

The New Form 211 Filing Platform

We are pleased to announce the launch of our updated Rule 211 filing platform, designed to streamline your regulatory filing experience. This enhanced platform features an intuitive interface, advanced functionality, and improved navigation to make your filing processes more efficient and user-friendly.

The upgraded platform reflects our ongoing commitment to providing member firms with modern, reliable tools that simplify compliance workflows while maintaining the highest standards of data security and regulatory accuracy.

Use this guide to walk you through the new features and help you transition seamlessly to the improved system.

What's New?

- ✓ The Gateway location the Form 211 portal resides
- ✓ Improved functionality on the home page

What's Unchanged?

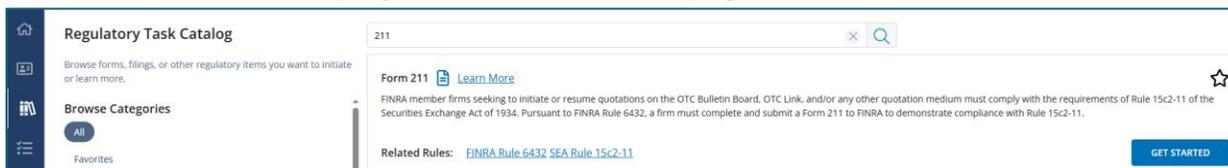
- ✓ Submitting the Form
- ✓ The 211 Form content

How to Access the new Form 211 Platform

You will still use the gateway to access the Form 211 Platform.

1. Login into the gateway: gateway.finra.org
2. Click the **Regulatory Task icon**  located on the left button navigation pane. The navigation panel displays available categories and a search bar.
3. Type **211** in the Search bar and click the **Search** button. The link for the Form 211 system displays.

Click  to display the Form 211 Homepage.



Effective March 30, 2026, the current Form 211 filing platform will be retired and replaced.

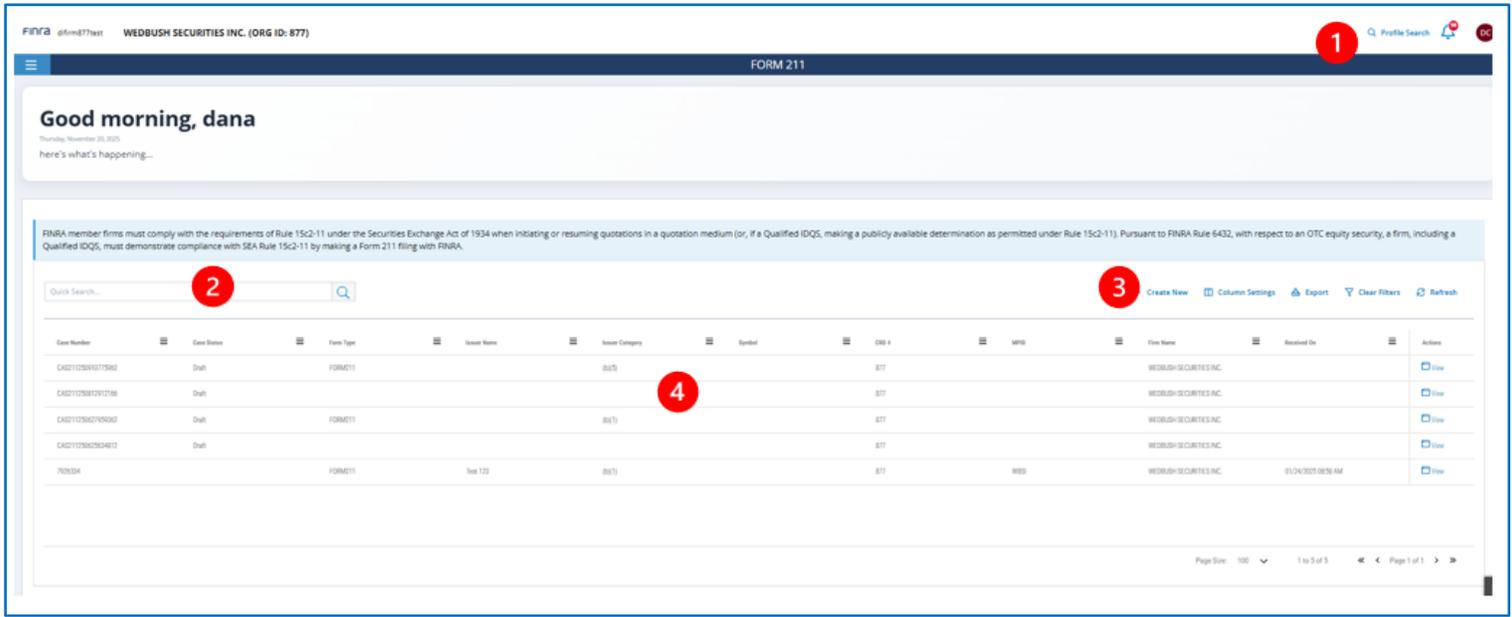
Please Note:

