FINRA Gateway Reports User Guide

Version 0.9
06-11-21

Revision History

DATE	AUTHOR	VERSION	DESCRIPTION
10-04-19	Zolboo Dashzeveg	0.1	Initial draft
01-10-20	Zolboo Dashzeveg	0.2	Updated FINRA Gateway Reports style to reflect the new FINRA Gateway that's coming as part of FINRA's Digital Experience Transformation initiative. The count columns will appear in the report grid when any or all columns under a top-level column is selected to be displayed in the grid. For example, if you've selected Regulator Code column under Registrations in Individual Roster template, you will need to click on the Registrations count to see the associated regulators with the individual's registrations.
06-23-20	Sarah Rose	0.3	Updates to include feature changes to export, columns, and filtering. Added tips can tricks on transition from CRD Reports to FINRA Gateway Reports.
10-08-20	Sarah Rose	0.4	Updated documentation to include filter short cuts and tips and tricks.
11-05-20	Sarah Rose	0.5	Changed name from Dynamic Report to be FINRA Gateway Reports
02-19-21	Sarah Rose	0.6	Updated to include information on Share and Save As features.
05-06-21	Sarah Rose	0.7	Updated to describe new landing page, filter details, and changes to export feature.
05-07-21	Sarah Rose	0.8	Updated entitlements information
06-11-21	Sarah Rose	0.9	Updated Group and Export sections to cover new features and functionality in those areas.

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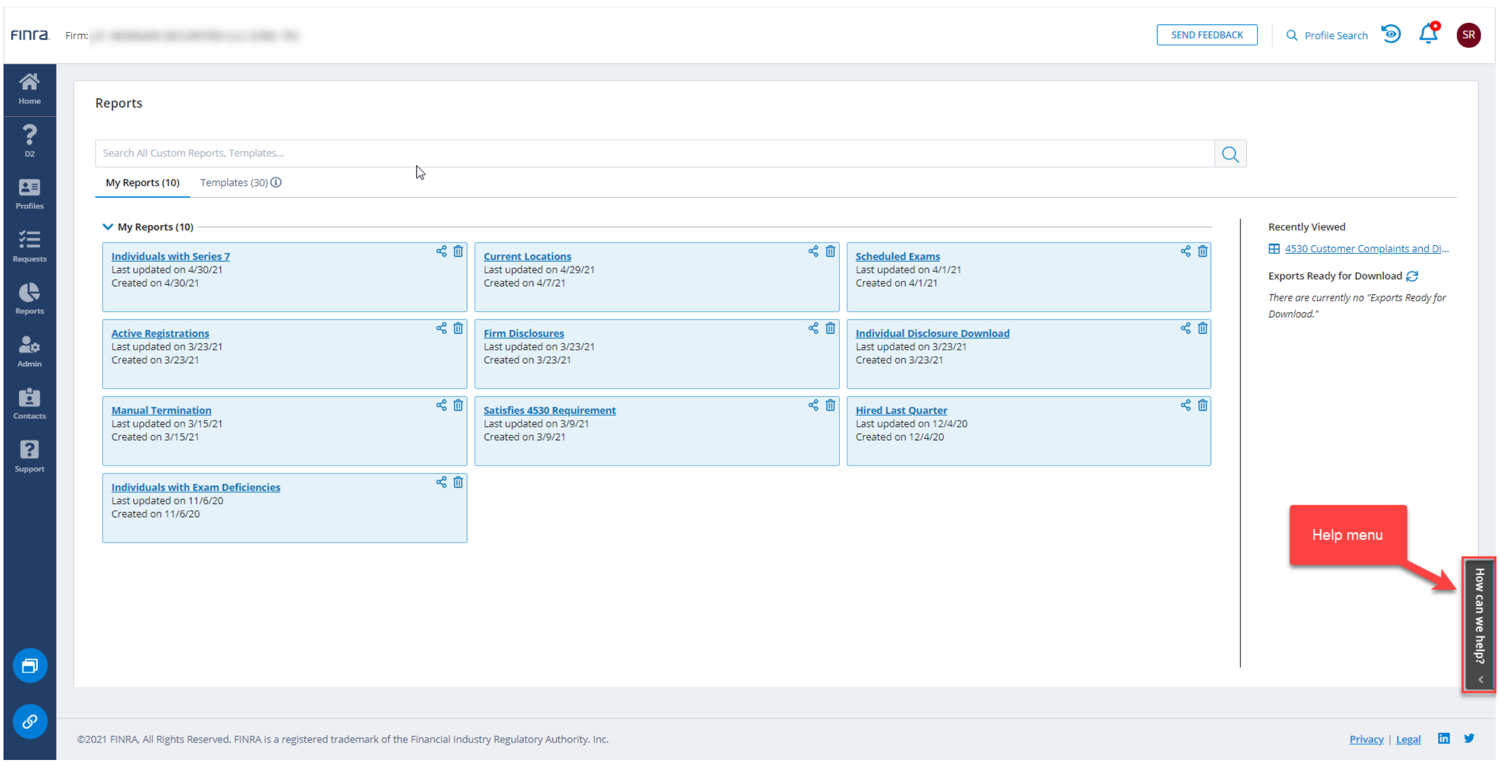
Introduction

