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FINRA eFOCUS Overview

Members must compose and submit SEC Financial and Operational Combined Uniform Single (FOCUS) reports to FINRA as required under SEC Rule 17a-5. The FINRA FOCUS application, referred to as FINRA eFOCUS, is a financial reporting application that allows you to enter and submit your company’s financial information electronically to FINRA.

Roles and Responsibilities

The FINRA eFOCUS application supports four user roles: reader, editor, submitter, and approver. Individuals using the application may be assigned multiple roles.

To request access to FINRA eFOCUS or change your user role(s), please contact the Gateway Call Center at 1 (800) 321-6273.

<table>
<thead>
<tr>
<th>Role</th>
<th>Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reader</td>
<td>Users assigned to this role have the ability to view FOCUS filings. Note: This is the default user role.</td>
</tr>
<tr>
<td>Editor</td>
<td>Users assigned this role have the ability to edit FOCUS Filing fields.</td>
</tr>
<tr>
<td>Submitter</td>
<td>Users assigned this role have the ability to submit FOCUS Filings to FINRA.</td>
</tr>
<tr>
<td>Approver</td>
<td>Users assigned this role have the ability to approve FOCUS Filings.</td>
</tr>
</tbody>
</table>

Workflows

The following two workflows provide an overview of the business processes involved when completing and submitting a new FOCUS filing or an amendment for a previously submitted FOCUS filing.
**FOCUS Filing Workflow – Initial Filing**

The workflow for a new FOCUS filing begins with the FINRA eFOCUS application automatically creating a “Scheduled” FOCUS filing. The entire process involves various steps, some of which are optional.

For Steps 1 through 8, the FOCUS filing status is “Scheduled.” Once the filing has been submitted in Step 8, the initial filing is automatically “Accepted.” This status change does not apply to the filing amendment workflow.

**Detailed Filing Workflow - Initial Filing**

1. The FINRA eFOCUS application automatically creates a blank filing for the firm. This filing is activated and available for editing on the begin date of the filing period. The initial status is listed as “Scheduled.” Relevant firm information on the cover page, such as name and address, will be automatically populated by the eFOCUS application.

2. FINRA eFOCUS supports the import of filing data using an Excel spreadsheet. An Excel template is available for download from the dashboard. In addition, users can export previous filing data into Excel format and re-import and update each field manually.

3. Open the scheduled filing from the filing. This page allows for data entry, editing, approving, and submitting.

4. Add or modify any necessary information to the filing in the fields. This includes data from the Excel import, should you need to make any modifications. If you want to leave a note to the FINRA coordinator, you can do so by creating a memo. Annotations you create are for your use and are not visible to FINRA coordinators.
5. Save the filing to ensure all your changes have been updated. You will be provided a confirmation page when the save completes.

6. Run edit checks to determine if you have any fields that are incorrect or invalid. Invalid fields will prevent the filing from being submitted until you correct them. If errors are detected, you should correct the errors and then repeat Step # 5 to save the filing.

7. Your firm may choose to approve the filing. This step can only be performed by a user at your firm that has been assigned the “Approver” role. This is not required for filing submission.

8. Finally, Submit the filing. The initial FOCUS submission will be automatically accepted by the FINRA EFOCUS application. A filing in the “Accepted” status cannot be changed. If you need to make any changes to the filing after submitting, you must create an amendment.

9. The filing is now available for your FINRA Financial Coordinator to review, as well as other organizations that have requested it, such as the SEC.

**Amendment Workflow**

An amendment can be created for an existing FOCUS filing that requires changes. An amendment can only be created if the previous filing is “Accepted” or “Rejected.” You may only have one active amendment per filing at a time.
For Step 1, the original filing is either “Accepted” or “Rejected.” For Steps 2-6, the created amendment’s status is “Amendment.” For Steps 7-9, the status becomes “Amendment Submitted.” For Step 9a, the original “Accepted” filing remains accepted, and the amendment becomes “Rejected.” For Step 9b, the original “Accepted” filing becomes “Rejected” and the accepted amendment becomes “Accepted.”

**Detailed Workflow – Amendment Filing**

1. Select the FOCUS filing for which you want to create an amendment. The status of the filing must be “Accepted” or “Rejected.”
2. Create the amendment for the selected filing. The status of this filing will now be “Amendment.”
3. Edit the information in the amendment (e.g., values, memos, and annotations). Add or modify any necessary information to the filing in the fields. This includes data from the Excel import, should you need to make any modifications. If you want to leave a note to the FINRA coordinator, you can do so by creating a memo. Annotations you create are for your use and are not visible to FINRA coordinators.
4. Save the Amendment to ensure all of your changes have been updated. You will be provided a confirmation page when the save completes.
5. Run edit checks to determine if you have any fields that are incorrect or invalid. Invalid fields will prevent the filing from being submitted until you correct them. If errors are detected, you should correct the errors and then repeat Step # 4 to save the filing.
6. Your firm may choose to “approve” the amendment. This step can only be performed by a user at your firm that has been assigned the “Approver” role. This is not required for amendment submission.
7. Finally, Submit the amendment. The status of the amendment will become “Submitted.” Once the amendment has been submitted, it cannot be changed, and will be available to your FINRA Finance coordinator for review.
8. The coordinator reviews and evaluates the amendment.
9. The coordinator accepts or rejects the amendment.
   a. If the coordinator rejects the amendment. The status of the amendment becomes “Rejected” and the status of the currently “Accepted” filing remains “Accepted.” If necessary, you can create a new amendment and re-submit it.
   b. If the coordinator accepts the amendment. The status of the amendment is changed to “Accepted.” The previously accepted filing has its status changed to “Rejected.”
Filing Status Descriptions
As noted in the Focus Filing and Amendment Workflows on the previous pages, there are several possible statuses for a FOCUS filing.

