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Overview of the Advertising Regulation Electronic Files (AREF) System

- AREF, accessed through Firm Gateway under the Firms & Filings tab, allows FINRA-regulated firms to submit information to be reviewed by the FINRA Advertising Regulation Department and to receive FINRA review letters.
- In AREF users can:
 - submit filings of communications with the public;
 - view and save communication sent by FINRA's Advertising Regulation Department to their firm; and
 - search the system to view and save archived letters.
- AREF users must obtain a user ID and password from their firm's Super Account Administrator (SAA).

Getting Started – “Entitlement”

Super Account Administrator – may grant access to the AREF system to anyone at your firm. For more information on FINRA's SAA Entitlement Program go to FINRA.org:

- Click **“For Industry Professionals”**
- From the toolbar click **“Regulatory Filing & Reporting”**
- Under Related Links, click **“Entitlement Program”**



For entitlement questions, contact the Gateway Call Center: **(301) 869-6699**

Notes



Access to the Advertising Fee Statement tab is a separate entitlement. This tab will only appear on the AREF Home page if the user has been granted access by the Firm's SAA.

AREF Users — (Once Entitlement to AREF has been granted):

- Go to finra.org and click “Firm Gateway”.



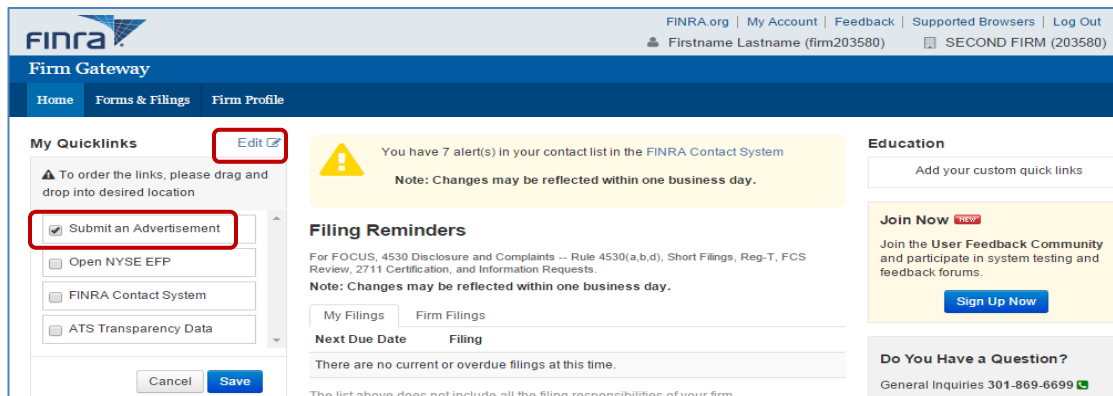
- Enter your UserID.
- Click the “I Agree” button.
- Enter your **Password** and click the **Continue** button.

Adding ‘Submit an Advertisement’ to ‘My Quicklinks’


- Next to “My Quicklinks,” click the “Edit” button.

(You will see a list of your available FIRNA-related systems)

- Select “Submit an Advertisement” from the list.
- Click the “Save” button.



Now, you can just click “[Submit an Advertisement](#)” under “**My Quicklinks**” whenever you want to utilize the AREF system via **Firm Gateway**.



FINRA.org | [My Account](#) | [Feedback](#) | [Supported Browsers](#) | [Log Out](#)
Firstname Lastname (firm203580) | SECOND FIRM (203580)


Firm Gateway

[Home](#) | [Forms & Filings](#) | [Firm Profile](#)

My Quicklinks

[Submit an Advertisement](#)

[Edit](#)



You have 7 alert(s) in your contact list in the [FINRA Contact System](#)
Note: Changes may be reflected within one business day.


Filing Reminders
For FOCUS, 4530 Disclosure and Complaints -- Rule 4530(a,b,d), Short Filings, Reg-T, FCS Review, 2711 Certification, and Information Requests.
Note: Changes may be reflected within one business day.

My Filings | Firm Filings

Next Due Date	Filing
There are no current or overdue filings at this time.	

