



# **FINRA eFOCUS User Guide: Training and Reference Manual**

# Table of Contents

FINRA eFOCUS OVERVIEW .....	3
<b>INTRODUCTION</b> .....	3
<b>ROLES AND RESPONSIBILITIES</b> .....	3
ACCESS VIA FINRA GATEWAY .....	3
<b>LOGGING ON TO FINRA GATEWAY</b> .....	3
<b>REQUESTS AND FILINGS WIDGET</b> .....	3
<b>FINDING YOUR SCHEDULED FILING</b> .....	4
NEW FEATURES AND ENHANCEMENTS.....	4
<b>GUIDED TOUR</b> .....	4
<b>FORM LAYOUT</b> .....	5
<b>AUTOSAVE</b> .....	6
<b>FORM SUMMARY REVIEW</b> .....	7
OTHER FEATURES .....	7
<b>ERROR CHECKS</b> .....	7
<b>PDF FORM VIEW AND PRINT</b> .....	8
<b>FILING ACTIONS</b> .....	9
IMPORT YOUR FILING .....	9
EXPORT YOUR FILING .....	10
ADDING A FILING MEMO .....	10
NOT FILE .....	11
VIEW FILING STATUS.....	11
<b>LINE ITEM TOOLS</b> .....	12
MEMOS .....	12
ITEMIZATIONS .....	12
HELP .....	13
HISTORY .....	13
<b>SUBMITTING A FILING</b> .....	14
<b>TRANSMITTING A FILING</b> .....	15
<b>CREATING AN AMENDMENT</b> .....	16
<b>COMPARE FILING AND FILING ANALYSIS</b> .....	16
RESOURCES AND CONTACT INFORMATION .....	17

# FINRA eFOCUS OVERVIEW

## INTRODUCTION

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.

## ACCESS VIA FINRA GATEWAY

### LOGGING ON TO FINRA GATEWAY

eFOCUS users will be able to access the eFOCUS system after having gained access to FINRA Gateway.

Accessing FINRA eFOCUS via FINRA Gateway:

1. Log into the FINRA Gateway at: <https://gateway.finra.org>
2. Enter your FINRA-issued user ID and password.

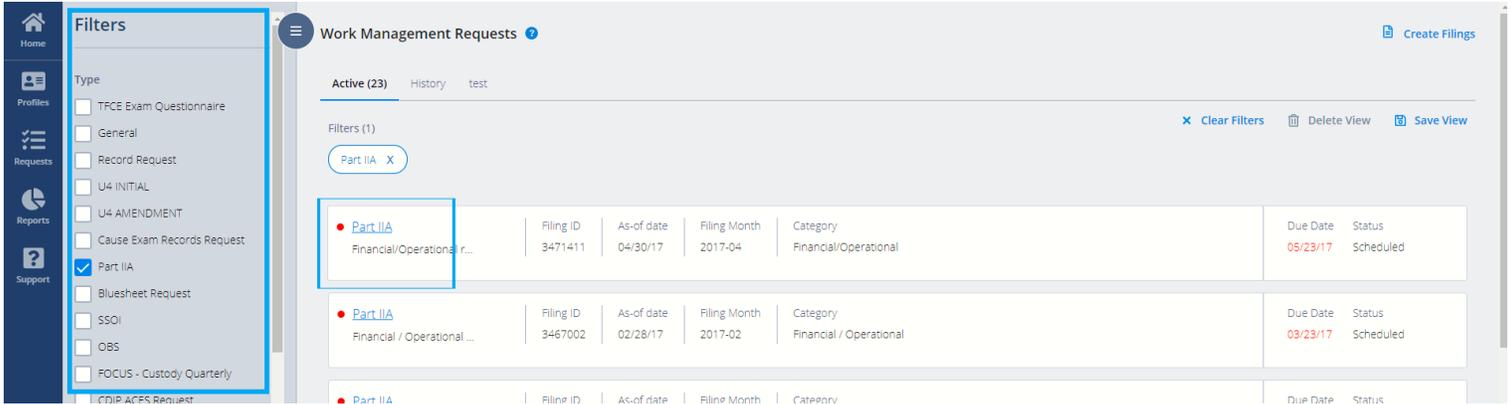
## REQUESTS AND FILINGS WIDGET

You can add a widget to your FINRA Gateway landing page in the "Dashboard Settings" section of FINRA Gateway. Your Requests and Filings widget will include active and overdue filings.