<table>
<thead>
<tr>
<th>Status</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Scheduled</td>
<td>When the FINRA eFOCUS application automatically creates a filing, this is the default status. The filing maintains this status until it is submitted.</td>
</tr>
<tr>
<td></td>
<td>Filings with this status can be edited.</td>
</tr>
<tr>
<td>Accepted</td>
<td>An initial FOCUS filing submission becomes “Accepted” automatically when it is submitted. Subsequent amendments must be manually accepted by a coordinator to become “Accepted.”</td>
</tr>
<tr>
<td></td>
<td>Filings with this status cannot be edited. If changes are required, an amendment must be created.</td>
</tr>
<tr>
<td>Amendment</td>
<td>When a firm user creates an amendment to an “Accepted” or “Rejected” filing, this is the default status. The filing maintains this status until it is submitted.</td>
</tr>
<tr>
<td></td>
<td>Filings with this status can be edited.</td>
</tr>
<tr>
<td>Submitted</td>
<td>This status only applies to amendments. This is the status of any amendment submitted to the coordinator for review, and will either make the filing “Accepted” or “Rejected.”</td>
</tr>
<tr>
<td></td>
<td>Filings with this status cannot be edited. An amendment cannot be created for this filing until the amendment becomes either “Accepted” or “Rejected.”</td>
</tr>
<tr>
<td>Rejected</td>
<td>Amendments that are not accepted by the coordinator, or previously accepted filings that have been superseded by an “Accepted” amendment receive this status.</td>
</tr>
<tr>
<td></td>
<td>Filings with this status cannot be edited. If changes are required, an amendment must be created.</td>
</tr>
</tbody>
</table>
Getting Started

Accessing FINRA eFOCUS (Logging On)
To access FINRA eFOCUS, you must first access the Member Firm Gateway. You may access the FINRA eFOCUS application from your Member Firm Gateway “Forms & Filings” tab, or you may choose to bypass the Member Firm Gateway homepage and go directly to the FINRA eFOCUS application. To access the Firm Gateway, you must have a user ID and password.

Accessing FINRA eFOCUS via Firm Gateway
1. Log into the FINRA Member Firm Gateway at: https://firms.finra.org.
2. Enter your FINRA user ID and password.

4. Select to open FINRA eFOCUS.

Depending on your entitlements, you may see several applications for “Filings I can Access” in addition to FINRA eFOCUS in this view.

5. You are now logged on and will see the FINRA eFOCUS dashboard.

Your user role will determine which Member Firm functions will be available in your FINRA eFOCUS Dashboard. For example, if you have the user role of “Submitter”, you will not see the “Approve Saved Filings” action. Please refer to the Roles and Responsibilities section for more information.

Accessing FINRA eFOCUS directly
You may choose to bypass the Member Firm Gateway home page, and go directly to FINRA eFOCUS.

1. Log into the FINRA Member Firm Gateway at: https://firms.finra.org/FINRA eFOCUS/
2. Enter your FINRA user ID and password.
3. This will take you directly to the FINRA eFOCUS Dashboard, bypassing Steps 3 and 4 from the Firm Gateway.

FINRA eFOCUS Dashboard
The FINRA eFOCUS Dashboard is the main portal for performing functions related to FOCUS filings. There are five main sections of the Dashboard: Filings, Analysis, Reports, Bookmarks, and Tutorials.

Filings
The Filings section of the FINRA eFOCUS Dashboard provides access to filing submission and viewing.

<table>
<thead>
<tr>
<th>Section</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>View All</td>
<td>Displays your filings. There are two tabs.</td>
</tr>
<tr>
<td></td>
<td>Scheduled Filings and Amendments</td>
</tr>
<tr>
<td></td>
<td>Past Filings – Accepted/Rejected</td>
</tr>
<tr>
<td></td>
<td>You can set this as your default window when logging on to FINRA eFOCUS.</td>
</tr>
<tr>
<td>View Recent Filings</td>
<td>Displays up to the last 25 filing submissions, including the last 10</td>
</tr>
<tr>
<td></td>
<td>Accepted filings.</td>
</tr>
<tr>
<td>View Scheduled/Amended Filings</td>
<td>Displays all scheduled filings and amendments.</td>
</tr>
<tr>
<td>Create Amendments</td>
<td>Allows you to create an Amendment on previous submissions.</td>
</tr>
<tr>
<td>Approve Saved Filings</td>
<td>Allows you to approve a filing prior to submission.</td>
</tr>
<tr>
<td>Submit Saved Filings</td>
<td>Allows you to submit saved filings</td>
</tr>
<tr>
<td>Transmit Filings</td>
<td>Displays the last 25 filing submissions, including the last 10</td>
</tr>
<tr>
<td></td>
<td>Accepted filings.</td>
</tr>
<tr>
<td>Export Filing</td>
<td>Allows you to export a filing into a portable file format.</td>
</tr>
<tr>
<td>Import Filing</td>
<td>Allows you to import an external file into an FINRA eFOCUS filing</td>
</tr>
</tbody>
</table>

