

# 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 displays the eFOCUS dashboard with the following sections:

- FILINGS**
  - View All: View a list of available FOCUS filings.
  - View Recent Filings: View last 25 FOCUS filings (for your firms).
  - GateKeeper: View submission status of FOCUS filings. Filings can be extended.
  - Accept/Reject Amendments: View submitted amendments (for firms or district). An amendment can be Accepted or Rejected.
  - Export Filing: Export a FOCUS Filing to Excel (and other available formats).
- ANALYSIS**
  - Compare Filings: Compare items across multiple FOCUS filings.
  - Filing Analysis: View the history of one or more items. Items can be grouped by FOCUS pages or pre-defined item groupings.
- REPORTS**
  - Print Filing / View PDF: Print (or generate PDF of) one or more pages of a FOCUS Filing.
  - All Memos: Print all memos associated with a FOCUS Filing.
  - All Annotations: Print all annotations associated with a FOCUS Filing.
  - FOCUS Management Reports: Generate FINRA FOCUS Management Reports.
  - Filing Statistics: View counts of filings by status or date.
- BOOKMARKS**
  - Manage Bookmarks: Edit/delete bookmarks.
- TUTORIALS**
  - Getting Started: Get started with eFocus.
  - Enter Values in a Filing: Learn how to fill out a filing.
  - Create Memos and Annotations: Learn how to create memos and annotations for your filing.
  - Submit, Amend, and Print Filings: Learn how to submit or amend your filing, and how to print a copy for your records.
  - Analyze Filings: Learn how to analyze your past filings.
  - Manage Reports and Bookmarks: Learn how to manage reports and bookmarks.
  - Import and Export: Learn how to easily import report information, or export filings for your records.
- FIRM ADMINISTRATION**
  - Firm Information: Set a firm's filing form and schedule.

## 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](http://www.finra.org/RegulationFiling/FOCUS) to learn more.