The screenshot displays the FINRA Gateway dashboard. At the top, there is a navigation bar with the FINRA logo, a 'SEND FEEDBACK' button, and search and notification icons. The main content area is divided into several sections. On the left, there is a 'Profile Search' section with a dropdown menu set to 'Individual' and a search input field. Below this is a 'Requests & Filings' widget, which is highlighted with a blue border. This widget contains four data points: 1 Drafts, 89 eFOCUS Filings, 86 Overdue, and 0 Information Requests. To the right of the widget is a 'Links' section with two tabs: 'FIRM GATEWAY' and 'CLASSIC CRD'. The 'FIRM GATEWAY' tab is active, showing a list of links including '4530 Reporting', 'Advertising-Ad Reg', 'Compliance Vendor Directory', 'eFocus', 'FINRA ADDS', 'FINRA Contact System (ECS)', 'FINRA New Issue', 'FINRA.org', 'Information Requests', 'OATS', 'OTC Transparency Data', 'Over-the-Counter Equities Data', 'Peer-2-Peer Compliance Library', 'Preferred Pricing Program', and 'RegT Extension'. The 'CLASSIC CRD' tab shows links for 'BD Form', 'E-Bill', 'Exam Waiver Form', 'NRE Form', 'Pre-Registration Search', and 'SIF'. A 'Dashboard Settings' button is visible in the top right corner of the dashboard area.

# FINDING YOUR SCHEDULED FILING

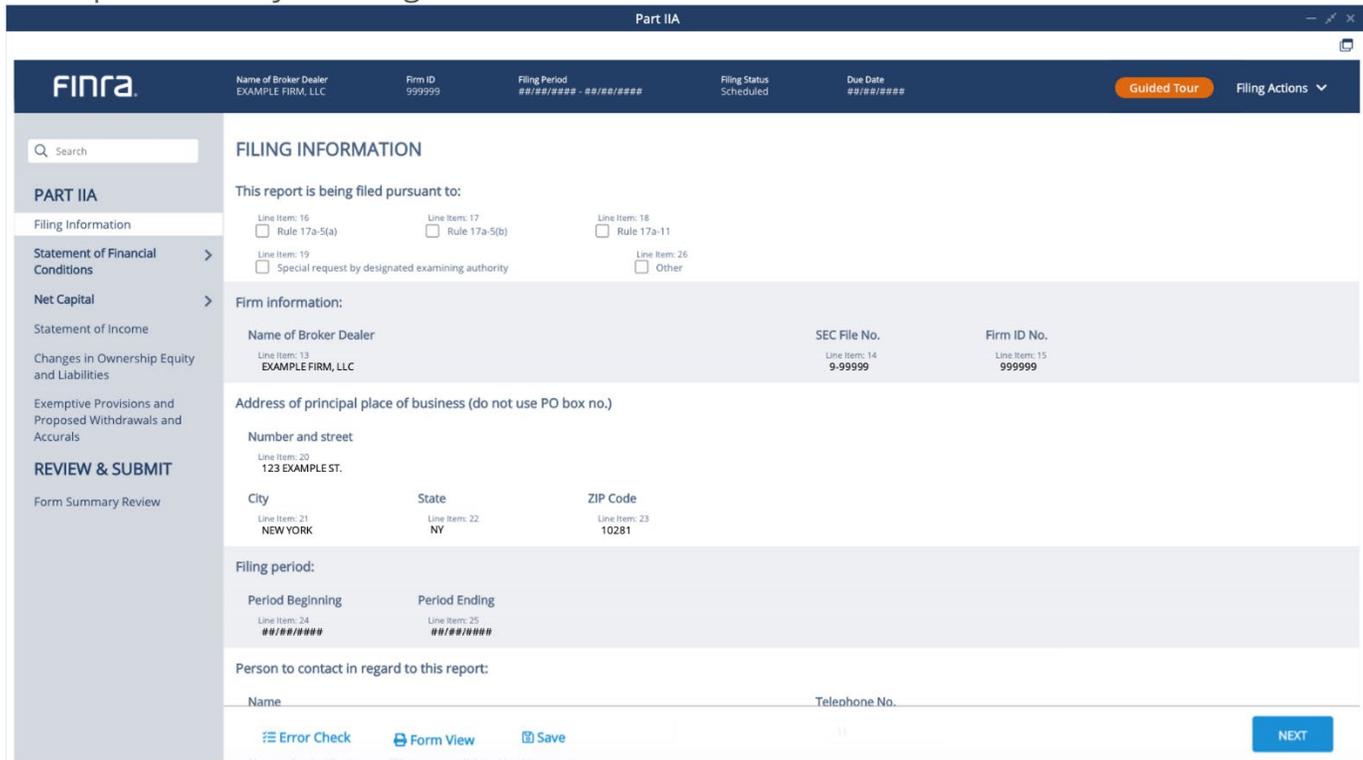
All scheduled eFOCUS filings can be found in the “Requests” section of the left-hand navigation of the FINRA Gateway landing page. Once within the Requests section of FINRA Gateway, you will be able to filter your scheduled filing search by filing type and request type.