Education
[Add your custom quick links](#)

Join Now NEW!
Join the User Feedback Community and participate in system testing and feedback forums.
[Sign Up Now](#)

Do You Have a Question?
General Inquiries 301-869-6699 

The AREF Home Page

Below is a quick summary of the tasks you can initiate from the AREF Home Page:

1. View the *User's Name, Firm Name and CRD number*.
2. Contact FINRA for questions or help; or download user instructions.
3. Review your registration information.
4. Initiate a key task:
 - a. Complete [Registration Information](#).
 - b. Start a filing using the [New Communication Form](#).
 - c. View your [Fee Statement](#) for the current and prior month.
5. Review existing Drafts, Submitted filings, Copy a submitted filing and View History.
6. [Search Documents](#).

The screenshot shows the FINRA AREF Home Page. At the top, the FINRA logo is on the left, and navigation links (FINRA.org, My Account, Feedback, Support, Log Out) are on the right. A red circle '1' highlights the user profile area showing 'Joyce Gregory' and 'DEMO FIRM, INC (293259)'. Below this is the 'Firm Gateway' section with tabs for Home, Forms & Filings, and Firm Profile. The main heading is 'Advertising Regulation Electronic Files (AREF)'. On the left, there are links for 'QUESTIONS?' (Advertising Regulation Department, (240) 386-4500, FINRA_ADV@FINRA.ORG) and 'INSTRUCTIONS:' (AREF Navigation Guide, with a red circle '2'). On the right, 'REGISTRATION INFORMATION:' shows user details (Joyce Gregory, 9509 Key West Avenue, Rockville, MD - 20850, Ph: 240-386-4504 Fax: 240-386-4568) with a red circle '3'. Below this is a red circle '4' pointing to a row of four buttons: 'SET READ/UNREAD', 'NEW COMMUNICATION', 'REGISTRATION INFORMATION', and 'FEE STATEMENT'. To the right of these buttons is a 'Document Search' box with a red circle '6'. Below the buttons is a table of filings with a red circle '5' pointing to the first row. The table has columns: FILING ID / VIEW DETAILS, STATUS, ACTION, REFERENCE NO., SENT IN, COMMENT LETTER ADDRESSEE, SENT OUT, and OVERALL RESULT.

FILING ID / VIEW DETAILS	STATUS	ACTION	REFERENCE NO.	SENT IN	COMMENT LETTER ADDRESSEE	SENT OUT	OVERALL RESULT
3859039	Draft	Delete	Draft				
3858893	Draft	Delete	Draft				
3859041	Pending	Add Copy View History	FR2017-0919-0006/E	09/19/2017	Joyce Gregory		
3859040	Read	Add Copy View History	FR2017-0919-0005/E	09/19/2017	Joyce Gregory	09/19/2017	DONTUSE
3859038	Pending	Add Copy View History	FR2017-0919-0004/E	09/19/2017	Joyce Gregory		
3859034	Unread	Add Copy View History	FX2017-0919-0003/E	09/19/2017	Joyce Gregory	09/19/2017	OK
3859033	Unread	Add Copy View History	FR2017-0919-0002/E	09/19/2017	Joyce Gregory	09/20/2017	OK
3859031	Unread	Add Copy View History	FR2017-0919-0001/E	09/19/2017	Joyce Gregory	09/20/2017	REVISED

Registration Information

Notes



You will need to complete your Registration Information Screen *before* you will be able to submit a **New Communication** or view previously submitted material.

You will not see the “**New Communication**” tab until you have completed your Registration Information via the New Communication tab on the AREF Home page.

Click on the “**Registration Information**” tab in order to complete or update your registration:

The screenshot displays the FINRA Firm Gateway interface. At the top, the FINRA logo is on the left, and navigation links (FINRA.org, My Account, Feedback, Supported Browsers, Log Out) and user information (Firstname Lastname (firm203580), SECOND FIRM (203580)) are on the right. Below the header is a 'Firm Gateway' section with tabs for Home, Forms & Filings, and Firm Profile. The main content area is titled 'Advertising Regulation Electronic Files (AREF)'. It contains two columns: 'QUESTIONS?' with contact information for the Advertising Regulation Department and a link to FINRA_ADV@FINRA.ORG, and 'INSTRUCTIONS:' with a link to the AREF Navigation Guide. To the right of these is a 'REGISTRATION INFORMATION:' section with a red message: 'Please click "Registration Information" to set contact information.' Below this is a 'Document Search' bar. At the bottom, there are two tabs: 'REGISTRATION INFORMATION' (highlighted with a red box) and 'FEE STATEMENT'. Below the tabs is a table with columns: FILING ID / VIEW DETAILS, STATUS, ACTION, REFERENCE NO., SENT IN, COMMENT LETTER ADDRESSEE, and SENT C. The table is currently empty.

