized by...
CE 2-Year Termed Replacement of the CE 2-Year Termed Classic CRD Firm Queue, this template shows any...	CE Approaching Requirement Replacement of the CRD Classic Firm Queue for Approaching CE Requirement, this template show...	CE Currently Required Replacement of the Classic CRD Firm Queue for Currently CE Required, this template shows...

Recently Viewed

- [Active Individuals Roster](#)
- [All Accounts Report](#)

Exports Ready for Download

- [activeindividualsroster_2021_08_3...](#)

How can we help?

FINRA Gateway Reports, Continued

FINRA Firm: FINRA DEMO FIRM (CRD: 3000005) SEND FEEDBACK Profile Search DT

Active Individuals Roster (11)

Columns Filter ^{New} Group ^{New} Save Export ^{New}

First Name	Last Name	Individual CRD#	Registrations	Disclosures	Exams	Deficiencies	Branch
John	Doe	80000008	36	5	4	34	1
John	Johnson	80000010	37	3	4	103	2
Jen	Doe	80000011	36	3	4	210	1
Catherine	Smith	80000012	36	3	4	210	1
Alex	Smith	80000013	36	3	4	155	1
Alex	Brown	80000014	36	3	4	48	1
Antonio	Brown	80000015	37	3	4	97	1
Michael	Jackson	80000016	36	3	4	175	1
Lamar	Jackson	80000017	36	3	4	175	1
Jennifer	Jackson	80000018					1
Jennifer	Johnson	80000019					1

How can we help?

E-Signature for Form U4

Provide Your Signature
✕

Date

Full Name

PREVIEW

Date:

2/12/2021 - 3:32 PM (ET)

Signature of Applicant:

Anthony Anderson

FINRA

By selecting Confirm, I am agreeing that this electronic signature is an appropriate way of conveying my agreement and in every way, use or aspect, constitutes my legally binding signature. I attest to the completeness and accuracy of information contained in this form and agree and consent to the conditions and obligations specified therein.

CANCEL

CONFIRM

E-Sign Rep Tracking
Columns Save Export

Filters: First Name + Add Filter

Groups: + Add Group

Filing ID ↓	Individual CRD#	First Name	Last Name	Form Type	Signature/ Acknowledgement Required	Event	Event Time
5000010	123456	Robert	Ricketts	U4	Yes	E-sign Made Available	2/18/2021 - 3:10 PM (ET)
5000010	123456	Robert	Ricketts	U4	Yes	Rep E-signed	2/20/2021 - 12:00 PM (ET)
5000010	123456	Robert	Ricketts	U4	Yes	Form Submitted	2/24/2021 - 5:30 PM (ET)
5000009	234567	Tim	Purdy	U4	Yes	E-sign Made Available	2/18/2021 - 3:30 PM (ET)
5000008	345678	Sam	Renninger	U4	Yes	E-sign Made Available	2/21/2021 - 9:30 AM (ET)
5000008	345678	Sam	Renninger	U4	Yes	Rep E-signed	2/22/2021 - 12:15 PM (ET)



3 | What We Are Hearing

What We Are Hearing



4 | What's Coming

Evolution of FINRA Gateway Requests

- More specific requests
- Better search
- Better notifications
- View only requests you are entitled to see
- FINRA Gateway widgets
- See the status of a request in progress



Regulatory Support Interactions

- Refunds
- Account overrides
- BrokerCheck comments
- Duplicate record management
- Corrections that require FINRA engagement
- Ad hoc report support
- Testing & continuing education support scenarios



Organization-Based Forms

The screenshot displays the FINRA U4 form interface. At the top, it shows the firm name 'FINRA DEMO FIRM (CRD: 3000005)' and a 'SEND FEEDBACK' button. The main header includes 'U4', 'Rep Name: Smith, Catherine (CRD: 8000012)', 'Filing ID: 81240084', 'Filing Type: Amendment', and 'Updated: 8/31/21'. A 'Completeness Check' panel on the right indicates '4 Errors' and lists an error under 'EMPLOYMENT HISTORY / OTHER BUSINESS (2)'. The main form area is titled 'Personal Bankruptcy' and contains a text input field with the value '14K'. Below this, there is an 'Action' section with a dropdown menu showing 'Rev. DRP (05/2009)' and a date field '05/2009'. The 'Action Type' is set to 'Bankruptcy'. At the bottom, there are navigation buttons for 'Completeness Check', 'Form View', 'Allow Reg Edits', 'Save', 'PREVIOUS', and 'NEXT'. A sidebar on the left lists various categories like 'Bond', 'Civil Judicial', 'Criminal', etc.

