

# FINRA Contact System Annual Verification Quick Reference Guide

## Overview

Firms use the FINRA Contact System (FCS) to report the names of their Executive Representatives and other important contacts. FINRA uses FCS to deliver important communications and notices to the appropriate persons at member firms.

Accordingly, FINRA member firms are required to review and update, where necessary, contact and other related information for the specific areas on an annual basis. To ascertain that the firm reviews its contact information annually, FINRA requires firms to complete an annual verification process in FCS. The annual verification must be completed within 17 business days after the end of each calendar year, pursuant to **NASD Rule 1160**.

The purpose of this guide is to instruct you how to perform the annual verification.

**Please note that you must complete steps 1 through 7 in their entirety in order complete your review.**

## Logging In

1. Login to Firm Gateway: <https://firms.finra.org/fcs>.
2. Enter your FINRA User ID.
3. Please read the FINRA Privacy Statement, which appears in the main window and select the "I Agree" button.
4. Enter your Password and select the "Continue" button.



Welcome to Firm Gateway

User ID  
 [Forgot Password?](#)

This Privacy Statement relates to the online information collection and use practices of this FINRA Entitlement Program and embedded forms and applications (this "Web site"). This Privacy Statement complements the full FINRA Privacy Policy and may be updated from time to time. Updates to FINRA's privacy policies will be posted here and/or in the full FINRA Privacy Policy, as appropriate.

To enable you to be employed in certain positions or participate in certain matters or opportunities in the securities industry in the United States, FINRA collects certain personal data from you for identity verification and regulatory purposes. Personal information may include your name, address, phone number, fingerprints, employment history and any other information that identifies or can be used to identify the person to whom such information pertains. FINRA may use your personal information submitted via this Web site for any regulatory purpose.

This Web site is operated in the United States. If you are located outside of the United States, please be aware that any information you provide to us will be transferred to the U.S. and subject to U.S. laws. By using our Web site, participating in any of our services and/or providing us with your information, you consent to this transfer of data. Additionally, by using our Web site, participating in any of our services and/or providing us with your information you also consent to the collection, transfer, manipulation, storage, disclosure and other uses of your information as described in this Privacy Statement and the FINRA Privacy Policy. If you do not consent to this Privacy Statement or our FINRA Privacy Policy, please do not use this Web site.

By clicking the button below, I certify that I have read and understand all of the terms of the [FINRA Entitlement Program Agreement and Terms of Use](#) and intend to form a binding agreement with FINRA on those terms without modification or amendment thereto. If I am accepting this agreement on behalf of an organization, I certify that I have the authority of that organization to enter into this agreement.

I Agree  I Disagree

If you are experiencing any difficulties logging into the system, please contact your Administrator for assistance. If you are a Super Account Administrator, contact the Gateway Call Center at 301-869-6699 for Assistance.

Do NOT bookmark this page or add it to your favorites. If you would like to create a bookmark or add this application to your favorites, please create the bookmark or add it to your favorites after successfully logging in.

[Privacy](#) | [Legal](#) | [Terms & Conditions](#)

©2013 FINRA. All rights reserved. FINRA is a registered trademark of the Financial Industry Regulatory Authority, Inc.

# Performing Annual Verification

During the Annual Verification period, FCS displays a 'Due' flag, on the Annual Review tab until the Annual Verification is complete. Additionally, FCS is defaulted to display the Annual Review page first, until the Annual Verification is complete.

5. Review the contact information for each person.

6. Before performing the verification determine if:

- **contact information needs to be updated** – Select the name of the contact next to the role you wish to update. The Contacts page will display. Select “Edit”, update the contact’s information and select “Save.” To return to the Annual Verification select the “Annual Review” tab from the top of the page.
- **the Role needs to be associated with a different person** – Select the “Replace” link under the Actions column. The Replace a Contact pop up window will display. Select a contact from the list of Eligible Contacts and select “Replace” again. The newly assigned contact will display on the Annual Review page. Review the newly assigned contact’s information is correct and, if necessary, update.
- **a role does not have a contact associated with it, an “Assign” link will display.** To associate a contact to the role, select the “Assign” link. The Assign a Contact pop up window will display. Select a contact from the list of Eligible Contacts and select “Assign” again. The newly assigned contact will display on the Annual Review page.

**Firm Gateway**

Home | Forms & Filings | Web CRD | Report Center | Firm Profile | User Administration

**My Firm Information**

General Information | Firm Registrations | Business Activities | Control Affiliates | Owners & Executive Officers | **FINRA Contact System** | Branch Information | Registered Representatives | Financial Information | Clearing Details | NYSE Rule 407A Information

Help | Export | Print

**FINRA Contact System**

Annual Review **DUE** | Roles | Contacts | Reports | **There is 1 alert in your contact list**

FINRA firms are required to update required contact information promptly, but no later than 30 days following any change in such information. Each member must review and, if necessary, update its required contact information, within 17 business days after the end of each calendar year. To comply with this rule, write your name on the certification box below and submit the review.