Form 211 Applications filed prior to September 2021 will be available in the legacy system in a read only format.

New Form 211 Application filings and historical filings from September 2021 and forward will be submitted and accessed through the new platform.

For assistance with accessing the system, contact FINRA Support Center by phone at (301) 590-6500.

Home Page Enhancements



1 NOTIFICATIONS
Click the Bell icon to access informational notifications.

2 QUICK SEARCH

Use the Quick Search to narrow down the case results view.
Basic Search: Type one or more keywords to search all columns on the Home Page.
Refine Your Results: Add more keywords to narrow down your case view.

View Your Results The search key displays:

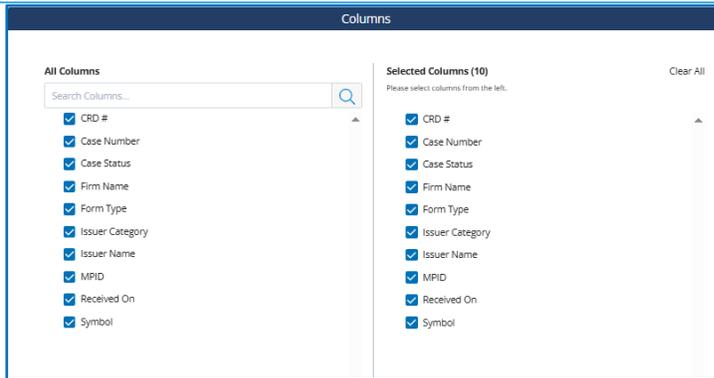
- Number of records found
- Keywords used in the search
- Which keywords matched and which did not

The search results interface shows a search bar with the text 'Test 111 SASS'. Below the search bar, it displays 'Found 47 records (Found: Test, 111 - Not found: SASS) Total 3 keywords used "Test, 111, SASS"'. Below this, a table of results is shown with columns for Case Number, Case Status, Form Type, and Issuer Name. The first two rows of the table are visible:

Case Number	Case Status	Form Type	Issuer Name
CAS21258191759699	Pending Firm Response to Reques...	FORM211	Test
CAS212581917596178	Draft		

3 BUTTON BAR
Create New: Opens a new 211 Form.

Column Settings: Allows you to apply a custom view of the columns on the homepage. From the All Columns table, click to select or deselect the columns you wish to display.



Export: Exports the data on the Homepage to an Excel spreadsheet.

Clear Filters: Removes any filters that have been applied to the columns.

- Click a column name to sort by ascending/descending order.
- Click the ☰ menu to the left of the column to filter by a specific set of data.

Refresh: Updates the display for the latest version of content.

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COLUMN UPDATES

Matter ID had been replaced with **Case Number**.

Additional Status Types

To keep you more informed about your submission, we have added several status types. The following statuses may display during the submission life cycle:

Draft	A saved but not submitted form.
Pending	A submitted form that was accepted into the Form 211 system.
Open for Amendment	The FINRA analyst has opened the filing for an amendment.
Received Amendment	Your response to the Open for Amendment request has been received.
Open for Pricing Amendment	The FINRA analyst has opened the filing for a Pricing amendment.
Received Amendment for Pricing	Your response to the Open for Amendment Pricing has been received.
Priced Quotation	The filing's final disposition.

	Unpriced Quotation	The filing's final disposition.
	Closed No Response	The filing's final disposition.
	Closed Other	The filing's final disposition.
	Withdrawn	The filing's final disposition.

The Following historical statuses for a final disposition may display for migrated cases:

- Cleared Priced
- Cleared UnPriced
- Uncleared No Response
- UnCleared Other
- Uncleared Withdrawn