- Forms - BR, BD, ADV
- Data collection efforts treated cohesively with the use and related business procedures.
- Constraints & challenges exist to quickly realizing many of the most desired improvements

FINRA API Developer Center (developer.finra.org)

FINRA API Developer Center

Products Documentation ▾ Support

REQUEST TEST ACCESS

Welcome to the API Developer Center

Build automated compliance solutions faster and easier than ever before

GET STARTED

Increase Automation
Automate your processes to more proactively manage your compliance program and achieve greater efficiency.

Lower Costs
Minimize duplicate work, quickly reconcile data, and reduce data entry through system integration.

Innovate
Quickly and easily create new compliance solutions that move the industry forward.

FINRA Data (www.finra.org/finra-data)

ABOUT FINRA CAREERS MEDIA CENTER CONTACT US BROKERCHECK

LOG IN

FINRA

Rules & Guidance Registration, Exams & CE Events & Training Filing & Reporting Compliance Tools For Investors

FINRA Data

FINRA Data

Browse Data Catalog

How to Work With FINRA Data

FINRA API Developer Center

Secure File Transfer (fileX)

FINRA Data

We understand that flexible access to high-value data and analyses is a critical need for our member firms and other industry participants.

Looking to automate your compliance operations?

API DEVELOPER CENTER

FINRA Data (www.finra.org/finra-data)

The screenshot shows the FINRA Data website interface. At the top, the FINRA logo is on the left, and navigation links for 'Rules & Guidance', 'Registration, Exams & CE', 'Events & Training', 'Filing & Reporting', 'Compliance Tools', and 'For Investors' are on the right. A search icon is also present. A left-hand menu is open, highlighting 'Browse Data Catalog'. The main content area is titled 'Browse Data Catalog' and includes a sub-header 'FINRA DATA'. Below this, there is a paragraph explaining the catalog and a link to 'how to work with FINRA Data'. A blue callout box asks for feedback on the new section. Below that, there are filter boxes for 'Access Type', 'Categories', and 'Fee Structure', all set to 'All'. The results section shows 'Displaying 1 - 10 of 47 results' and a link to 'Academic Corporate Bond TRACE Data'. Underneath, it says 'Fixed Income Data' and provides a 'Description' of the data set.

FINRA

Rules & Guidance Registration, Exams & CE Events & Training Filing & Reporting Compliance Tools For Investors

FINRA Data

- FINRA Data
- Browse Data Catalog**
- How to Work With FINRA Data
- FINRA API Developer Center
- Secure File Transfer (fileX)

> FINRA DATA

Browse Data Catalog

Browse the FINRA Data Catalog. You can filter the catalog by category, access type, or fee structure. More about [how to work with FINRA Data](#).

Please give us feedback on this preview of the new FINRA Data section.

Data Catalog

Access Type Categories Fee Structure

All All All

Displaying 1 - 10 of 47 results

[Academic Corporate Bond TRACE Data](#)

Fixed Income Data

Description:
The Academic Corporate Bond TRACE Data set contains historic transaction-level data on all transactions in