Analysis

<table>
<thead>
<tr>
<th>Section</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Compare Filings</td>
<td>Allows you to generate a comparison of individual line items.</td>
</tr>
<tr>
<td>Filing Analysis</td>
<td>Allows additional analysis of line items, including graphing.</td>
</tr>
</tbody>
</table>

Reports

<table>
<thead>
<tr>
<th>Section</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Print Filing/View PDF</td>
<td>Allows you to print or generate a PDF of a filing.</td>
</tr>
<tr>
<td>All Memos</td>
<td>Allows you to print the filing and line item memos</td>
</tr>
<tr>
<td>All Annotations</td>
<td>Allows you to print all annotations for a filing</td>
</tr>
</tbody>
</table>

Bookmarks

<table>
<thead>
<tr>
<th>Section</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Manage Bookmarks</td>
<td>Allows you to view and delete bookmarks</td>
</tr>
</tbody>
</table>

Tutorials
The tutorials section features video tutorials on how to utilize FINRA eFOCUS.
Setting the Default Window
After logging on to FINRA eFOCUS, the Dashboard appears by default. If you prefer, you can change the default window to the ‘View All’ filings view. This provides all the Scheduled Filings, Amendments as well as past filings.

1. Navigate to the View All Filing section of FINRA eFOCUS.

2. Click the Make Default Window option checkbox in the upper right-hand corner. A window will confirm your user preference settings. Click OK.

3. The next time you log into FINRA eFOCUS, you will automatically go to this page.

You can always access the Dashboard by selecting the Dashboard button in the top-left corner of the toolbar.

Navigating in a Filing
Once you have opened a filing, you can easily navigate to pages and specific line items in various ways. There are also functions you can perform using the toolbar.

Accessing a Specific Page within the Filing
You can navigate to a page within a filing using the page navigation along the top of the Filing View. Click on any Page tab to view the content.
Finding a Line Item
You can move quickly to any line item in a filing using the Search Criteria function on the toolbar.

1. Open a filing.
2. In the Enter Search Criteria field on the left, just below the page navigation, type in the name or number of the item you want to navigate to. Any matching line item numbers or descriptions will be shown.

3. Click on the desired line item. A yellow hand icon will indicate the line item box.

Using the Toolbar
The toolbar is located on top of the FOCUS Filing. It is right below the page navigation and it allows you to perform various filing and item-level actions.

<table>
<thead>
<tr>
<th>Option</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Search Box</td>
<td>Search for an individual line item and navigate to it.</td>
</tr>
<tr>
<td>Save</td>
<td>Saves any changes you have made to the filing. Does not finalize the filing.</td>
</tr>
<tr>
<td>Submit</td>
<td>Submits the filing. This prevents any future changes.</td>
</tr>
<tr>
<td>Not File</td>
<td>On certain filings (e.g. SIS, OBS), submits the filing with a “Not File” status, if you do not meet the requirements for the form.</td>
</tr>
<tr>
<td>Approve</td>
<td>Approves the filing.</td>
</tr>
<tr>
<td>Edits</td>
<td>Runs the edits.</td>
</tr>
<tr>
<td>Summary</td>
<td>Shows the filing summary in a window.</td>
</tr>
<tr>
<td>Filing Browser</td>
<td>Opens a filing browser, allowing you find another filing.</td>
</tr>
<tr>
<td>Print</td>
<td>Prints the filing.</td>
</tr>
<tr>
<td>More</td>
<td>Displays additional options in a drop-down.</td>
</tr>
</tbody>
</table>
Accessing More – Options List

By clicking the “More” button on the toolbar, you can access additional actions and reports.

<table>
<thead>
<tr>
<th>Option</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Filing Memo</td>
<td>Allows you to enter a filing-level memo.</td>
</tr>
<tr>
<td>Export Filing</td>
<td>Allows you to export a filing to Excel or another portable format.</td>
</tr>
<tr>
<td>Bookmarks</td>
<td>Allows you to manage bookmarks from within the filing.</td>
</tr>
<tr>
<td>View PDF</td>
<td>Generates and displays a PDF of the filing.</td>
</tr>
<tr>
<td>Analysis</td>
<td>Displays the Analysis Wizard.</td>
</tr>
<tr>
<td>Modify Filing Dates</td>
<td>Allows you to change the “Period Beginning Date” and/or the “Period Ending Date” for the filing. You must enter a justification when changing these dates.</td>
</tr>
<tr>
<td>Overridden Computed Items</td>
<td>Displays the auto-calculated items that can be overridden.</td>
</tr>
<tr>
<td>All Memos</td>
<td>Allows you to view and print all memos from the current filing.</td>
</tr>
<tr>
<td>All Annotations</td>
<td>Allows you to view and print all annotations from the current filing.</td>
</tr>
</tbody>
</table>

Viewing Online Help within FINRA eFOCUS

FINRA eFOCUS Online Help is an informational tool designed to assist in the preparation of FOCUS Filing and related schedules. Because of the dynamic nature of the securities industry and the regulations governing it, line item descriptions provided herein may not always be comprehensive. For the most up-to-date and most complete information, consult your rule references and Designated Examining Authority.

There are two types of online help for FINRA eFOCUS: Application Level Help and Line Item help. The Application Level Help displays information about how to use the FINRA eFOCUS application. The Line Item Help displays information for each line item.

Viewing Line Item Help

Line Item help contains information related to a single line item, for example how to fill the field, or expected ranges and values.

1. Navigate to the desired line item and right-click on its item number field. The following menu appears.
2. Click on **Item Help**. A new window will appear with the applicable help guidance and instructions.