# NEW FEATURES AND ENHANCEMENTS

## GUIDED TOUR

The eFOCUS system offers a Guided Tour functionality upon opening your scheduled filing in the redesigned system. You can trigger this tour by clicking on the orange “Guided Tour” button in the top header of your filing window.



## FORM LAYOUT

The eFOCUS system features a more intuitive and clearer layout for every form type. The redesigned form pages offer easy field-to-field navigation and value input.

**FINRA** Name of Broker Dealer Firm ID Filing Period Filing Status Due Date  
Firmie McFirmface & Associates CFP. ##### ##/##/## - ##/##/## In-Progress ##/##/##

Search

**PART II**

Filing Information

Statement of Financial Conditions >

Net Capital Computations >

Statements of Income >

Statements of Change >

Exemptive Provisions

Proposed Withdrawals and Accruals

**REVIEW & SUBMIT**

Summary Review

### FILING INFORMATION

This report is being filed pursuant to:

Line Item: 16  Rule 17a-5(a) Line Item: 17  Rule 17a-5(b) Line Item: 18  Rule 17a-11

Line Item: 19  Special request by designated examining authority Line Item: 26  Other

#### Firm Information

Name of Broker Dealer Line Item: 13 Firmie McFirmface & Associates CFP	SEC File No. Line Item: 14 1-23456	Firm ID No. Line Item: 15 1234567
--	--	---

Address of Principal Place of Business (Do not use P.O. Box No.)

Number and Street  
Line Item: 20  
123 East West Street, #456

City Line Item: 21 New York	State Line Item: 22 New York	Zip Code Line Item: 23 10005
-----------------------------------	------------------------------------	------------------------------------

Filing Period

Period Beginning Line Item: 24 10/01/19	Period Ending Line Item: 25 12/31/19
---	--

Person to Contact in Regard to This Report

Name Line Item: 30	Telephone No. Line Item: 31
-----------------------	--------------------------------

Name(s) of Subsidiaries or affiliates consolidated in this report

Line Item: 32

Line Item: 34

Line Item: 36

Line Item: 38

Does respondent carry its own customer accounts?  
Line Item: 40  Yes Line Item: 41  No

Click here if respondent is filing an audited report  
Line Item: 42

[Error Check](#) [FormView](#) [Save](#) [PREVIOUS](#) [NEXT](#)

## LEFT NAVIGATION

eFOCUS now offers a much more navigable section-to-section left-hand navigation bar, where pages and sections of filings are clearly labeled and easy to find. Users can expand and collapse sections of the left navigation containing smaller sub-section pages.

**FINRA** Name of Broker Dealer: Firmy McFirmface & Associats LLC. Firm ID: 1234567 Filing Period: 10/01/19 - 12/31/19 Filing Status: In-Progress Due Date: 01/24/20 L. McLongnamerson

Search

**PART IIA SHORT**  
 Filing Information  
 Statement of Financial Conditions  
 Statements of Income  
 Statements of Change  
**REVIEW & SUBMIT**  
 Summary Review

### REVENUE

1. Commissions:

a. Commissions on transactions in exchange listed equity securities executed on an exchange	Line Item: 3935
b. Commissions on listed option transactions	Line Item: 3938
c. All other securities commissions	Line Item: 3939
d. Total securities commissions	Line Item: 3940

2. Gains or losses on firm securities trading accounts

a. From market making in options on a national securities	Line Item: 3945
b. From all other trading	Line Item: 3949
c. Total gain (loss)	Line Item: 3950

## AUTOSAVE

Users no longer need to worry about potential work loss in the event of getting logged out of the system. 60 seconds after a most recent edit, the system will save any input values and work in the filing. Users still can explicitly click "Save" to trigger an immediate save on their work.

**FINRA** Filing Period: 07/01/2016 - 07/31/2016 Filing Status: Amendment

Search

**PART IIA**  
 Filing Information  
 Statement of Financial Conditions  
 Net Capital  
 Computation of Net Capital  
 Net Capital Requirements  
 Statement of Income  
 Changes in Ownership Equity and Liabilities  
 Exemptive Provisions and Proposed Withdrawals and Accruals  
**REVIEW & SUBMIT**  
 Form Summary Review

