

FINRA Information Requests – Excel Enhancement User Guide

Download, complete, upload, review and submit a FINRA request using Excel

Purpose

- Use this guide when completing certain FINRA requests (*e.g.*, Third-Party Vendor Request, Crypto Asset Activities Request, Customer Information Request)
- This guide explains the complete Excel workflow and the checks to perform before moving to the next step.

QUICK WORKFLOW

1 Download	2 Complete	3 Review	4 Upload	5 Verify & Submit
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Before You Begin

Complete these checks before downloading the questionnaire:

- ☐ Open the applicable information request in FINRA Gateway.
- ☐ Coordinate edits if more than one person will contribute to the questionnaire.
- ☐ Plan to retain a copy of the completed file until the information request has been reviewed and submitted.

Important

The warning displayed during download states that answers that were saved in the current draft will appear in the downloaded Excel file. Review the warning displayed in FINRA Gateway before continuing.

At-a-Glance Process

Stage	What you do	What you verify
Download	Select Download Excel and open the file.	The correct information request was downloaded.
Complete	Enter and save responses in the designated fields.	Required responses are complete and accurate.
Upload	Select Upload Excel and choose the completed file.	The correct file is selected before continuing.
Review	Review imported answers and upload details in FINRA Gateway.	Expected answers appear and messages are addressed.
Submit	Select Submit when the questionnaire is ready.	Final responses have been reviewed.

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Step-by-Step Instructions

1. Download the information request in Excel

In the open questionnaire, select Download Excel to begin the download process.

The screenshot shows the FINRA Gateway interface for a questionnaire titled 'automation-due-date-update-2month'. The interface includes a header with the FINRA logo, user information (quest713, RICHARDS MERRILL WEALTH MANAGEMENT (ORG ID: 713)), and navigation links (Profile Search, Help, Notifications, FT). The questionnaire content is displayed in a central pane, and the bottom of the pane features a toolbar with buttons for 'Print Form', 'Download Excel' (highlighted with a red box), 'Upload Excel', and 'Save'. To the right of the questionnaire content, there are 'CLOSE' and 'SUBMIT' buttons.

2. Review the download warning

Read the warning displayed in FINRA Gateway. Select Continue when you are ready to create the Excel file, or Cancel to return to the information request.

The screenshot shows the same FINRA Gateway interface as the previous one, but with a 'Warning' dialog box overlaid. The dialog box has a yellow header and contains the text: 'Warning: Answers that I have saved in my current draft will not show up in the downloaded Excel file.' Below the text are two buttons: 'CANCEL' and 'CONTINUE'. The 'Download Excel' button in the toolbar is still highlighted with a red box.

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3. Open and save the Excel file

Open the downloaded Excel template. Save it in an approved location. **Important: You must keep the default Excel file name unchanged in order to be able to re-upload the document to the system.**

Before continuing

Confirm that the file opens and that the expected information request content is present.

The screenshot displays the FINRA Gateway interface. At the top, the breadcrumb trail shows: FINRAnet - Home > Technology Transfer... > eFOCUS Gen AI > eFOCUS > Misc tools > PMAP > Gen AI > Imported > Feed > Copilot. The main header identifies the user as 'RICHARDS MERRILL WEALTH MANAGEMENT (ORG ID: 713)' and the specific request as 'automation-due-date-update-2month'. The form is titled 'Firm Questionnaire' and contains several input fields: 'POC Name *', 'POC Title/Role *', 'POC Email Address *', and 'POC Telephone Number *'. Below these is a question: '1. Does your firm currently conduct any of the following crypto asset activities? (Select all that apply, or select N/A at the end of the list if the firm does not currently engage in any business activity involving crypto assets) *'. Two checkboxes are provided: 'Creating digital securities through tokenization (e.g., tokenizing customers' securities entitlements, assisting an issuer in tokenizing its securities)' and 'Holding digital securities in proprietary inventory'. At the bottom of the form, there are links for 'Print Form', 'Download Excel', 'Upload Excel', and 'Save'. A 'CLOSE' button and a 'SUBMIT' button are also present. A red box in the top right corner of the browser window highlights a notification for the downloaded file 'questionnaire_crypto_request_0_0_1_202 60825.xlsx' (15.0 KB) with a 'Done' status.

4. Complete the information request

Enter responses in the designated fields in the Excel template.

- Complete each required question.
- Follow the instructions included with each question.
- Use the response format provided in the template.
- Review entries for completeness and accuracy.
- If multiple individuals contribute, consolidate and review the responses before uploading.
- Save the completed file before returning to FINRA Gateway.

Protect the template

Keep the downloaded worksheet structure, field labels and designated response areas in place. If the template provides specific instructions, follow those instructions.

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Upload and Review

5. Perform a pre-upload review

Before uploading, complete the following checks:

- ☐ The intended information request was completed.
- ☐ Required responses were reviewed.
- ☐ The file was saved after the final changes.
- ☐ The correct completed version is ready for upload.

6. Upload the completed file

Return to the information request in FINRA Gateway and select Upload Excel. Choose the completed Excel file.