3. From here, you can view all other help files associated with the filing by clicking the **Show** button.

   Alternatively, you can access line-item help from the Item Details toolbar.
Viewing Application-Level Help

Application-level Help provides information on how to use FINRA eFOCUS. This can be accessed from any page by selecting the Help button from the FINRA eFOCUS toolbar.

Additional Help

If you have any questions or problems with FINRA eFOCUS, please contact your FINRA coordinator. You can also contact the FINRA Call Center at 1 (800) 321-6273.
Opening a Filing

The FINRA eFOCUS application allows you to enter and submit your company’s financial information electronically to FINRA. FINRA eFOCUS will automatically create a new filing which will be activated and available to the firm on the beginning date of the filing period. You will be able to work on and edit your filing up to the “due date”. The filing can be submitted to FINRA after the “as of” date and before the “due date”. The initial filing must be submitted on or before the “due date” or the filing will be considered late and the firm may be subject to a fine.

FINRA eFOCUS provides several ways to access your company’s FOCUS filings. The filings can be accessed via three buttons in the Filings section on the Dashboard. The filing type, dates, and status are displayed for each filing. The following table lists the buttons on the Dashboard in the Filings section, with a brief description of each.

<table>
<thead>
<tr>
<th>Section</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>View All</td>
<td>Displays your filings. There are two tabs.</td>
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<td>Scheduled Filings and Amendments</td>
</tr>
<tr>
<td></td>
<td>Past Filings – Accepted/Rejected</td>
</tr>
<tr>
<td></td>
<td>You can set this as your default window when logging on to FINRA eFOCUS.</td>
</tr>
<tr>
<td>View Recent Filings</td>
<td>Displays the last 25 filing submissions, including the last 10 Accepted filings.</td>
</tr>
<tr>
<td>View Scheduled/Amended Filings</td>
<td>Displays all scheduled filings and amendments.</td>
</tr>
</tbody>
</table>

Opening a Scheduled Filing

Your Firm’s FOCUS Filings are automatically created by FINRA eFOCUS as ‘Scheduled’ filings. Perform the following steps to access your ‘scheduled’ filings.

1. On the Dashboard, click any of the first three buttons in the Filings section: View All, View Recent Filings, or View Scheduled/Amended Filings button.
2. Select the desired filing. The selected filing is highlighted.

![Filing Table]

3. Double-click the highlighted filing or click View Filing. The selected filing appears.

![Focused Filing]

Click View Summary to display a history of the filing. The type of information that is displayed is the status of the filing, the dates and times it was saved and by whom.

Opening an Amendment
Amendments can be opened the same way as filings. These filings can be identified by the status, “Amendment.” An amendment must be created before it can be opened.
Entering Values in a Filing

You can enter different types of information in different ways. You can manually enter information in a filing by opening it in the Filing View. Filings can also be imported via an Excel spreadsheet, XML file, or text file. Filings imported in this manner can still be manually edited as well.

Importing a Filing

The Import Filing button allows you to import an external file into a FOCUS Filing. You can import an Excel, XML, or Text file into a filing. After you select the file to import, FINRA eFOCUS displays the information that will be imported. FINRA eFOCUS reviews the imported file to determine if there are any errors. An example of an error is if a numeric value is expected in a line item and the imported file contains alphabetic characters in that line item. If no errors are detected, you can complete the import process. If errors are detected, all errors must be corrected in the file and then you can re-import the file. FINRA eFOCUS will not allow you to import a file that has errors.

After importing a file you can manually enter information into the filing. Once you have entered information manually into the filing, if you decide to re-import a file, all of your previously entered information will be overwritten - you cannot retain previously entered information.

View Sample Import Files

In the Import Filing section of the Dashboard, there are sample Excel and XML files for you to view. These files contain the format required to perform an import.

1. On the eFOCUS Dashboard, in the Import Filing section, click the corresponding hyperlink to display a sample Excel import file.
2. Clicking on the hyperlink provides an Excel sheet template that can be edited by filling in appropriate values based on the item number in the left column. Fields that is left blank or automatically calculated will not be imported.

![Excel sheet template](image)

Import a Filing
1. On Dashboard, click the **Import Filing** hyperlink. The *Scheduled or Saved Filings* window appears.
2. Click the desired FOCUS Filing that you want to import your file into. The selected filing is highlighted.

![Scheduled or Saved Filings window](image)
3. Double-click the filing or click **Import Filing**. The Import FOCUS Filing window appears.

4. Select the type of file you want to import: Excel file, XML file, or text file.  
   - For the Excel file, select the appropriate options - whether the line item values are formatted or column headings are included, that need to be ignored.
   - For the XML file, please use the [XML Schema for File Import](#) hyperlink to view the required file format.

5. Click **Browse** to locate the file you want to import.

6. Click **Import**. The import results will appear.
Review this information prior to completing the import process. Imported values that match a valid item will appear.

- Automatically populated values will appear in gray.
- Values that have passed validation and imported will appear in Blue. Any values present on the filing will be overridden.
- Errors appear in Red and must be corrected. Imported files with errors will not be imported until the errors have been resolved. Correct the errors in the file and click **Import Again** to revalidate the file.

7. In the **Show** field, you can click the drop-down arrow and select the desired filter option to display the import results: **All**; **Only Imported Items**; **Items which differ from current values**; or **Errors Only**.

8. Once all errors are resolved in an imported file, you will be presented with the option to import and update the filing.