### COMPUTATION OF NET CAPITAL

1. Total ownership equity from Statement of Financial condition	Line Item: 3480	\$ 2,649,935
2. Deduct ownership equity not allowable for Net Capital	3490	
3. Total ownership equity qualified for Net Capital	Line Item: 3500	\$ 2,649,935
4. Add:		
A. Liabilities subordinated to claims of general creditors allowable in computation of net capital	Line Item: 3520	
B. Other (deductions) or allowable credits (List)	3525	
5. Total capital and allowable subordinated liabilities	Line Item: 3530	\$ 2,649,935
6. Deductions and/or charges:		
A. Total non-allowable assets from Statement of Financial condition (Notes B and C)	Line Item: 3540	\$ 1,286,228
B. Secured demand note deficiency	3590	\$ 3,454
C. Commodity futures contracts and spot commodities-proprietary capital charges	3600	
D. Other deductions and/or charges	3610	Line Item: 3620 (\$ 1,289,682)
7. Other additions and/or allowable credits (List)	3630	
8. Net Capital before haircut on securities	Line Item: 3640	

## FORM SUMMARY REVIEW

Prior to submission, users will be presented with a summary review page allowing them to check all major aggregates throughout the form. Here, they can review and potentially catch any incorrect or concerning total values.

		Previous 201605	Previous 201606	Current 201607
Statement of Financial Condition	<b>Assets</b> Line Item: 940	\$ 3,958,494		\$ 4,160,606
	<b>Liabilities</b> Line Item: 1760	\$ 1,510,671		\$ 1,510,671
	<b>Ownership Equity</b> Line Item: 1800	\$ 2,649,935		\$ 2,649,935
Net Capital	<b>Net Capital</b> Line Item: 3750	\$ 1,192,910		\$ 1,192,910
Statement of Income	<b>Revenue</b> Line Item: 4030	\$ 2,824,056		\$ 2,824,056
	<b>Expenses</b> Line Item: 4200	\$ 2,459,315		\$ 1,840,513
	<b>Net Income</b> Line Item: 4230	\$ 364,741		\$ 983,543
	<b>Comprehensive Income</b> Line Item: 4228			

## OTHER FEATURES

### ERROR CHECKS

Prior to submission, users must adhere to hard validations associated with certain line items. At any point during the filing process, a user can click on “Error Check” in the bottom left of the filing screen to see any errors that have not been addressed and navigate directly to those line items by clicking on the hyperlinked “line item” number in the Error Check box.

Users will also be presented with this box upon submission if they have not satisfied the errors in the error check box.

Errors will be marked with a red triangular error icon throughout the form.

**FINRA** Filing Period: 07/01/2016 - 07/31/2016 Filing Status: Amendment

Search:

For the period (MMDDYY) from 07/01/16

Line Item: 3932

Number of months included in this statement:  3

**REVENUE**

1. Commissions:

a. Commissions on transactions in exchange listed equity securities executed on an exchange

b. Commissions on listed option transactions

c. All other securities commissions

d. Total securities commissions

2. Gains or losses on firm securities trading accounts

a. From market making in options on a national securities exchange:

b. From all other trading:  \$ 284,301

c. Total gain (loss):  \$ 284,301

3. Gains or losses on firm securities investment accounts:

4. Profits (losses) from underwriting and selling groups:

of investment company shares

**Error Check** | **Form View** | **Save** | **Saved** ✓

**PREVIOUS** | **NEXT**

**Error Check: 7 Items** Last Updated today at: 9:54:11 AM

CHANGES IN OWNERSHIP EQUITY AND LIABILITIES

▲ Line Item: 4290  
The sum of line items 4240, 4250 and 4260 minus line item 4270 should equal line item 4290

▲ Line Item: 4240

▲ Line Item: 4250

▲ Line Item: 4260

▲ Line Item: 4270

EXEMPTIVE PROVISIONS AND PROPOSED WITHDRAWALS

## PDF FORM VIEW AND PRINT

Users will maintain the ability to print their eFOCUS filings after selecting "Form View". In this view, users will be presented with a PDF version of their filing(s) that represent the original version of SEC and FOCUS forms. This PDF will appear in a second browser tab or window consistent with a user's PC standard PDF view behavior.

**FINRA** Filing Period: 07/01/2016 - 07/31/2016 Filing Status: Amendment

Search:

**REVENUE**

1. Commissions:

a. Commissions on transactions in exchange listed equity securities executed on an exchange:  \$ 2,031,419

b. Commissions on listed option transactions:  \$ 95,871

c. All other securities commissions:  \$ 345

d. Total securities commissions:  \$ 2,127,635

2. Gains or losses on firm securities trading accounts

a. From market making in options on a national securities exchange:

b. From all other trading:  \$ 284,301

c. Total gain (loss):  \$ 284,301

3. Gains or losses on firm securities investment accounts:

4. Profits (losses) from underwriting and selling groups:

5. Revenue from sale of investment company shares:

6. Commodities revenue:  \$ 13,505

7. Fees for account supervision, investment advisory and administrative services:

8. Other revenue:

**Error Check** | **Form View** | **Save** | **Saved** ✓

**PREVIOUS** | **NEXT**

**Error Check: 7 Items**

## FILING ACTIONS

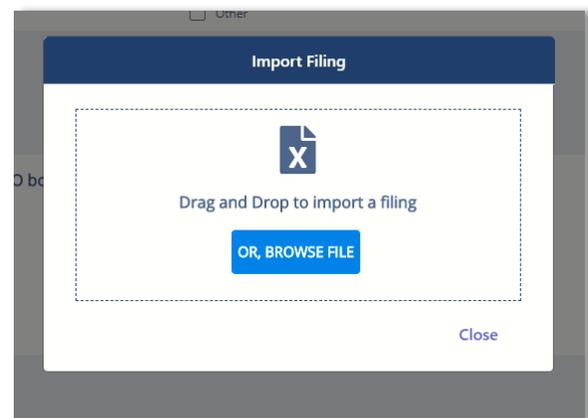
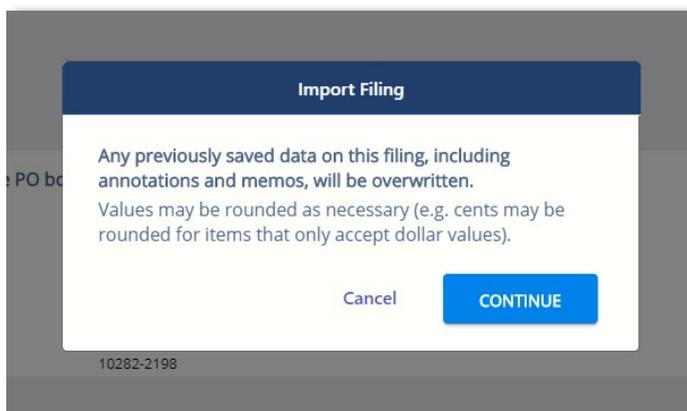
You can find additional actions to take for your current filing in the top right-hand corner of your filing screen. These available actions will vary based on filing status and type.

## IMPORT YOUR FILING

The Import Filing button allows you to import an external file into a FOCUS Filing. At this time, only XLS/XLSX (“Excel”) templates can be used to import your filings.

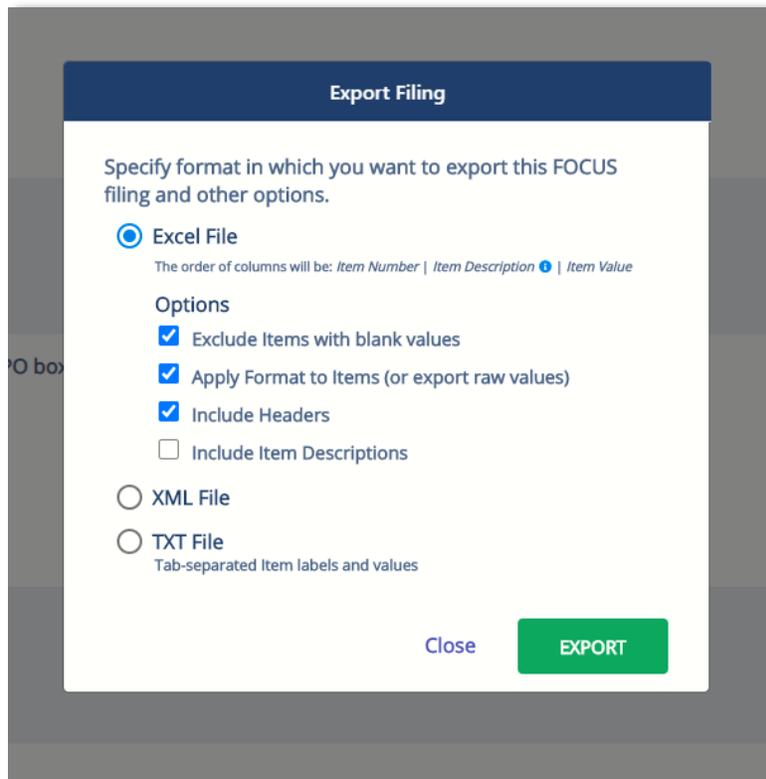
FINRA eFOCUS reviews the imported file to determine if there are any errors. An example of an error is if a numeric value is expected in a line item and the imported file contains alphabetic characters in that line item. If no errors are detected, you can complete the import process. If errors are detected, 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. Any field ID input associated with an auto-calculated field in the system will be overridden and re-calculated once imported.