FILING ID / VIEW DETAILS	STATUS	ACTION	REFERENCE NO.	SENT IN	COMMENT LETTER ADDRESSEE	SENT C
--------------------------	--------	--------	---------------	---------	--------------------------	--------

Complete the Registration Information and then click **“Submit.”**

Registration Information Form
AREF Home

Fields with asterisks (*) are mandatory.

Registration Information

First Name *
Last Name *
Email Address *
Street Address *
City *
State *
Zip Code *
Country *
Phone Number *
Fax Number *

Close
Submit

After you have successfully submitted your registration information, click the **“AREF Home”** link on the top right of the screen to return to the AREF Home page.

Notes



You may update your Registration Information at any time by choosing the Registration Information tab on the AREF home page to edit your contact information.

The **New Communication** tab will become visible once you return to the AREF home page.

[FINRA.org](#) | [My Account](#) | [Feedback](#) | [Supported Browsers](#) | [Log Out](#)
Firstname Lastname (firm203580) SECOND FIRM (203580)

Firm Gateway

Home
Forms & Filings
Firm Profile

Advertising Regulation Electronic Files (AREF)

QUESTIONS?
INSTRUCTIONS:

Advertising Regulation Department (240) 386-4500
FINRA_ADV@FINRA.ORG
[AREF Navigation Guide](#)

REGISTRATION INFORMATION:
Firstname LastName
9509 Key West Avenue
Rockville, MD - 20850
Ph: 240-386-4504 Fax: 240-386-4568
Need to update your information? Click on "Registration Information"

Document Search

NEW COMMUNICATION
REGISTRATION INFORMATION
FEE STATEMENT

FILING ID / VIEW DETAILS	STATUS	ACTION	REFERENCE NO.	SENT IN	COMMENT LETTER ADDRESSEE	SENT OUT	OVERALL RESULT

Submitting a New Communication

Start by clicking the **New Communication** tab on the AREF Home page:

FINRA

FINRA.org | My Account | Feedback | Supported Browsers | Log Out
Firstname Lastname (firm203580) SECOND FIRM (203580)

Firm Gateway

Home Forms & Filings Firm Profile

Advertising Regulation Electronic Files (AREF)

QUESTIONS? Advertising Regulation Department (240) 386-4500
FINRA_ADV@FINRA.ORG

INSTRUCTIONS: AREF Navigation Guide

REGISTRATION INFORMATION:

FirstName LastName
9509 Key West Avenue
Rockville, MD - 20850
Ph: 240-386-4504 Fax: 240-386-4568

Need to update your information? Click on "Registration Information"

Document Search

NEW COMMUNICATION REGISTRATION INFORMATION FEE STATEMENT

FILING ID / STATUS ACTION REFERENCE NO. SENT IN COMMENT LETTER ADDRESSEE SENT OUT OVERALL RESULT
VIEW DETAILS

You will be asked to select a Date of First Use and then choose **"Create Draft"**

New Communication

Select Date of First Use

Date selection is final and cannot be modified.

To change this date you will need to delete the draft form and start a new one.

HOT TIP Use the calendar widget to select your Date of First Use.

Notes

If you need to change your Date of First Use, you will need to delete the New Communication *Draft* you've started and create a new one.

You **will not** be able to change the Date of First Use once the New Communication form has been submitted.

New Communication Form

Once you click “Create Draft,” you will land on the New Communication Form:

New Communication Form

AREF Home | Help

Filing ID: 3860024

Date of First Use: 09/20/2017

Reference Number: Draft

Estimated Fee: 0

Fields with asterisks (*) are mandatory.

General

Review Type *

Regular

Expedited

Waiting for Review Letter *

Yes

No

Place Title *

If available, please provide the name or symbol for the security offered

You have 160 character(s) left.

Pages/Size to be reviewed *

Number of pages/size. (e.g. 13)

Type

Attach your communication file *

Limit: 1 file(s).

Choose Files

No file chosen

Enter an explanation of how the communication will be used, or how it relates to any similar filings

You have 31500 character(s) left.

