

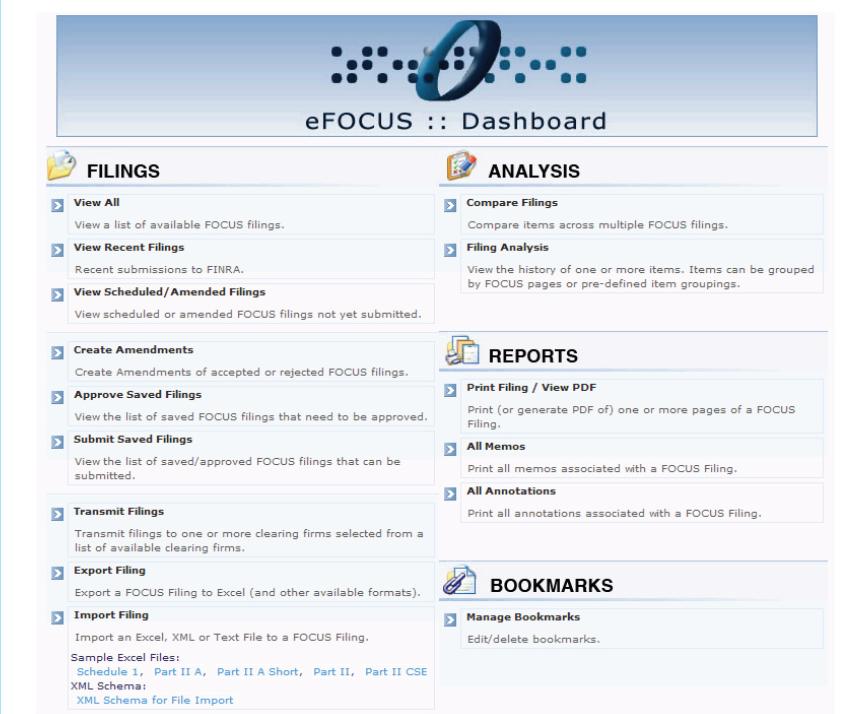
eFOCUS

An enhanced system for submitting FOCUS™ filings to FINRA.

How to access eFOCUS

- ▶ Login through the Firm Gateway, which provides consolidated access to FINRA applications and timely information for your firm
- ▶ Your existing user ID and password is all you need

<https://firms.finra.org/efocus>



The screenshot shows the eFOCUS :: Dashboard. At the top center is a blue circular logo with a grid pattern. Below it, the text "eFOCUS :: Dashboard" is displayed. The dashboard is organized into several sections:
FILINGS: View All, View Recent Filings, View Scheduled/Amended Filings, Create Amendments, Approve Saved Filings, Submit Saved Filings, Transmit Filings, Export Filing, Import Filing.
ANALYSIS: Compare Filings, Filing Analysis.
REPORTS: Print Filing / View PDF, All Memos, All Annotations.
BOOKMARKS: Manage Bookmarks. Each section contains a brief description of its function.

Accessible through the Firm Gateway, eFOCUS offers:

- ▶ A dashboard for quick and easy access to all filings and system features
- ▶ Data import capabilities using Excel or XML templates
- ▶ Line-item help and history, such as formula components and prior values
- ▶ Memos to provide additional line-item or filing detail to FINRA
- ▶ Annotations to make filing notes that are not viewable by FINRA
- ▶ A streamlined amendment process with status tracking
- ▶ An analysis wizard for comparing data within and across filings
- ▶ Bookmarking to access often-viewed line items
- ▶ Secure transmission of filings to financial institutions of your choice

Visit www.finra.org/RegulationFiling/FOCUS to learn more.