FINRA Gateway Reports, first released in October 2019, was created to make it easier for firm registration and compliance staff to answer common questions and make informed decisions using the most current data available. Now accessible through FINRA Gateway, FINRA Gateway Reports continues to grow the data sets available for on demand, ad hoc reporting. This User Guide provides an overview of this new capability with a step-by-step instructions.

More Help Resources

For more information on FINRA Gateway Reports, visit the [FINRA Gateway Reports page on FINRA.org]() where we have posted this user guide and data definitions documentation.

If you access FINRA Gateway Reports through FINRA Gateway, you can access help documentation and tutorials through the “How Can We Help?” menu.



Feedback and Support

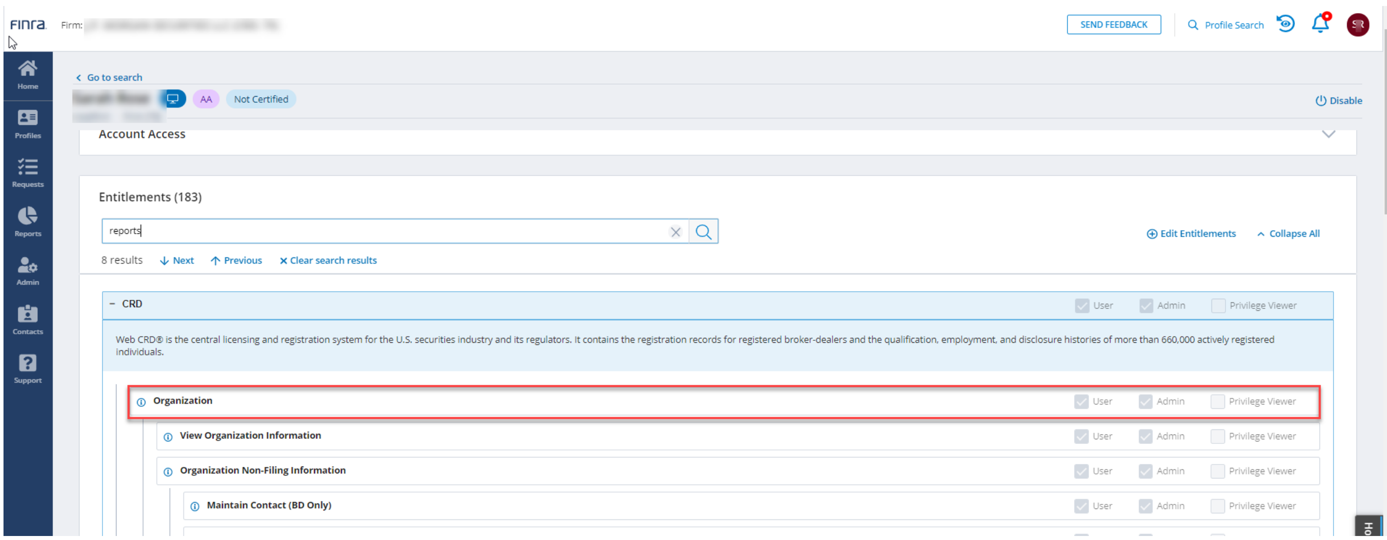
If you have a feature suggestion, technical issue, data issue, or other request, you can create a support ticket in FINRA Gateway and our team will review and get back to you. If you do not have access to FINRA Gateway, you can use our feedback form here: https://finra.aha.io/idea_portals/4ed89c5d3528ae736c7cfadd1e5f959d/ideas/new.