9. Click **Update Focus Filing**. The filing will be populated. Once this process is complete, the **Summary** will appear.

Manually Entering Values
You can manually enter values for the line items in the FOCUS Filing. There are some line items that are automatically calculated, which FINRA eFOCUS will not allow you to edit.
When you first access a filing, review the information on the Cover Page to ensure it is correct, including filing dates. If the information is incorrect, contact your FINRA coordinator.

1. Open the filing.
2. Navigate to the desired page in the filing to begin entry.
3. Click the Tab key on your keyboard to navigate between fields that accept text entry. Type in your entry. If you want, you may also use Copy/Paste from another document, though any text you paste may be formatted or truncated to fit the required space.

You cannot enter line items that auto-calculated. These values are calculated by the filing and may change as you enter and edit line items that affect them. For example, Line Item 750 (Total Cash) is automatically calculated depending on what you enter for Item 200 (Cash).

Some auto-calculated line items can be overwritten. However, you should consult with your FINRA Finance Coordinator before doing so, to ensure that you meet any requirements for overwriting the field. In addition, document any overwritten items with a line item memo explaining your action, as well as any other pertinent information related to the overwritten value.
Entering Memos and Annotations

You can enter a filing memo, item memos, and annotations for a filing. A filing memo is a single memo for the entire filing. An item memo can be entered for each line item within a filing. There are two types of item memos that can be entered - a text memo and a calculation memo. An annotation can also be entered for each line item in a filing.

Please note:

- Memos are submitted to FINRA with the FOCUS filing and can be seen by your FINRA coordinator.
- Annotations are not submitted and are for your reference only.

Entering a Filing Memo

A filing memo is a single memo for the entire filing.

1. Open the filing. Click More on the toolbar. The Options list appears.

2. Click Filing Memo. The Filing Memo window appears.
3. Enter text into the memo. You can also paste information from a Word document or text editor, as well as apply formatting.
4. Click Save to save the memo.

**Entering an Item Memo**

An item memo can be entered for each line item within a filing. Item memos can be entered from a line item or from the toolbar. The text of all memos transmits to FINRA with each FOCUS Filing.

**Entering an Item Memo from a Line Item**

1. Open the filing. Right-click a line item in the filing. The Item Options list appears.

2. Click Item Memo. The Item Memo window appears.

3. Enter text into the memo. You can also paste information from a Word document or text editor, as well as apply formatting.
4. Click Apply to apply the memo to the item. The item’s line number should now change in color to indicate that a memo has been added.
Accessing the Item Memo from the Toolbar

Alternatively, you can also add an item memo by clicking on the Item Details section of the toolbar.

Entering Item Memo Calculations

You can enter subtotals for a line item value in an item memo calculation. These subtotals allow you to record the origins for the total value for the line item. The item memo calculations transmit to FINRA and become part of your FOCUS Filing. Item memo calculations can be entered from a line item or from the toolbar. You can also copy item memo calculations from a previous filing period.

Entering a Memo Calculation from a Line Item

1. Open the Filing. Right-click a line item in the filing. The Item Options list appears.

2. Click Item Memo. The Item Memo window appears.
3. Click on the **Calculation Tab**.

4. A spreadsheet view opens. In the **Label** column, write a description. In the **Value** column, write the value. The total will appear at the bottom.

5. You can add additional rows by clicking the **Add Rows** button.
6. To clear the table, click **Clear All Rows**.

7. You can also import data from the prior filing period by clicking **Copy from prior Filing Period**.

8. Click **Apply** to apply the memo to the item. The item’s line number should now change in color to indicate that a memo has been added.

**Entering Annotations**
Annotations are similar to memos, but are not submitted to FINRA. You can use these for personal notes when filling out a filing. The methodology is similar to writing a memo, but does not allow for the use of calculations.

To create an annotation, right click on a line item in the filing to open the **Item Options** list and select **Item Annotation**.

**Pasting from a Word Document**
You are able to copy text from a Word document and paste it into the item memo, filing memo, or annotation in FINRA eFOCUS. The formatting from the Word document will be retained, unless those options are selected in FINRA eFOCUS before the text is pasted.
1. From within the Memo or Annotation window, select the Paste from Word Icon.

2. The Paste from Word window appears.

3. Copy the text from Word to your clipboard.
4. Select the text box in the Paste from Word window and click Ctrl+V to paste the text into the box.
5. Click **OK**. The text will be populated into the memo or annotation.

6. Click **Apply** to save the copied text.
Auto-calculated Line Items

Some of the line items in a filing that are automatically calculated can be overridden if your firm’s business requires this. FINRA eFOCUS allows you to view all line items that can be overridden.

Viewing Auto-Calculated Line Items

FINRA eFOCUS allows you to view all of the line items that are automatically calculated. You can view the originally computed value as well as the overridden value, if one exists.

1. Open the filing. Select More on the toolbar. The Options list will appear. Click Overridden Items.

2. The Overridden Items window appears. Items that have been overridden will have a checkmark in the first column.
Overriding an Auto-calculated Line Item

1. Open the filing. Find the line item that you want to override and right-click the auto-calculated value. The Item Options list will appear.

   ![Item Options](image1.jpg)

2. Select Override Value. The Override Formula window will appear.

   ![Override Formula](image2.jpg)

3. In the Value field, type in the new value and click OK.

   The new value will appear with a blue font color.

   ![New Value](image3.jpg)

   Be sure to enter a Line Item Memo for the line item you have overridden, documenting your reason(s) for overriding the auto-calculated value.

