

FINra®

Leveraging FinPro for Streamlined Compliance

October 21, 2021

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FinPro Feature Highlights: Firm Settings

○ **Attestation**

- Reps can indicate whether or not their record needs to be updated and the firm can track responses via the “FinPro Access Tracking” template in FINRA Gateway Reports.

○ **CE Notifications**

- Your reps can receive reminders to complete Regulatory Element CE. Firms can choose notifications to be sent at 120, 90, 30, 10 and CE Inactive intervals.
- FinPro CE emails will come from: notifications@finra.org
 - For general information about FINRA system-generated emails, please visit: <http://finra.org/system-notifications>

○ **Form U4 E-Signature**

- Reps can electronically sign Form U4 filings as part of the U4 filing process. Firms can manage and monitor electronically signed filings with the FINRA Gateway Requests and Reports features.
- As a result, FinPro users are no longer able to type their names in the U4 signature fields as part of the Allow Rep Edits feature. Firms must now enable the separate E-Signature feature to grant FinPro users access to the signature page.

Live Demo



What Firms Are Saying

Benefits

- “The primary benefit here would be the ease of use. In a work from home environment (for so many people) who don’t always have a printer, or a scanner and often have to go to a local store to have the form faxed or scanned, this will make it so much more efficient on the RR side.
- “This would save us the time and file size pain points of combining PDFs together, send to the rep to manually sign, scan and email back to us for our signatory sign-off.
- “We see this as a big win overall and believe this will decrease the time it takes for associates to get registered. It was quite challenging to get wet signatures. “

Best Practices

- “It would involve process changes to the communication instructions we provide them, which would direct them to FinPro and what to click on using this guide as the basis for our bulleted list of instructions.”
- “Having an e-signature would allow us to utilize a signature on more items (that wouldn’t necessarily have required it historically), but also allows the RR to confirm their information is accurate and sign immediately via FinPro.”
- “The WSP we have should not change since we are still going to be looking for a signed U4—it would just be manual or electronic.”
- “We are using the 10-day interval CE Notification in addition to the notifications that the firm already sends out. We believe reps will be more responsive to a notification coming from FINRA and complete their CE sooner.”
- “I keep Attestation enabled all year long. I want my reps to become accustomed and reminded to review their record each time they log in to FinPro.”

Did You Know...

- No more waiting on emails when resetting password. FinPro password resets can now be completed on one screen
- Users can update the emails on file in their FinPro account. Once logged in to FinPro, go to **My Account**.
- To create a PDF of your FinPro record, go to **Print My Report**. Select your browser print option, and under Print Destination, select **Save as PDF**.
- FinPro has eight things a person can do today
 - Learn more here: <https://www.finra.org/registration-exams-ce/finpro/new-and-current-reps>



Please submit questions to feedbackfinragateway@finra.org

Resources

Using FinPro: finra.org/finpro

- Account creation help
- Communication templates
- How to use new features
- Contact Thomas.Weaverling@finra.org to discuss best practices and rollout approaches.

FINRA Gateway Rollout: finra.org/finra-gateway

- Upcoming milestones
- Release notes
- User research

Registration & Testing Info email list: tools.finra.org/email_subscriptions

- Invitations to future webinars
- Registration system announcements
- Feedback opportunities