The screenshot shows the FINRA Gateway interface for a 'Firm Questionnaire'. The header includes the FINRA logo, the user's name 'RICHARDS MERRILL WEALTH MANAGEMENT (ORG ID: 713)', and navigation icons. The main content area is titled 'automation-due-date-update-2month' and shows 'Created: 8/25/26' and 'Last updated: 8/25/26'. The 'Firm Questionnaire' section contains several input fields: 'POC Name *', 'POC Title/Role *', 'POC Email Address *', and 'POC Telephone Number *'. Below these is a question about crypto asset activities: '1. Does your firm currently conduct any of the following crypto asset activities? (Select all that apply, or select N/A at the end of the list if the firm does not currently engage in any business activity involving crypto assets) *'. There are two checkboxes: 'Creating digital securities through tokenization (e.g., tokenizing customers' securities entitlements, assisting an issuer in tokenizing its securities)' and 'Holding digital securities in proprietary inventory'. At the bottom of the form, there are four buttons: 'Print Form', 'Download Excel', 'Upload Excel' (which is highlighted with a red box), and 'Save'. The 'Upload Excel' button is the target for the next step.

7. Review the upload warning

Read the warning displayed in FINRA Gateway. Select Continue only when you are ready to replace the information request's current answers with the responses from the selected Excel file. Select Cancel to return without continuing.

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Warning

This will overwrite your current answers. Do you want to continue?

CANCEL CONTINUE

1. Does your firm currently conduct any of the following crypto asset activities? (Select all that apply, or select N/A at the end of the list if the firm does not currently engage in any business activity involving crypto assets) *

☐ Creating digital securities through tokenization (e.g., tokenizing customers' securities entitlements, assisting an issuer in tokenizing its securities)

☐ Holding digital securities in proprietary inventory

Print Form Download Excel Upload Excel Save CLOSE SUBMIT

8. Confirm the upload

After the upload is complete, review the confirmation banner and any upload details displayed in FINRA Gateway.

Upload Answers Complete

Please review all responses carefully before submitting

1 answers were not able to be successfully uploaded

[View Details](#)

2026 Crypto Asset Request

****Instructions****

FINRA is issuing the 2026 Crypto Asset Activity Information Request to all member firms to better understand how the industry is engaging and adapting to developments involving crypto assets.

****Definitions****

Please refer to the following definitions* when responding to the questions and answer each question to the best of your ability based on the firm's current business planning.

A crypto asset is any digital representation of value that is recorded on a cryptographically secured distributed ledger (e.g., a blockchain). This can include digital securities, digital commodities and stablecoins (including payment stablecoins as defined in the GENIUS Act).

Print Form Download Excel Upload Excel Save CLOSE SUBMIT

9. Review the imported responses

Review the information request in FINRA Gateway before submission.

- Confirm that the expected answers appear.
- Review any upload details or exclusions displayed by FINRA Gateway.
- Correct any response that needs adjustment.

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- Save changes, if applicable.

10. Submit the information request

Select Submit only after the information request is complete and the imported responses have been reviewed.

Final check

Submission is the final action in this workflow. Verify the responses in FINRA Gateway before selecting Submit.

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Troubleshooting

Use the guidance below if the workflow does not proceed as expected. Follow the message displayed in FINRA Gateway when it provides a specific instruction.

Situation	Check	Next action
The expected answers are not in the downloaded file.	Review whether the responses were saved in the current draft before download.	Return to FINRA Gateway, review the draft, and download again when ready.
The wrong file was selected.	Confirm the file name and completed version.	Cancel before continuing and select the intended file.
The file does not upload.	Confirm that the completed Excel file is saved and review the message displayed in FINRA Gateway.	Address the item identified in the message and upload the saved file again.
Imported responses do not appear as expected.	Review the questionnaire and available upload details.	Correct the responses in FINRA Gateway or update the Excel file and repeat the upload, as appropriate.
The issue continues.	Record the message displayed and the step where the issue occurred.	Follow the applicable internal support process and provide the captured information.

Information to capture for support

- ☐ Information request name or identifier
- ☐ File name
- ☐ Workflow step
- ☐ Message displayed in FINRA Gateway
- ☐ Screenshot of the message, if permitted under applicable information-handling requirements

Accessibility and usability notes

- Use the numbered headings to navigate the guide.
- Each screen reference identifies the control or message relevant to the step.
- Do not rely on color alone; follow the control names and written instructions.
- Use the checklist on the next page before submission.

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Final Review Checklist

Complete this checklist before selecting Submit:

- ☐ The correct information request was completed.
- ☐ All required responses were entered.
- ☐ Responses were reviewed for completeness and accuracy.
- ☐ The completed Excel file was saved.
- ☐ The correct file was uploaded.
- ☐ The upload warning was reviewed before continuing.
- ☐ The confirmation banner and upload details were reviewed.
- ☐ The expected responses appear in FINRA Gateway.
- ☐ Any needed corrections were made.
- ☐ The information request is ready for submission.

Ready to submit

When every applicable item above is complete, select Submit.

Quick Reference

Control	Purpose
Download Excel	Creates the Excel file after the download warning is reviewed.
Upload Excel	Selects a completed Excel file for import after the upload warning is reviewed.
Save	Preserves changes made in the information request, when applicable.
Submit	Submits the information request after final review.

End of guide