Repopulating Auto-calculated Line Items

After you have overridden an auto-calculated value, it will no longer update to reflect changes. If needed, you can reset the field to enable this functionality and allow the form to auto-calculate the value again.
1. Open the filing. Click **More** on the toolbar. The **Options** list appears. Click **Overridden Items**.

![Overridden Items Window](image1.png)

2. The **Overridden Items** window appears.

![Overridden Items Window](image2.png)

3. Click on the checkmark for the field that you want to revert. A dialog will appear confirming your intent to revert back to the auto-calculated value.

![Confirmation Dialog](image3.png)

4. Click **OK**. The value will become auto-calculated and display in black again.

![OK Button](image4.png)
If you have written an Item Memo or an Item Calculation for an overridden field that you have later reverted, consider removing it if it is no longer relevant.
Line Item History

The Item History displays the values of a line item from previously approved filings. The average of the values is also calculated. The previous values for each line item can be accessed from the line item or from the toolbar.

Viewing Item History from a Line Item

1. Open the filing. Right-click a line item in the filing. The Item Options list appears.

2. Click Item History. The Item History window appears.

3. In the Show field, click the drop-down and select All, Last 6, Last 12, or Last 24.

4. Select Show Selected Filing to include the value of the line item from the current filing.

Viewing Item History from the Toolbar

You can also view the Item History from the Item Details toolbar and clicking the History button.
Running Edits

All Failed Edits must be cleared prior to filing submission.

FINRA eFOCUS will not allow you to submit a filing which has failed edits. Please save the filing before running edits.

1. Open the filing. Click Edits on the toolbar.

2. The Edit Browser window appears, showing the failed edits for your filing.

By default, only the failed edits are shown. To show all edits, click on the Show dropdown and select All.
3. Click on the **Show Formula** checkbox to see the calculation for each failed edit.

![Image of Show Formula checkbox and formulas]

4. To correct a line item, click on the failed line item. The filing view should show the selected line item in the background. Make the necessary correction to the field.

![Image of corrected line item]

5. Once you have made the changes, click the **Save** button.

6. After save, Click the **Refresh** button in the upper-right corner to re-run edits.

_You should always validate edits before submitting to FINRA._
Creating an Amendment

An amendment can be created if a previously submitted filing needs to be changed. You cannot make changes to a filing that has a "Submitted" status. Only one amendment is allowed for a filing at a time. Before an amendment can be created, the previously submitted filing must have a status of "Accepted" or "Rejected".

You cannot edit a previously submitted Amendment. There can only be one amendment with a Submitted status. If necessary, contact your FINRA Finance Coordinator and ask them to reject the amendment, so that you can create a new amendment.

1. On the Dashboard, click on the Create Amendments button.

2. The Filing Browser will appear, showing all Accepted or Rejected filings from the past 36 filing periods.
You can sort this browser by any of the column headers, such as Report Type or Date.

3. Click on the filing you want to amend and click on the **Create Amendment** button on the bottom.

4. A dialog box will appear. Click **OK** to create the Amendment, or click **Cancel** if you do not want to amend the filing.

5. A new dialog box will appear if you create an amendment.

6. If you want to edit the Amendment immediately, click **OK** again. Otherwise, click **Cancel**. Your amendment has already been created.

7. Check the toolbar to ensure you are editing an amendment. At this point, you can begin editing this filing.
Saving a Filing

As you are working on your Filing, remember to save your work to ensure that you will not lose progress in the event that you are logged out due to inactivity, or if you have technical issues. Your filing must be saved before it can be approved or submitted.

1. Click **Save** on the toolbar.

2. The **Filing Status** window appears. You will be able to see the save status in the **Status History** tab.
Approving a Filing

Once edits have been run and the filing has been saved, the filing can be approved. Approving a filing is optional, and a filing can be submitted to FINRA without being approved.

Approving the filing is done by a user from the member firm who has been assigned the “Approver” role. This step cannot be performed by a FINRA Finance coordinator, on behalf of a firm.

1. On the Dashboard, click the Approve Saved Filings hyperlink.

2. A list of scheduled and amended filings appears.

3. Click on the filing you want to approve and select the View Filing button.
4. Examine the filing. If you want to approve the filing, click the Approve button on the toolbar.
5. Confirm your approval by clicking **OK**.

![Confirm dialog box](image)

6. Verify that your approval has been saved in the Status History of the Filing Summary.

![Status History table](image)
Submitting a Filing

You can submit a filing to FINRA from within an open filing or from the FINRA eFOCUS Dashboard. If you submit a filing from the FINRA eFOCUS Dashboard, you can select multiple filings to submit to FINRA at one time. Before a filing can be submitted to FINRA, ensure the following functions have been completed:

- Verify that the edit checks have passed.
- Save the filing
- Approve the filing (optional)

*Once you have submitted the filing to FINRA, it can no longer be edited. You must create an Amendment if you want to make changes.*

Submitting a Filing from within Filing View

1. Click the **Submit** button on the toolbar.

2. Confirm that you wish to submit the filing.
3. The submission summary will appear. Please examine this message to determine if you need to fill in a supplementary form.

You can also submit the filing immediately after saving by opening the Submitting FOCUS Filing Tab. If Edits have failed, however, it will only allow you to correct edits.

### Submitting a Filing from the Dashboard

1. Click the **Submit Saved Filings** button. A window showing saved filings appears.
2. Select the filings you want to submit. Click the **Submit** button.