Enter the FINRA Reference Number when there is a similar or related filing

Validate

Preceded or accompanied by prospectus *

Yes

No

Firm External Reference #

Main Contact to be Addressed *

Joyce Gregory

Delivery Method *

Rule Definition *

Rule Definitions

Product

Select all Products applicable for this communication *

529 Education Funding Plans (529PLANS)

Business Development Company (BDC)

Certificates of Deposit (CDS)

Closed-End Mutual Fund (CLOSED)

Collateralized Mortgage Obligation (CMO)

Corporate Bonds (BONDS)

Day Trading (DAYTRADE)

Direct Participation Program (DPP)

Discount Brokerage (DISCOUNT)

Exchange Traded Fund (ETF)

Fixed Insurance (FIXEDINS)

General Business (GENERAL)

Government Securities (GOVLT)

Hedge Funds (HEDGEFUN)

Municipal Securities (MUNI)

Note Offerings (NOTES)

Open End Mutual Fund (MUTUALS)

Options (OPTIONS)

Other (OTHER)

Private Placements (PRIVPLMT)

Real Estate Investment Trusts (REITS)

Security Futures (SFUTURES)

Stocks (STOCKS)

Structured Products (STRUCPRD)

Unit Investment Trust (UIT)

Variable Annuity (VA)

Variable Life Insurance (VLI)

Registered Principal

Information Regarding the Registered Principal who Approved the Communication

Principal CRD ID *

Validate

Full Name

Title *

Date of Approval *

Registered Representative

CRD ID *

First Name

Last Name

Add Representative

Delete All

0 Row(s)

Additional Information / FINRA Communications

Add any other additional information. e.g. Company performance ranking, FINRA Communications

Created

From

Type

Addressee

File

Add Attachment

Delete All

0 Row(s)

Close

Save as Draft

Print Preview

Submit

The AREF form allows you to create and save a Draft of your “New Communication” prior to submitting to FINRA.

8

The New Communication Form - Overview

The New Communication Form has five sections, which need to be completed before submitting the form.

After completing the form, you may [Save as Draft](#) or perform a [Print Preview](#) in addition to clicking [Submit](#):



- **Save as Draft** will save the form and allow you to re-open it from the AREF home page and complete at a later date before submitting to FINRA.
- **Print Preview** will open a printer-friendly preview of the form in a separate browser. You can right-click on that view to use your browser settings to print a copy.
- **Submit** will upload your completed form and:
 - assign the communication a reference number; and
 - provide an estimated fee amount for the filing review.
- **Close** will return you to the AREF home page.

Notes



See the following five sub-headings in this guide for details about each section on the **New Communication Form**:

- [General](#)
- [Product](#)
- [Registered Principal](#)
- [Registered Representative](#)
- [Additional Information/FINRA Communications](#)

New Communication Form: General

The General section of the New Communication Form requests much of the key information about the piece being submitted for FINRA review.

General

Review Type * ☐ Regular ☐ Expedited

Waiting for Review Letter * ☐ Yes ☐ No

Piece Title *
If available, please provide the name or symbol for the security offered

Pages/Size to be reviewed *
Number of pages/size. (e.g. 13) Type

Attach your communication file *
Limit: 1 file(s).
Choose Files No file chosen

Enter an explanation of how the communication will be used, or how it relates to any similar filings

Enter the FINRA Reference Number when there is a similar or related Filing

Preceded or accompanied by prospectus * ☐ Yes ☐ No

Firm External Reference #

Main Contact to be Addressed *
Joyce Gregory

Delivery Method *

Rule Definition * [Rule Definitions](#)

1. **Review Type** – Choose Regular or request Expedited.
2. **Waiting for Review Letter** – Choose **Yes** or **No**
3. **Piece Title** – Enter the title of the piece, using 160 or fewer characters.
4. **Pages/Size to be Reviewed** – You may specify minutes or pages in the Review Type drop-down.
5. **Attach your communication file:**
 - See [Appendix A](#) for accepted file types.
 - File size limit is now 500 MB.
6. **Explanation of how the communication will be used** – Complete this optional field as needed with 4,000 characters or less.
7. **Enter the FINRA Reference Number** – Enter the reference number of a similar or related filing and click the “Validate” button.
8. **Preceded or Accompanied by Prospectus** – Choose **Yes** or **No**
9. **Firm External Reference #** - If applicable, enter your firm’s own tracking number.
10. **Main Contact** – Choose from the drop down.
11. **Delivery Method** - Choose from the drop down.
12. **Rule Definition** - Choose from the drop down.
 - Click on the “[Rule Definitions](#)” hyperlink to view more details for each Rule Definition.