I, " [REDACTED]", verify that the contact information below is correct and complete. **Verify**

Calendar Year: 2011	Status: Pending Submission	Status Date: 01/04/2012		
Role Type	Name	Contact Information	Address	Actions
Required Roles				
Executive Representative (ER)*	<u>DOE JOHN</u>	555-555-5555 john.doe@work.com	123 Main Street Training, Maryland 20878, UNITED STATES	<a href="#">Replace</a> <a href="#">Remove</a>
Anti-Money Laundering Compliance Contact (AML)-Primary*	<u>DOE JOHN</u>	555-555-5555 john.doe@work.com	123 Main Street Training, Maryland 20878, UNITED STATES	<a href="#">Replace</a> <a href="#">Remove</a>
Anti-Money Laundering Compliance Contact (AML) - Alternate	<u>DOE JULIE</u>	555-555-5555 julie.doe@work.com	123 Main Street Training, Maryland 20878, UNITED STATES	<a href="#">Replace</a> <a href="#">Remove</a> <a href="#">Add</a>
Emergency Contact (BCP) - Primary*	<u>DOE JOHNATHAN</u>	555-555-5555 j.doe@work.com 555-555-1234 j.doe@home.com	123 Main Street Training, Maryland 20878, UNITED STATES	<a href="#">Replace</a> <a href="#">Remove</a>
Emergency Contact (BCP) - Secondary*				<a href="#">Assign</a>
<b>Missing Information - Secondary phone/email is required.</b>				
Continuing Education*	<u>DOE JULIE</u>	555-555-5555 julie.doe@work.com	123 Main Street Training, Maryland 20878, UNITED STATES	<a href="#">Replace</a> <a href="#">Remove</a>
Continuing Education - Alternate				<a href="#">Assign</a>

# Completing Annual Verification

**Note:** Review all Roles and Contact Information **prior** to verifying. Once the Annual verification has been submitted by the firm, there is no way to undo the submission.

7. **To complete the review and verification**, enter your name in the text box next to “I verify that the contact information below is correct and complete.” Then select the “**Verify**” button.

- If required contact information is incomplete or a required Role is unassigned, the following error message will display: “All errors must be corrected prior to verifying the Annual Review.”
- If all the required contact information is provided, the following pop up message will display: “Your firm's Annual Review has been submitted.”

**Firm Gateway**

Home | Forms & Filings | Web CRD | Report Center | Firm Profile | User Administration

**My Firm Information**

General Information | Firm Registrations | Business Activities | Control Affiliates | Owners & Executive Officers | **FINRA Contact System** | Branch Information | Registered Representatives | Financial Information | Clearing Details | NYSE Rule 407A Information

Help | Export | Print

**FINRA Contact System**

Annual Review DUE | Roles | Contacts | Reports | **There is 1 alert in your contact list**

FINRA firms are required to update required contact information promptly, but no later than 30 days following any change in such information. Each member must review and, if necessary, update its required contact information, within 17 business days after the end of each calendar year. To comply with this rule, write your name on the certification box below and submit the review.

I,  verify that the contact information below is correct and complete. **Verify**

Calendar Year: 2011		Status: Pending Submission	Status Date: 01/04/2012	
Role Type	Name	Contact Information	Address	Actions
<b>Required Roles</b>				
Executive Representative (ER)*	<a href="#">DOE JOHN</a>	555-555-5555 john.doe@work.com	123 Main Street Training, Maryland 20878, UNITED STATES	<a href="#">Replace</a> <a href="#">Remove</a>
Anti-Money Laundering Compliance Contact (AML)-Primary*	<a href="#">DOE JOHN</a>	555-555-5555 john.doe@work.com	123 Main Street Training, Maryland 20878, UNITED STATES	<a href="#">Replace</a> <a href="#">Remove</a>
Anti-Money Laundering Compliance Contact (AML) - Alternate	<a href="#">DOE JULIE</a>	555-555-5555 julie.doe@work.com	123 Main Street Training, Maryland 20878, UNITED STATES	<a href="#">Replace</a> <a href="#">Remove</a> <a href="#">Add</a>
Emergency Contact (BCP) - Primary*	<a href="#">DOE JOHNATHAN</a>	555-555-5555 j.doe@work.com 555-555-1234 j.doe@home.com	123 Main Street Training, Maryland 20878, UNITED STATES	<a href="#">Replace</a> <a href="#">Remove</a>
<b>Emergency Contact (BCP) - Secondary*</b> <b>Missing Information - Secondary</b> phone/email is required.				
Continuing Education*	<a href="#">DOE JULIE</a>	555-555-5555 julie.doe@work.com	123 Main Street Training, Maryland 20878, UNITED STATES	<a href="#">Replace</a> <a href="#">Remove</a>
Continuing Education - Alternate				<a href="#">Assign</a>

Once verified, the links under the Actions column will no longer display and the page will become read-only. Additionally, the 'Status Date' column will display the date the Annual Verification was submitted and the 'Status' column will be updated to:

- "Submitted On Time" – if the verification was completed during the first 17 business days of the calendar year.
- "Submitted-Late" – if the verification was completed after the first 17 business days of the calendar year.