5 | Maximizing the Tools

Customizing the Gateway



Disclosure Letters in the Gateway

FINRA Firm: FINRA DEMO FIRM (CRD: 3000005) SEND FEEDBACK Profile Search DT

Filters **Requests & Filings** Create Filings

Type Inquiry Letter

Category Disclosure Letter

Overdue Overdue

Status Open

Clear Filters

Search Criteria
Search for Work Items

Active (1) Completed History

Filters (1)
Disclosure Letter X

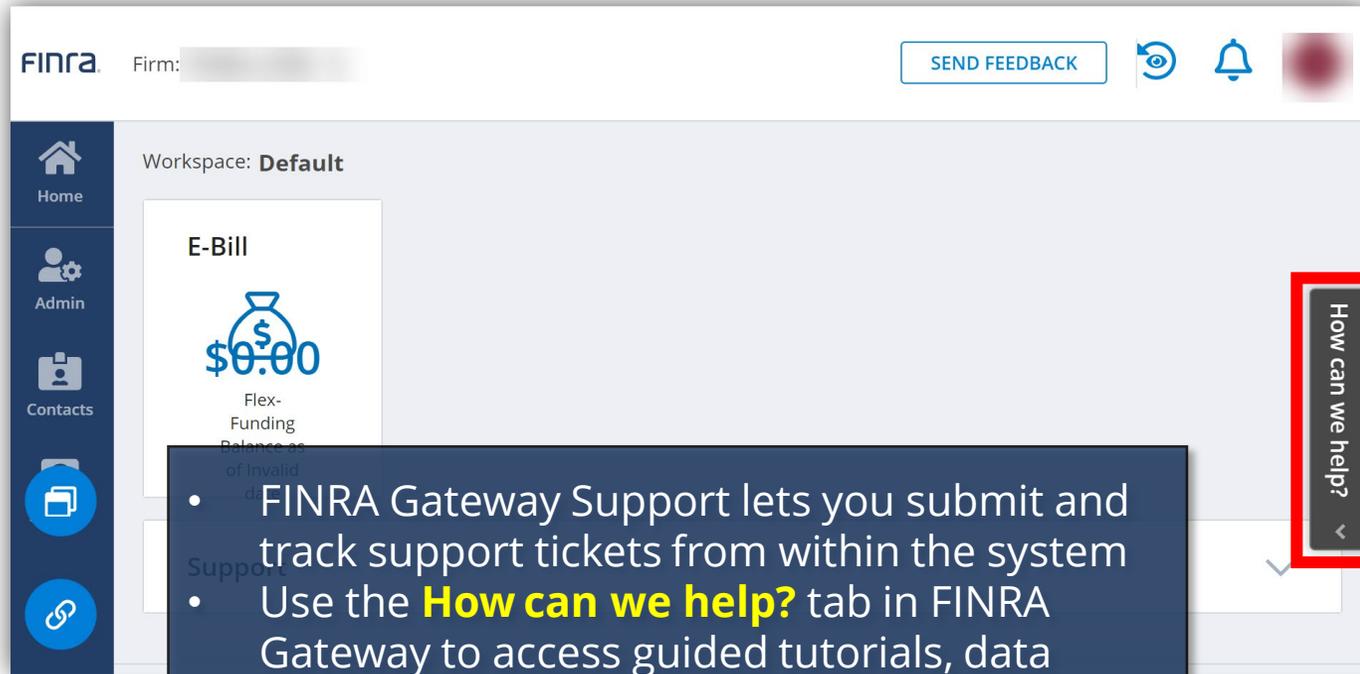
Clear Filters Delete View Save View

Sort By ^{New} Due Date Ascending

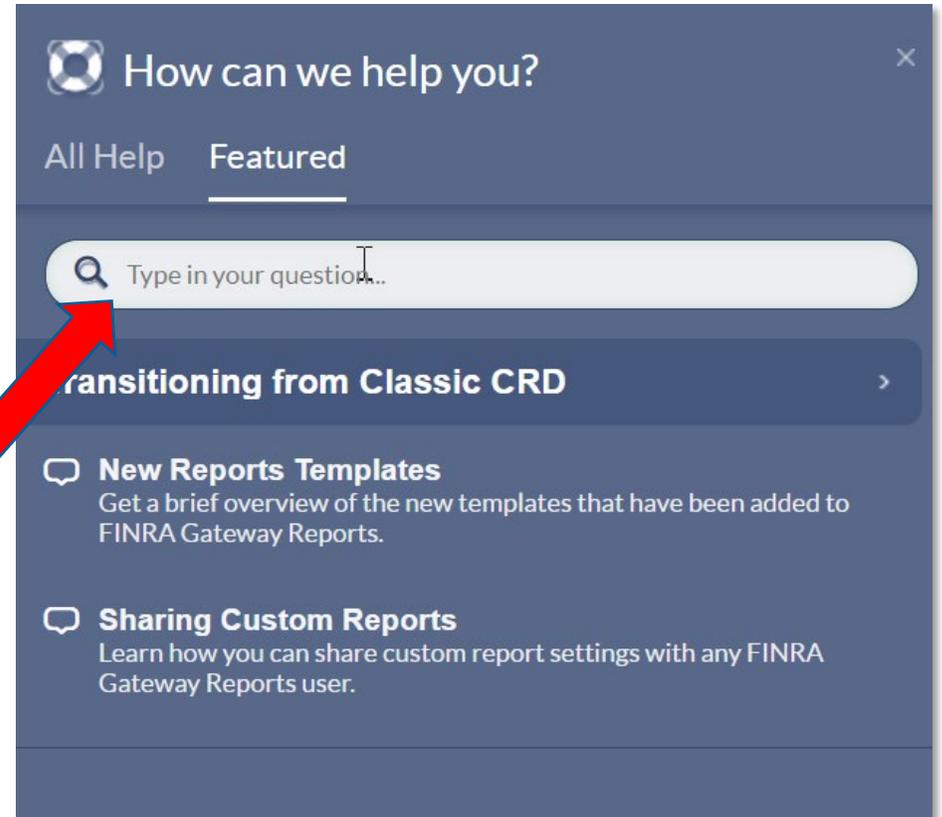
Arrest Inquiry - New Information	Rep CRD#	Rep Name	Type	Created Date	Due Date	Status
Disclosure Letter	80000008	Doe, John	Inquiry Letter	06/21/21	07/21/21, 11:59 PM	Open

How can we help?

In-System Support Features Right at Your Fingertips



- FINRA Gateway Support lets you submit and track support tickets from within the system
- Use the **How can we help?** tab in FINRA Gateway to access guided tutorials, data dictionaries and other resources.
- FinPro's **Help** button connects users to support resources on our site: finra.org/finpro



Financial Professional Gateway - FinPro

- Collaborate with your reps using U4 Allow Rep Edits.
- Enable Attestation so reps can indicate whether or not their record needs to be updated.
- Exclusive access to your reps' Continuing Education (CE).
- Send your reps to FinPro to retrieve a copy of their latest U5.
- Enable CE notifications so your reps will receive reminders to complete CE.