New Communication Form: Product

The Product section requires you to select products that are applicable for the communication.

Product		
Select all Products applicable for this communication *		
<input type="checkbox"/> 529 Education Funding Plans (529PLANS)	<input type="checkbox"/> Business Development Company (BDC)	<input type="checkbox"/> Certificates of Deposit (CDS)
<input type="checkbox"/> Closed-End Mutual Fund (CLOSED)	<input type="checkbox"/> Collateralized Mortgage Obligation (CMO)	<input type="checkbox"/> Corporate Bonds (BONDS)
<input type="checkbox"/> Day Trading (DAYTRADE)	<input type="checkbox"/> Direct Participation Program (DPP)	<input type="checkbox"/> Discount Brokerage (DISCOUNT)
<input type="checkbox"/> Exchange Traded Fund (ETF)	<input type="checkbox"/> Fixed Insurance (FIXEDINS)	<input type="checkbox"/> General Business (GENERAL)
<input type="checkbox"/> Government Securities (GOVT)	<input type="checkbox"/> Hedge Funds (HEDGEFUN)	<input type="checkbox"/> Municipal Securities (MUNI)
<input type="checkbox"/> Note Offerings (NOTES)	<input type="checkbox"/> Open-End Mutual Fund (MUTUALS)	<input type="checkbox"/> Options (OPTIONS)
<input type="checkbox"/> Other (OTHER)	<input type="checkbox"/> Private Placements (PRIVPLMT)	<input type="checkbox"/> Real Estate Investment Trusts (REITS)
<input type="checkbox"/> Security Futures (SFUTURES)	<input type="checkbox"/> Stocks (STOCKS)	<input type="checkbox"/> Structured Products (STRUCPRD)
<input type="checkbox"/> Unit Investment Trust (UIT)	<input type="checkbox"/> Variable Annuity (VA)	<input type="checkbox"/> Variable Life Insurance (VLI)

Notes



Please be sure to select all products relevant to the communication.

New Communication Form: Registered Principal

Please enter the Principal CRD ID for the Registered Principal who approved the communication and click **Validate**.

Registered Principal	
Information Regarding the Registered Principal who Approved the Communication	
Principal CRD ID *	<input type="text"/> <input type="button" value="Validate"/>
Please click "Validate" to validate Principal CRD ID.	
Full Name	<input type="text"/> Title * <input type="text"/>
Date of Approval *	<input type="text"/>

Notes:



- **Principal CRD ID** – After clicking Validate, the system will automatically populate the full name.
- **Title** – Enter the title of the Registered Principal.
- **Date of Approval** – Type in the Date of Approval or use the calendar widget.

New Communication Form: Registered Representative

To add any Registered Representatives who are related to or named in this communication, first choose the “**Add Representative**” button at the bottom of this section:

Registered Representative

CRD ID ▲	First Name	Last Name
----------	------------	-----------

Add Representative

Delete All

0 Row(s)

Notes:



- You may delete individual Registered Representatives by choosing the **Delete** button on the right of their name.
- You may use the **Delete All** button to remove all Registered Representatives.

You will then be prompted to look up and add a representative using the dialog box below:

To select the Representative start typing the CRD ID or Name of the Representative into the Lookup field below. Click the representative desired from the list below.

Lookup *

Representative

CRD ID

First Name

Last Name

Add Representative

Cancel

Notes:



- Once you choose a Registered Representative from the Lookup, the system will automatically populate their CRD ID, first name and last name.

New Communication Form: Additional Information/FINRA Communications

This section has two purposes during the lifecycle of the filing:

1. To upload and include any additional information that is necessary for the filing both at creation and after the submission.
2. To view and retrieve FINRA communications about this submission.

To upload additional information, click the “**Add Attachment**” button at the bottom left of this section:

Additional Information / FINRA Communications

Add any other additional information. e.g. Company performance ranking, FINRA Communications

Created ▲	From	Type	Addressee	File
-----------	------	------	-----------	------

Add Attachment

Delete All

0 Row(s)

Next, you will be prompted to upload the **Attachment**, select the appropriate **Purpose**, and include **Notes**, if needed:

To upload additional information, attach your file, choose the Purpose of Additional Information, and any additional Notes as needed. Then click 'Add Attachment'.

Attachment * Limit: 1 file(s).

Purpose of Additional Information *

Notes

You have 4000 character(s) left.