**Firm Gateway**

Home | Forms & Filings | Web CRD | Report Center | Firm Profile | User Administration

**My Firm Information**

- [General Information](#)
- [Firm Registrations](#)
- [Business Activities](#)
- [Control Affiliates](#)
- [Owners & Executive Officers](#)
- FINRA Contact System**
- [Branch Information](#)
- [Registered Representatives](#)
- [Financial Information](#)
- [Clearing Details](#)
- [NYSE Rule 407A Information](#)

**FINRA Contact System**

Annual Review | Roles | Contacts | Reports

FINRA firms are required to update required contact information promptly, but no later than 30 days following any change in such information. Each member must review and, if necessary, update its required contact information, within 17 business days after the end of each calendar year. To comply with this rule, write your name on the certification box below and submit the review.

I, "Mr. J. doe", verify that the contact information below is correct and complete.

Calendar Year: 2011	Verified By: Mr. J. doe	Status: Submitted On Time	Status Date: 01/06/2012	
<b>Required Roles</b>				
Executive Representative (ER)*	<a href="#">DOE JOHN</a>	555-555-5555 john.doe@work.com	123 Main Street Training, Maryland 20878, UNITED STATES	
Anti-Money Laundering Compliance Contact (AML)-Primary*	<a href="#">DOE JOHN</a>	555-555-5555 john.doe@work.com	123 Main Street Training, Maryland 20878, UNITED STATES	
Anti-Money Laundering Compliance Contact (AML) - Alternate	<a href="#">DOE JULIE</a>	555-555-5555 julie.doe@work.com 555-123-5555 juliedoe@home.com	123 Main Street Training, Maryland 20878, UNITED STATES	
Emergency Contact (BCP) - Primary*	<a href="#">DOE JULIE</a>	555-555-5555 julie.doe@work.com 555-123-5555 juliedoe@home.com	123 Main Street Training, Maryland 20878, UNITED STATES	
Emergency Contact (BCP) - Secondary*	<a href="#">DOE JOHNATHAN</a>	555-555-5555 j.doe@work.com 555-123-5555 j.doe@home.com	123 Main Street Training, Maryland 20878, UNITED STATES	
Continuing Education *	<a href="#">DOE JOHN</a>	555-555-5555 john.doe@work.com	123 Main Street Training, Maryland 20878, UNITED STATES	

Once the Annual Verification has been submitted, there is no way to undo the submission. Any other changes to contacts must be made on the Roles page which you can access by selecting, the "**Roles**" tab at the top of the page. Further, changes made after the Annual Verification is submitted will not display on the Annual Review page.

---

## FCS Annual Verification Frequently Asked Questions

**Q:** When must the Annual Verification be completed?

**A:** The Annual Verification must be completed within the first 17 business days of the calendar year. If for some reason the firm was unable to accomplish this during the review period, the firm should still complete the annual verification.

**Q:** Is there a rule requiring my firm to review and update all contact information required by FCS?

**A:** Yes, [NASD Rule 1160](#), requires firms to:

- update all contact information required by FINRA via FCS promptly upon any material change;
- review and verify contact information annually; and
- comply promptly with any request for contact information.

**The mandatory annual verification must be completed within 17 business days after the end of each calendar year.** For more information please see [Regulatory Notice 07-42](#).

**Q:** The contact information for a contact currently associated to a role needs to be updated. How can I update the information?

**A:** The Contact's name is a link to their contact information in FCS. Selecting the contact's name will bring you to the Contacts page, where you can update the contact information.

**Q:** How do I know I completed the Annual Verification?

**A:** The Annual Review page will become read-only and the status in the 'Status' column will be updated to:

- "Submitted On Time" – if the verification was completed during the first 17 business days of the calendar year; or
- "Submitted-Late" – if the verification was completed after the first 17 business days of the calendar year.

**Q:** Where can I find information on prior Annual Verifications submitted by my firm?

**A:** One of the reports available in the Reports tab of FCS is the Annual Review Report. The Annual Review Report provides the Contacts and their assigned roles at the time of the Annual Verification. To view the details, select the review period from the drop down menu.

**Q:** I have more questions on the FINRA Contact System, who should I contact?

**A:** You may call the Gateway Call Center at (301) 869-6699 (8 a.m. – 8 p.m., ET, Monday – Friday) or send an email to [fcs@finra.org](mailto:fcs@finra.org).