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 previously entered information will be overwritten - you cannot retain previously entered information



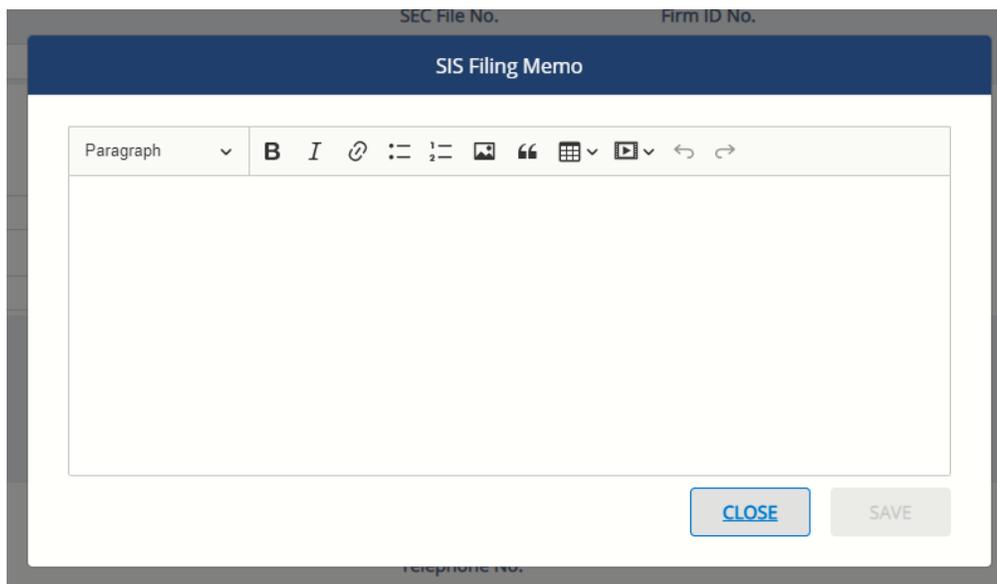
## EXPORT YOUR FILING

You can export your filing's values in Excel, XML, and TXT formats. This feature is found in the top right of your eFOCUS filing:



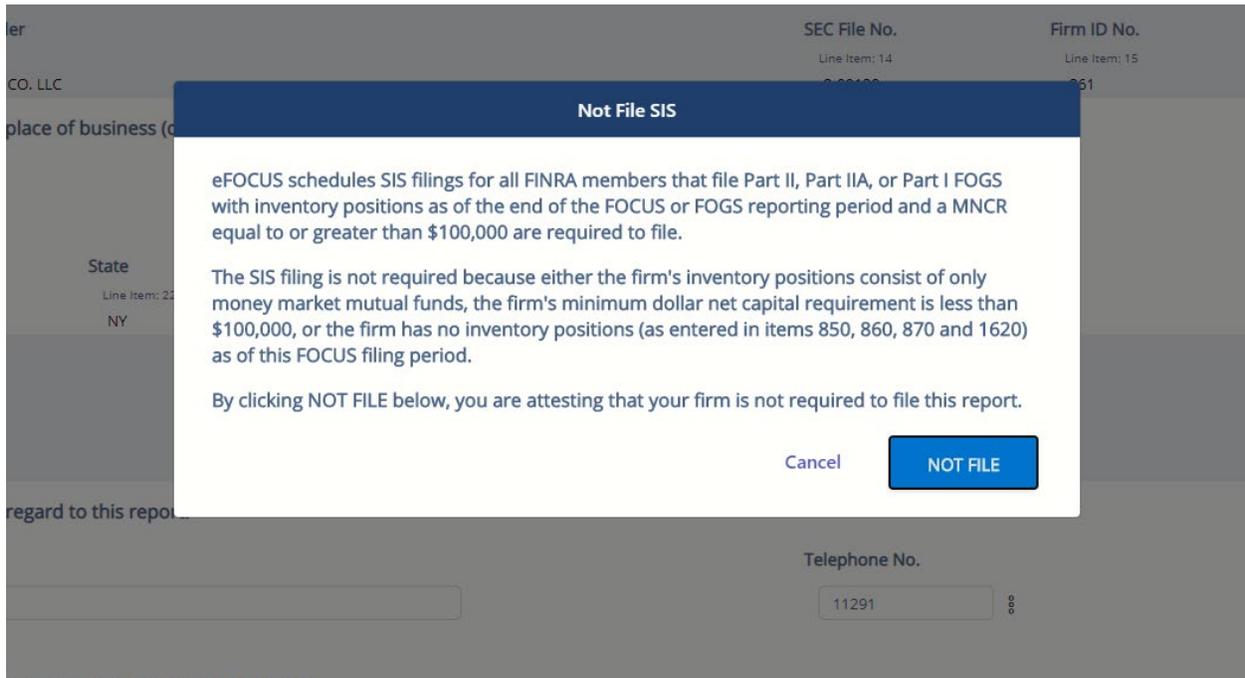
## ADDING A FILING MEMO

If you would like to provide FINRA's Risk Monitoring team with additional information about your filing, you can add a memo to your entire filing prior to submission that will be visible to FINRA.