Notes:



- The “**Purpose of Additional Information**” dropdown has the following choices:
 - Cover Letter
 - FINRA Requested Info
 - Performance Ranking of an Investment Company
 - Prospectus or other Offering Document
 - Response to FINRA Review Letter
 - Supporting Documentation

Finally, click “**Add Attachment**” to add this file to the Additional Information/FINRA Communications grid.

Checking the Status of a Submission

The list of filings on the AREF home page has eight columns that can be filtered:

1	2	3	4	5	6	7	8
FILING ID / VIEW DETAILS	STATUS	ACTION	REFERENCE NO.	SENT IN	COMMENT LETTER ADDRESSEE	SENT OUT	OVERALL RESULT
198701	Unread	Sort Ascending	1234-123456	06/05/2015	Jane Doe	06/08/2015	OK
197893	Unread	Sort Descending	1234-123456	06/18/2015	Jane Doe		
197957	Unread	Draft	1234-123456	06/18/2015	Jane Doe		
197894	Unread	Pending	1234-123456	06/18/2015	Jane Doe		
198762	Unread	Unread	1234-123456	06/18/2015	Jane Doe		
197958	Unread	Read	1234-123456	06/18/2015	Jane Doe		
197895	Unread	Clear Filter	1234-123456	06/18/2015	Jane Doe		
197940	Unread	Add	PR2015-1234-123456	06/08/2015	Jane Doe	06/08/2015	OK
	Unread	Add	PR2015-1234-123456	06/18/2015	Jane Doe		
	Unread	Add	PR2015-1234-123456	06/18/2015	Jane Doe		
	Unread	Add	PR2015-1234-123456	06/08/2015	Jane Doe		

☐ Set Read/Unread

- Ability to bulk change Unread to Read or Read to Unread

1. Filing ID/View Details

- Click to view details for the filing

2. Status

- Displays the status of the filing (Draft, Pending, Read or Unread)

3. Action

- Allows you to Delete a Draft, Add to or Copy and view the history of who read a communication from FINRA

4. Reference No.

- For a Draft filing, this will say 'Draft'; for **Unread** or **Read**, clicking the reference number will open the most recent communication from FINRA.

5. Sent In

- Displays the date the filing was submitted

6. Comment Letter Addressee

- Displays the name of the person to whom the FINRA Letter is addressed

7. Sent Out

- Displays the date that FINRA sent a response

8. Overall Result

- Displays the overall result for the filing

OVERALL RESULT	
Sort Ascending	
Sort Descending	
OK	
COMMENT	
REVISED	
DONTUSE	
NOJURIS	
NEEDINFO	
LIMITED	
WITHDRAWN	
Clear Filter	

To filter by a value in a column, simply click on the column heading and choose the desired function:



Notes

- The Filing ID is the unique identifier for each filing created and displayed on the AREF home page, which is used to view details of the submitted filing.
- In contrast, the FINRA Reference Number, is generated when the filing is submitted and remains the tracking number for the filing.
- The Status of the Filing indicates what actions are available:
 - Draft** – has not submitted to FINRA; you can click on the Filing ID to complete and submit.
 - Pending** – submitted to FINRA with no response.
 - Unread** – there is a FINRA response that has not been read.
 - Read** – there is a FINRA response that has been read.

Note: Users can toggle on **Unread** and **Read** to update the status. (Ex. change Unread to Read).



Users can use the '**Set Read/Unread**' column to change multiple statuses of **Unread to Read** at the same time. (You can also change several **Read to Unread** at the same time)

- To read the latest FINRA response to a filing, click the Reference Number.
- To review all FINRA communications for a filing, click on Filing ID and navigate to the Additional Information / FINRA Communications section.
- When you filter by a value in a column heading, the filter icon (∇) appears at the top of the column heading.
- To clear a filter or sort order, simply click the column heading and choose 'Clear Filter.'