- E-Signature for U4.
- Use FINRA Gateway reports to determine who does or does not have a FinPro account.

The screenshot displays the user profile for Alex Joe Smith in the Financial Professional Gateway. The interface includes a navigation sidebar on the left with options: Summary, Employment, Registrations, Qualifications, Continuing Ed, and Disclosures. The main content area shows the user's name, CRD number (80000013), and alternative names. Three summary cards indicate 3 Current Disclosures, 0 Archived Disclosures, and 4 Passed Exams. A Reminders section contains two yellow alerts: one for being past due for 201 Continuing Education and another for a pending U4 filing request. Below this, it shows 'Current Registrations' as 'Not Currently Registered' and 'Home Address' information. A 'FinPro Attestation' section on the right allows the user to confirm the accuracy of their information, with an 'Apply' button. A feedback icon is visible on the right edge of the interface.

6 | Key Dates

Key Dates

- CE Notifications to reps (September 17, 2021)
- My Favorites for Reports (September 24, 2021)
- E-Signature (September 25, 2021)
- Single page view for registrations (September 27, 2021)
- Updates to BD firm profile (October 29, 2021)
- Branch Associated Individuals (November 8, 2021)
- Fingerprint vendor update (Late Fall 2021)
- Subscription management for notifications (December 2021)
- Enhanced Form BR (January 2022)
- IAR CE for adopting states (2022)

2021



2022



2023