## NOT FILE

If applicable, you can elect to “Not File” your SIS and OBS filings.



## VIEW FILING STATUS

You can view the filing status of your filing as well as previous statuses of your chosen filing by clicking “Filing Status” in the Filing Actions section.



## LINE ITEM TOOLS

You can enter memos and itemizations at the field level and view a field’s history. If available, some fields also offer additional contextual help regarding a field’s purpose under the “Help” tab of the line item tools pop-up.

Line Item Tools are available after clicking on the ellipsis icon next to the line item box. For both memos and itemizations, you will have the ability to “Save” your work and continue working without closing the window, “Save and Close” the modal, and “Cancel” adding memos and itemizations.

## MEMOS

Line item memos will be visible to FINRA.

The screenshot shows a modal window titled "Line Item: ###". It has two tabs: "Memo" (selected) and "Itemization". The "Memo" tab contains a rich text editor with a toolbar including options for Paragraph, Bold (B), Italic (I), Link, Bulleted List, Numbered List, Image, Quote, Table, Video, Undo, and Redo. Below the editor is a large text area. At the bottom right, there are three buttons: "Cancel", "SAVE", and "SAVE AND CLOSE".

## ITEMIZATIONS

You can break down the total of a line item value via “Itemizations”. Itemizations are also printable and exportable.

The screenshot shows a modal window titled "Line Item: ###". It has two tabs: "Memo" and "Itemization" (selected). The "Itemization" tab displays a table with the following structure:

#	Description	Value
1	Item Description	—
2	Item Description	—
3	Item Description	—
4	Item Description	—
5	Item Description	—
Total		—

Below the table, there are "Print" and "Export" icons. At the bottom right, there are three buttons: "Cancel", "SAVE", and "SAVE AND CLOSE".

## HELP

If contextual field-level help is available, you will be able to click on the “Help” tab of Line Item Tools to find additional explanations of a line item in your filing.

Line Item : I4195

[Help](#) Memo Itemizations History

**Regulatory Fees and Expenses (I4195) - Part IIA**

- This line item is added to items [I4120](#), [I4115](#), [I4140](#), [I4075](#), and [I4100](#) to total line item [I4200](#).

Cancel

## HISTORY

You can view a field’s input value history from the previous 6, 12, 24, or all submissions. You can see the field’s overall value from the range you select and export your line item field’s historical values into a spreadsheet.

Line Item : I4195

Help Memo Itemizations [History](#)

Show: All Average:\$ 112,200

Filing Period	Value
2021-03	\$ 705,857
2021-03 (this filing)	\$ 705,857
2020-08	\$ 6,633
2020-04	\$ 6,612
2020-03	\$ 36,717
2020-01	\$ 30,000

[Export](#) Cancel

## SUBMITTING A FILING

You can submit a filing to FINRA from within an open filing in the top right of the eFOCUS header. Before a filing can be submitted to FINRA, verify that the error checks have passed. The filing cannot successfully submit until all errors have been addressed. You will be prompted with an error check window if all errors have not been satisfied.

Once you have submitted the filing to FINRA, it can no longer be edited. You must create an amendment from the FINRA Gateway “Completed” tab if you wish to make changes to filing content.

Line Item	Description	Amount	Indicator
4228	Monthly Income		
4211	Monthly Income		
4240	Ownership Equity - Beginning Balance	\$ 1	Down by 100%
4290	Ownership Equity - Ending Balance		
4300	Liabilities - Beginning Balance	\$ 1	Down by 100%
4330	Liabilities - Ending Balance		
4699	Total Withdrawals	\$ 10	Down by 100%

Line Item: 4240

**Submit Filing**

Submit this filing to FINRA for approval?

Cancel SUBMIT

Liabilities - Ending Balance

Rule 17a-11

**Submission Successful!**

July 02, 2020 Thursday 11:59 AM

Your filing has been successfully submitted to FINRA.

Transmit Filing RETURN TO DASHBOARD

## 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.

Once you have submitted your eFOCUS filing, you will be prompted to transmit your filing from within your post-submission pop-up. You can also find the “Transmit Filing” option in the Filing Actions section in the top right corner of the filing window.