Viewing FINRA Responses

There are two actions that can be taken from the AREF home page to view FINRA responses:

Advertising Regulation Electronic Files (AREF)

QUESTIONS? Advertising Regulation Department (240) 386-4500
FINRA_ADV@FINRA.ORG

INSTRUCTIONS: [AREF Navigation Guide](#)

REGISTRATION INFORMATION:
Joyce Gregory
9509 Key West Avenue
Rockville, MD - 20850
Ph: 240-386-4504 Fax: 240-386-4568
[Need to update your information? Click on "Registration Information"](#)

Document Search

NEW COMMUNICATION **REGISTRATION INFORMATION** **FEE STATEMENT**

FILING ID / VIEW DETAILS	STATUS	ACTION	REFERENCE NO.	SENT IN	COMMENT LETTER ADDRESSEE	SENT OUT	OVERALL RESULT
1915975 ¹	Draft	Delete	Draft ²				
1911405	Pending	Add	FR2015-0811-0034/E	08/11/2015	Jennifer Duran		
1911403	Draft	Delete	Draft				

1. To view all FINRA communications, click the Filing ID number under "Filing ID/View Details" column.
 - Scroll down to the "Additional Information/FINRA Communications" section to view all FINRA communications:

Additional Information / FINRA Communications

Add any other additional information. e.g. Company performance ranking, FINRA Communications

Created	From	Type	Addressee	File
08/11/2015	FINRA	ACCEPT EXPEDITEDS	FirstName LastName	1617723-2015-08
08/11/2015	FINRA	REVIEW FILING LETTER	FirstName LastName	1617723-2015-08

2 Row(s)

2. To view the most recent FINRA communication, click on the "Reference Number."
 - The Reference Number will be **blue** when there is a FINRA response.
 - When you click on the Reference Number, the FINRA communication document will launch as a PDF File.

Document Search

To use the search, enter the keyword(s) you wish to search in the text entry field and click **Search**:

The screenshot shows the FINRA Firm Gateway interface. At the top, there's a navigation bar with links like FINRA.org, My Account, Feedback, Support, and Log Out. Below this is a 'Firm Gateway' section with tabs for Home, Old NMA, NMA, Forms & Filings (highlighted), Web CRD, IARD, Report Center, Firm Profile, and E-Bill. Under 'Forms & Filings', there are links for Information Requests and User Administration. A blue banner below reads 'Advertising Regulation Electronic Files (AREF)'. The main content area is divided into 'QUESTIONS?' (with links to the Advertising Regulation Department and FINRA_ADV@FINRA.ORG), 'INSTRUCTIONS:' (with a link to the AREF Navigation Guide), and 'REGISTRATION INFORMATION:' (with address and contact details). A red box highlights the 'Document Search' section, which includes a search input field with 'Global' entered, a 'Clear' button, and a 'Search' button. Below the search box are three tabs: 'NEW COMMUNICATION', 'REGISTRATION INFORMATION', and 'FEE STATEMENT'. A table below these tabs shows filing details with columns for FILING ID / VIEW DETAILS, STATUS, ACTION, REFERENCE NO., SENT IN, COMMENT LETTER ADDRESSEE, SENT OUT, and OVERALL RESULT. Two rows of data are visible, both with 'Draft' status and 'Delete' action links.

You can perform a wildcard word search using the asterisk (*).

- For example, if you search on *part** your results list will contain documents or attachments with *part*, *parts*, *party*, *partner*, *partnership*, or any other word starting with the letters *p-a-r-t*.
- It is also possible to start the word with an asterisk or use it in the middle of a word.

A string search can be performed using the + sign.

- For instance, if the phrase you are searching for is *average annual returns*, you will need to enter *average+annual+returns* (with no spaces between the words and the + signs). This will list all packets with documents or attachments that contain the phrase *average annual returns*.
- If you search on "*average annual returns*" (with or without the quotation marks), your results will return all packets that contain the word *average* or *annual* or *returns*. The same will occur if you search on *average + annual + returns* (spaces between the words and the + sign).

Click **Clear** to clear your search keyword(s), as well as all filtering and sorting. This will return the full set of filings.



Notes

The Document search allows you to search documents and textual attachments with a single word, a wildcard, or a particular string of characters.

The search will not work if the document submitted was an image.

View Fee Statement

To view your Fee Statement, click the **Fee Statement** button from the AREF Home page:

Advertising Regulation Electronic Files (AREF)

QUESTIONS?
Advertising Regulation Department (240) 386-4500
FINRA_ADV@FINRA.ORG

INSTRUCTIONS:
[AREF Navigation Guide](#)

REGISTRATION INFORMATION:
Eamon Bobowski
9509 Key West Avenue
Rockville, MD - 20850
Ph: 240-386-4953 Fax: 240-386-4953
[Need to update your information? Click on "Registration Information"](#)

NEW COMMUNICATION

REGISTRATION INFORMATION

FEE STATEMENT

Document Search

Click [here](#) for help with search.