3. Confirm that you want to submit the Filings.

4. Verify that your filing has been submitted.
Submitting a Filing as Not Filed

In some cases, you may not be required to fill out a form because you do not meet the filing requirements for that filing month. Please consult your finance coordinator if you have any questions regarding your eligibility. In this case, you can use the Not File Button instead, to submit a blank form to FINRA. This option is applicable to only certain filings such as OBS or SIS. If you cannot locate this button in the toolbar, consider that filing as mandatory.

1. Open the filing. Click the Not File button on the toolbar. A pop-up appears.

2. FINRA requires you to ‘Attest’ that your firm meets the requirements stipulated in the pop-up to be eligible to choose the ‘Not File’ option on the filing. If you click OK, your filing will be immediately submitted as “Not Filed.”

3. The filing status update will appear, showing your submission as “Not Filed.”

Filings that are “Not Filed” cannot be viewed since they are blank forms. If you need to make changes to a “Not Filed” filing, you will need to create an Amendment.
Transmitting a Filing

You may be asked by your clearing firm to send your completed FOCUS filings through FINRA eFOCUS. You must manually transmit each filing you wish to send.

Using FINRA eFOCUS application, you can transmit filings to ONLY your clearing firms mentioned in your Form BD submitted to FINRA.

Transmitting a Filing from the Dashboard

1. On the Dashboard, click the Transmit Filings.
2. Select the filings you want to send.
3. Click the Continue button. The institution transmission window appears.
4. Select any institutions you wish to send to and click the Add button. To remove lists from the transmitted list, select the institution from the right-side list and click the Remove button.

5. Click Transmit Filing. A window will appear.

6. Read the message. If you agree to the statement, check the checkbox and click OK.

A popup will appear confirming your transmission.

**Transmitting a Submitted Filing from the Summary View**

1. Submit the filing.
2. Click the **Transmit** button in the upper right corner.

3. Continue from Step 3 of the previous section to transmit your filing.

   *If you need to transmit your FOCUS filing to any other Financial Agency or Organization, other than your clearing firm, please email a copy of your filing directly to the agency or organization. You will not be able to transmit these filings directly through FINRA eFOCUS.*
Exporting a Filing

FOCUS Filings can be exported to an Excel spreadsheet, XML file, or text file. The export process can be performed from an open filing or from the Dashboard. Before exporting a filing, make sure you have saved the filing to ensure all of your changes will be included.

Exporting a Filing from an Open Filing

1. Open the filing. Click More on the toolbar. The Options window appears. Click Export Filing.

   ![Options Window]

2. The Export Options window appears.

   ![Export Options Window]

3. Select your desired options.
4. Click the **Process** button. A file download window will appear for you to either open and view or save the exported filing. Select the desired option to complete the export process.

![File download window](image)

**Exporting a Filing from the Dashboard**

1. On the EfocuS Dashboard, Click on the **Export Filing**.

   ![EfocuS Dashboard](image)

2. Select the desired filing and Click the **Export Filing** button.

3. Continue from Step 3 in the previous section for Exporting a Filing from an Open Filing.
Analysis

The analysis section on the dashboard provides access to two options:

- Compare Filings: Allows you to generate a comparison of line items.
- Filing Analysis: Allows you to view the history of line items in Accepted filings.

Compare Filings

The Compare Filings hyperlink allows you to compare the line item values of multiple filings. To generate the comparison, you must select the filing that you want to use as the base for the comparisons. The default comparison that appears displays all of the filings with the same ‘Report Date’, which includes Rejected filings. If desired, you can also select other Accepted filings to appear in the comparison.

1. On the eFOCUS Dashboard in the Analysis section, click the Compare Filings hyperlink.

2. The Filing browser window appears.

3. Click the filing that you want to compare with other filings. The selected filing is highlighted. Double-click the desired base filing or click Compare Filing.
4. The **Comparison with other submissions and Filings** window appears.

5. Select the desired options from the drop down.

6. Double-Click on the filing to select the desired filing(s) to compare the base filing with. You can select multiple filings to compare. Once you’ve made the selection, click on the **View** button located on the bottom of the screen.

7. The Comparison screen appears.
The first column of the analysis contains information from the first filing you selected. It is the base filing for all of the comparisons.

The remaining columns contain information from the other filings.

The difference in the line item values appear to the right of the actual line item values for each filing. The difference appears in either green or red text, depending on the result of the comparison with the line item in the base filing.

You can export the Comparison to an Excel spreadsheet or print it by clicking the corresponding icons.

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**Filings Analysis**

The Filing Analysis allows you to view the history of line items in 'Accepted' filings. You can access the Filing Analysis from within an open filing or from the eFOCUS Dashboard.

**Analyzing a Filing from an Open Filing view**

1. Open the filing. Click ‘More’ on the toolbar. The Options window appears.
2. Click Analysis. The Analysis Wizard - Step 1 of 3 window appears. Note: The filing that is currently open is the base filing for the analysis.

3. Select the desired options and click on the 'Next' button.

4. The Analysis Wizard – Step 2 of 3 window appears. Double-click the information that you want to include in the analysis. The selected information will appear in the right columns.

5. Click on the 'Next' button. The Analysis Wizard – Step 3 of 3 window appears.
6. Select the types of items that you want to include in the analysis, you can select more than one option.