The screenshot shows the FINRA eFOCUS interface. At the top, it displays the FINRA logo, filing period (04/01/2017 - 04/30/2017), filing status (Accepted), and submitted date (10/21/2020). A search bar is on the left. The main content area is titled 'FILING INFORMATION' and contains the following details:

- Filing Information:** This report is being filed pursuant to:
  - Line Item: 14:  Rule 17a-5(a)
  - Line Item: 17:  Rule 17a-5(b)
  - Line Item: 18:  Rule 17a-11
  - Line Item: 19:  Special request by designated examining authority
  - Line Item: 26:  Other
- Firm information:**
  - Name of Broker Dealer: Line Item: 13: GOLDMAN SACHS & CO. LLC
  - SEC File No.: Line Item: 14: 8-00129
  - Firm ID No.: Line Item: 15: 15
  - Address of principal place of business (do not use PO box no.):
    - Number and street: Line Item: 20: 200 WEST STREET
    - City: Line Item: 21: NEW YORK
    - State: Line Item: 22: NY
    - ZIP Code: Line Item: 23: 10282-2198
  - Filing period:

In the top right corner, there is a 'Filing Actions' menu with options: Amend Filing, Export Filing, and Transmit Filing.

The 'Transmit Filing' dialog box prompts the user to 'Select clearing firm(s) you would like to transmit this filing to'. It includes a link for 'Don't see your clearing firm listed? Click here'. A dropdown menu shows 'APEX CLEARING CORPORATION x' selected. Below the dropdown is a search bar and a list of clearing firms with checkboxes:

- APEX CLEARING CORPORATION
- BNP Paribas
- BNY Melon
- Cowen Execution Services LLC
- DST MARKET SERVICES
- First Clearing, LLC

The 'Transmit Filing' dialog box shows the 'TRANSMIT' button highlighted in green. The text 'Cancel' is visible next to it. The background shows the same dialog box as in the previous screenshot, but the focus is on the 'TRANSMIT' button.

## CREATING AN AMENDMENT

Once you have submitted an eFOCUS filing, you can find your recently submitted filing in the “Completed” tab of your Work Management Requests list. Click on the Filing Actions icon to the right of your filing and select “Create an Amendment” to generate an Amendment.

Once created, your amendment will be found in the “Active” tab as a scheduled amendment filing.

The screenshot shows the FINRA Work Management Requests & Filings dashboard. The 'Completed (118)' tab is selected. A table lists filings with columns for Filing ID, As-of date, Filing Month, Category, Submitted Date, Status, and Actions. The 'Actions' column for the second filing (Filing ID 2872303) is highlighted with a red box, showing options: 'Create Amendment', 'Compare Filings', and 'Filing Analysis'.

Filing ID	As-of date	Filing Month	Category	Submitted Date	Status	Actions
2847716	12/31/10	2010-12	Financial / Operational	01/26/11	Rejected - System	
2872303	12/31/10	2010-12	Financial / Operational	02/24/11	Accepted	Create Amendment, Compare Filings, Filing Analysis
2829688	12/31/10	2010-12	Financial / Operational	01/26/11	Rejected - System	
2858673	03/31/11	2011-03	Financial / Operational	04/26/11	Accepted	

**Create Amendment**

Are you sure that you would like to create an amendment for this filing?

[Cancel](#) **CREATE AMENDMENT**

**Amendment Created**

A new amendment filing has been created and added to your worklist.

[Cancel](#) **GO TO AMENDMENT**

## COMPARE FILING AND FILING ANALYSIS

You can access the “Compare Filing” and “Filing Analysis” functionality for a specific filing from the FINRA Gateway Requests Dashboard. Clicking on these links within the Filing Actions icon will direct you to the eFOCUS legacy system to access your chosen analysis tool.

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.

The screenshot displays the 'Work Management Requests' interface. On the left is a 'Filters' sidebar with sections for Type, Category, Overdue, and Status. The main area shows a table of 'Active (88)' filings. A search bar is at the top. A blue box highlights the 'Compare Filings' button in the 'Actions' column of the first row.

	Filing ID	As-of date	Filing Month	Category	Due Date	Status	Actions
• <a href="#">Custody_FOFS</a> Financial / Operational ...	3749347	12/31/15	2015-12	Financial / Operational	01/27/16	Scheduled	Compare Filings Financial Analysis Status Actions
• <a href="#">Custody</a> Financial / Operational ...	3384521	03/31/16	2016-03	Financial / Operational	04/25/16	Scheduled	Status Actions
• <a href="#">SSOI</a> Financial / Operational ...	3381235	03/31/16	2016-03	Financial / Operational	04/28/16	Scheduled	Status Actions
• <a href="#">Custody</a> Financial / Operational ...	3402447	06/30/16	2016-06	Financial / Operational	07/26/16	Scheduled	Status Actions
• <a href="#">SIS</a> Financial / Operational ...	3751352	06/30/16	2016-06	Financial / Operational		Scheduled	Status Actions

## RESOURCES AND CONTACT INFORMATION

Gateway Call Center: 1 (800) 321-6273

HelpDesk team: [customersupport@finra.org](mailto:customersupport@finra.org)