Accessing FINRA Gateway Reports

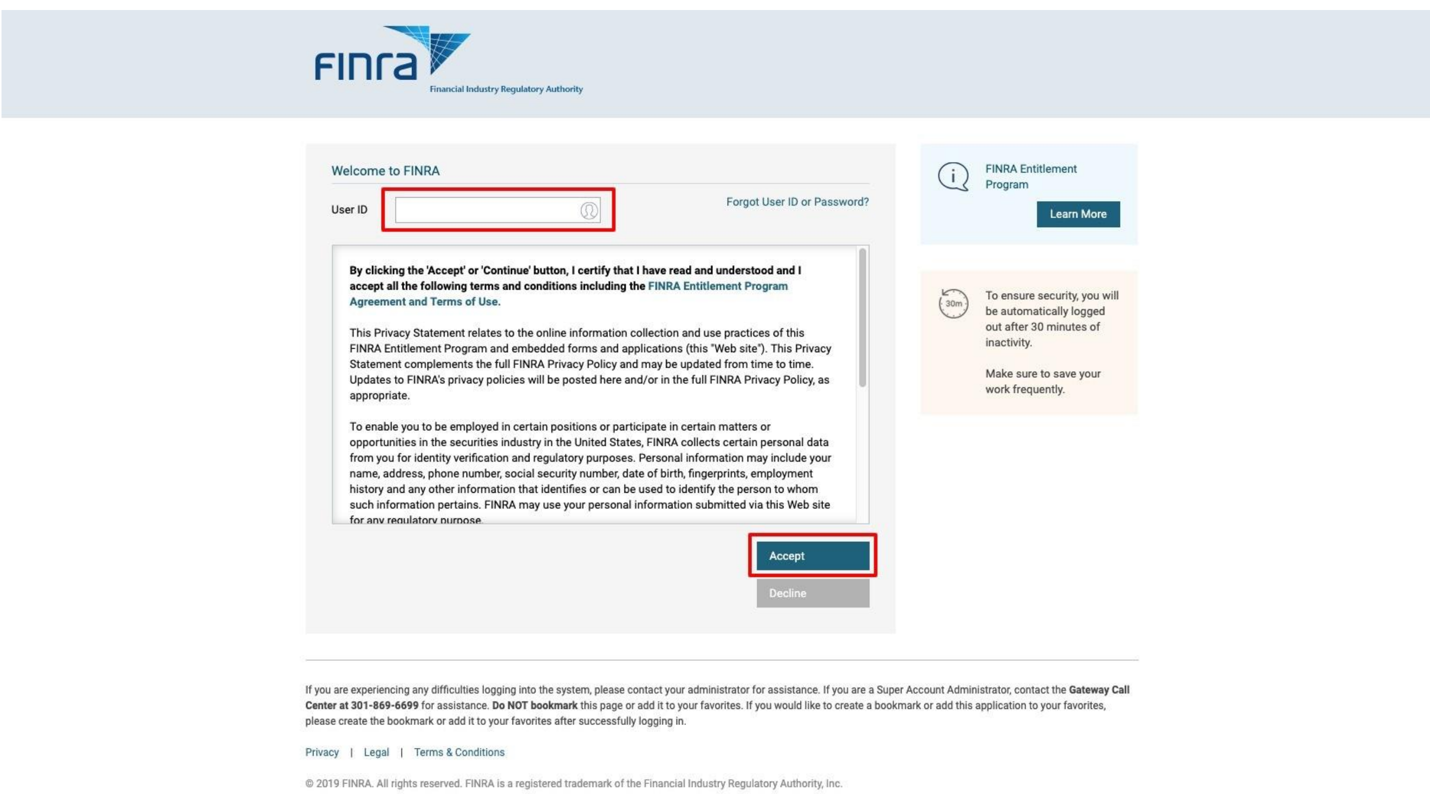
Entitlements

FINRA Gateway Reports available through the Reports tab in FINRA Gateway. Currently, only broker-dealer firm users with entitlement to at least one of the following entitlements can access FINRA Gateway Reports.

- Reports
- Form U4
- Organization
- IA Organization



Access the FINRA Gateway at https://gateway.finra.org and insert your credentials and click Accept.