7. Click View. The Filing Analysis results appear.

8. You can generate Excel spreadsheet, generate a graph, or print the report by clicking on the corresponding icons, located on the top right corner of the screen.
Analyzing a Filing from the dashboard

1. On the eFOCUS Dashboard in the Analysis section, click the Filings Analysis hyperlink.

2. The Filing browser window appears.

3. Click on the filing that you want to Analyze and click the ‘Analyze Filing’ button on the bottom, OR Double-click the desired filing.

4. The Analysis Wizard – Step 1 window appears. For remaining instructions, please go to step 2 of the previous section.
Reports
You can print FOCUS filings, memos, and annotations from the Reports section of the Dashboard. You can also generate a PDF version of a filing.

Printing Filings and Viewing PDFs
When printing FINRA eFOCUS Filing, you can print all of the pages or only the pages that you select. It is recommended to generate a PDF, and then print the filing. This ensures that the print settings will be correct; otherwise you will have to adjust the print settings. Filings can be printed from an open filing or from the Dashboard.

If you want to print the memos or annotations with the filing, you will not be able to generate a PDF. You will need to select the other option ‘Print directly by opening a new window.’ Then it is recommended that you adjust the desired print settings before Printing.

Printing a Filing from within Filing View
1. Open the Filing. Click Print on the toolbar.

2. The Print Options window appears.
3. Select the appropriate options you want to for your print job.

   If you wish to select multiple pages from the Select Pages dialog, hold Ctrl and click additional pages.

4. Select your time-stamp and filing status options to appear on every page.
5. If you do not need memos or annotations, it is recommended that you generate the PDF for printing. Otherwise, you will need to print from a window.
6. Click the Print button. If you created a PDF, it will be downloaded, and you can print it directly from your PDF viewer.

Printing a Filing from the Dashboard
1. Click the Print Filing/View PDF option under the Reports section on Dashboard.

2. Select the filing you wish to print, and Click the Print Filing button.

3. The Print Options window appears. Please continue at Step 3 from the previous section.
Viewing a PDF Version from an Open Filing
From within a filing, you can click on the More button in the toolbar and click View PDF. These options are the same as the Print function, but are specifically for PDFs.

Printing Memos and Annotations
There are multiple ways to print Memos and Annotations. Whenever you do so, text and calculations are printed, if applicable.

Printing One Item Memo or Annotation
1. Right-click a line item in the filing. The Item Options list appears.

2. Select the appropriate button.
3. The Item window appears.
4. Click on the **Print Icon** in the title bar.

**Printing the Filing Memo**

1. Click on **More** in the toolbar. The **Options** list appears.

2. Click on **Filing Memo**. The **Filing Memo** window will appear.

3. Click on the **Print Icon** in the title bar.
Printing All Memos or Annotations from within Filing View

1. Open the filing. Then click on More in the toolbar. The Options list appears.

2. Click on All Memos or All Annotations. A list of all respective items will appear.

3. Click on the Print Icon in the title bar.
Printing All Memos or Annotations from the Dashboard

1. Click on the All Memos or All Annotations options under Reports section on the Dashboard.

2. A list of filings appears.

3. Select the filing and Click the View All Memos or View All Annotations button. A list of all respective items will appear. You can also select multiple filings, or all filings, to generate a list from multiple reports.

4. Click on the Print Icon in the title bar.
**Bookmarks**

You can create a bookmark for any line item in a filing. By “bookmarking” a line item, you are able to quickly access that line item at any time. When you create a bookmark for a line item, you can also enter additional information for that bookmark. FINRA eFOCUS creates a list of all the bookmarks that you have created, allowing you to easily access any line item that you have created a bookmark for.

**Creating a Bookmark**

1. Open the filing. Right-click the line item in the filing for which you want to create a bookmark. The Item Options list appears.

2. Click Add to Bookmarks.

3. If desired, enter additional information for the bookmark.
4. Click OK. A pop-up will confirm the bookmark has been added.

**Accessing Bookmarks**

The list of bookmarks contains all bookmarks for all filings that have been created. If you select a bookmark that is not located in the filing that is currently open, FINRA eFOCUS will open the
corresponding filing first and then navigate to the bookmarked line item. You can access a bookmark from an open filing or from the Dashboard.

**Accessing Bookmarks from within Filing View**

1. Open the filing. Click More on the toolbar. The Options window appears.

![Options window]

2. Click Bookmarks. The Bookmarks window appears. The list displays all bookmarks, not just the ones for the current filing. Select the desired bookmark.

![Bookmarks window]

3. Click View. If the bookmark is on the current filing, the filing view will navigate to the bookmark. Otherwise, FINRA eFOCUS will open the filing in a new window.

**Accessing Bookmarks from the Dashboard**

1. On the Efocus Dashboard under Bookmarks section, Select the Manage Bookmarks option.

![Manage Bookmarks]

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2. The **Bookmarks** window will appear. Click on a desired bookmark to select it.

3. Click the **View** button to open the filing. EFOCUS opens the filing and navigates to the selected bookmarked item.

**Deleting a Bookmark**

**Deleting Bookmarks from within Filing View**

1. Open the filing. Click **More** on the toolbar. The **Options** window appears.

2. Click **Bookmarks**. The **Bookmarks** window appears. The list displays all bookmarks, not just the ones for the current filing.
3. Select the desired bookmark to delete and Click the **Delete** button.
4. A dialog box will confirm the removal of the bookmark.

Deleting Bookmarks from the Dashboard
1. On the Efocu Dashboard under Bookmarks section, Select the **Manage Bookmarks** option.

2. The **Bookmarks** window will appear.
3. Continue Step # 3 from previous section to delete a bookmark.