FILING ID / VIEW DETAILS STATUS ACTION REFERENCE NO. SENT IN COMMENT LETTER ADDRESSEE SENT OUT OVERALL RESULT

Once you choose the “**Fee Statement**” button, you will be able to view the current and prior months’ Fee Statements by clicking on the appropriate tab for those months.

Transaction History (as of 09/02/2016) [AREF Home](#) | [Help](#)

QUESTIONS? Finance Department: (240) 386-5397
INSTRUCTIONS: [FINRA E-Bill Information](#)

Current Month **Previous Month**


August 2016 Transaction **Total Transactions:0**

Date ▲	Code	Description	Amount
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Note: To view older fee statements, you must go to the FINRA E-Bill system via FINRA Firm Gateway.

Once you have chosen the desired month, the Fee Statement will display:

July 2015 Transaction History (as of 08/06/2015)			
		AREF Home	Help
QUESTIONS?	Finance Department: (240) 386-5397		
INSTRUCTIONS:	FINRA E-Bill Information		
		Total Transactions this month: 6	
Date	Code	Description	Amount
07/14/2015	FILE FEE	FR2015-1234-123456 (5Pages) draft	-125
07/15/2015	FILE FEE	FR2015-1234-123456 (6Pages) test	-125
07/17/2015	FILE FEE	FR2015-1234-123456 (4Pages) cancelled, re-opened	-125
07/22/2015	FILE FEE	FR2015-1234-123456 (4Pages) Do not use	-125
07/22/2015	FILE FEE	FR2015-1234-123456 (4Pages) Do not use	-125
07/22/2015	FILE FEE	FR2015-1234-123456 (4Pages) Do not use	-125



Notes

When you are finished looking at the Fee Statement, click the **AREF Home** link at the top right of the screen to navigate back to the home page.

Appendix

A. File Formats that can be attached to a Filing

The following formats can be attached and uploaded to AREF:

.wmv	.mov	.wav
.aif	.mp3*	.xlsx
.avi	.pdf	.docx
.mp4	.png	.gif
.swf	.ppt	.jpeg
.wpl	.rtf	.jpg
.bmp	.txt	.m4v
.doc	.tif	.xml

B. Sample Email Notification upon Registration to AREF:

The screenshot shows an email client window with a 'Send' button and fields for 'To...', 'Cc...', and 'Bcc...'. The subject line is 'FW: Welcome to Electronic Filing System of FINRA-Advertising'. The email body contains the following text:

-----Original Message-----
From: KWA QC Test Mail Box -- Advertising Department E-Mail Service [mailto:ProgrammingSupport@finra.org]
Sent: Monday, July 27, 2015 9:30 AM
To: Doe, Jane
Cc: Smith, Joe
Subject: Welcome to Electronic Filing System of FINRA-Advertising

Welcome to the Advertising Regulation Electronic Filing System. You are now registered to view and save review letters for filings you submitted to the Advertising Regulation Department. You can access current letters as well as archived letters. Please contact the Super Account Administrator at your firm to change access levels to posted review letters. If you wish to contact the Advertising Regulation Department staff, please call (240) 386-4500 or send an e-mail message to FINRA_ADV@FINRA.org

For Reference: Your Firm BD Number is 12345

C. Sample Email Notification when there's a new Review Letter on AREF:

The screenshot shows an email client window with a 'Send' button and fields for 'To...', 'Cc...', and 'Bcc...'. The subject line is 'FW: FR2015-1234-0000-002 for J. Webster at FINRA MEMBER FIRM (12345)'. The email body contains the following text:

-----Original Message-----
From: KWA Mail Box -- Advertising Department E-Mail Service [mailto:ProgrammingSupport@finra.org]
Sent: Wednesday, July 15, 2015 12:18 PM
To: Webster, Jane
Subject: FR2015-1234-0000-002 for J. Webster at FINRA MEMBER FIRM (12345)

You have a new review letter posted on the Advertising Regulation Electronic Filing System. You can use the system to view and save the current letter or archived letters. Please contact the CRD account administrator at your firm to change access levels to posted review letters. If you wish to contact the Advertising Regulation Department staff, please call (240) 386-4500 or send an e-mail message to FINRA_ADV@FINRA.org

To view letters please access <https://firms.finra.org>

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