Enhanced BR Filing Process

December 16, 2021
Agenda

01 | BR Modernization Overview
02 | Key Dates and Milestones
03 | Demo
04 | Future Capabilities
05 | Resources
06 | Questions
BR Modernization Overview

- A cleaner, more user-friendly experience
- Fully integrated into the FINRA Gateway
- **Smart form features:**
  - Initial branch filings start from the firm profile
  - Amendments and closings will be started from the branch profile
  - System will automatically present relevant filing options
  - Revised individual look-up within the form
- **Draft filings will be managed from the FINRA Gateway Requests page, as well as firm and branch profiles (similar to Forms U4 & U5)**
- **No impacts to automated Web EFT submissions**
Key Dates and Milestones

- **Go-Live**
  - Go-live date is currently scheduled for January 22, 2022
  - Retirement of Classic BR will be no earlier than April 21, 2022

- **User Testing**
  - User testing will be available January 3-14, 2022
  - Participants must have current entitlement to submit BR filings in CRD
  - Sign-up via the post-webinar survey
Future Capabilities

- **Quick Edits**
  - In-line changes via the branch profile

- **Bulk Actions**
  - Move individuals
  - Update supervisory information
  - Close branches
Resources

Webinar recordings: finra.org/webinars
- FINRA Gateway
- Financial Professional Gateway (FinPro)
- Disclosure Reporting

FINRA Gateway rollout: finra.org/finra-gateway
- Key Dates
- Release Notes
- User Research

Registration and Testing email list: tools.finra.org/email_subscriptions
- Registration system changes
- Feedback opportunities
- Other important announcements
Questions?

For questions or feedback regarding FINRA Gateway, please email feedbackfinragateway@finra.org