Browser Support
Please use one of the following web browsers: Chrome, Safari, Firefox or Edge. FINRA Gateway Reports does not support Internet Explorer. ***Note:*** Internet Explorer support will be phased out for FINRA applications.

Reports Tab
After logging into FIRNA Gateway, click on the Reports tab.

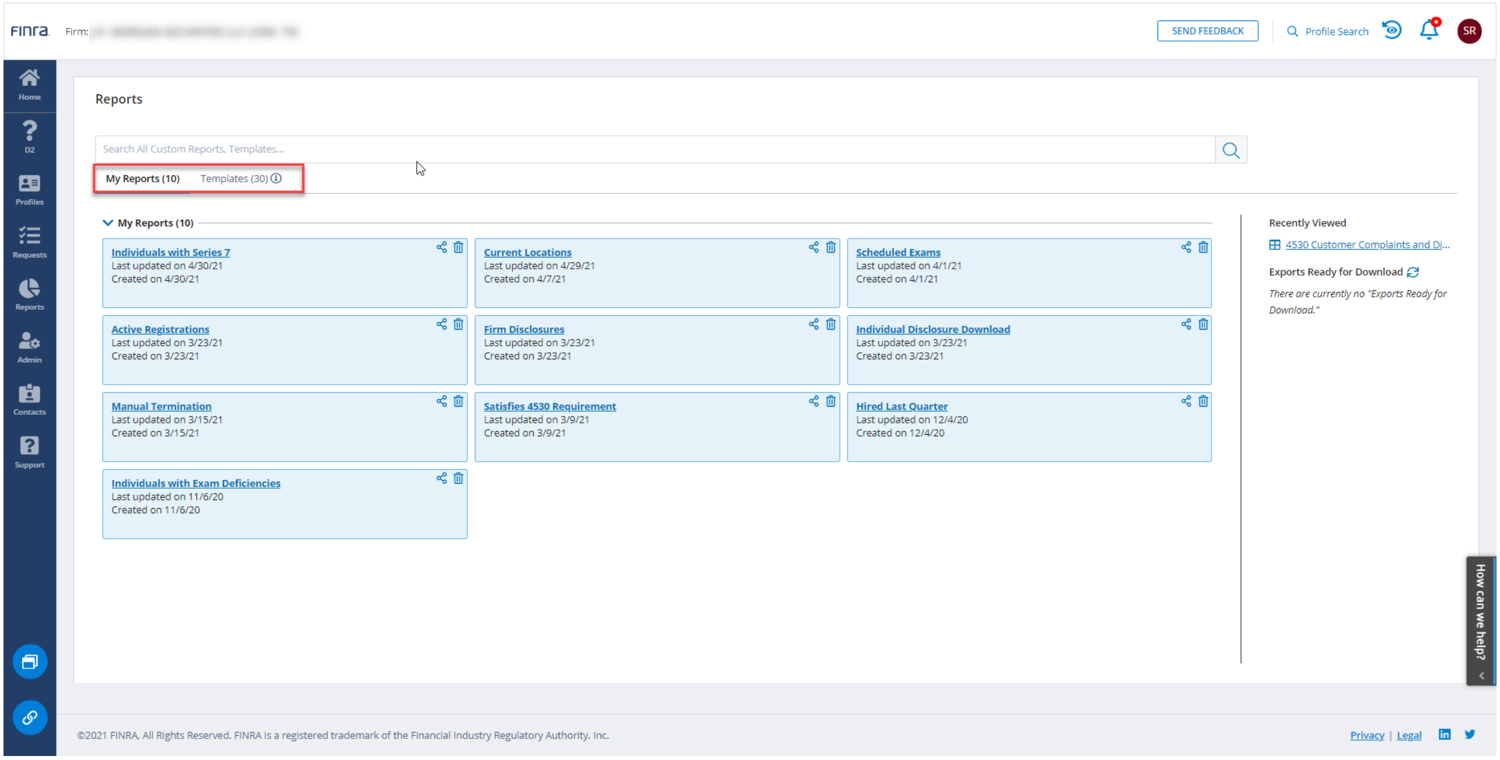
If you are unable to see Reports information, contact an account administrator at your firm to request one of the required entitlements as specified in the section above.

Pick a Template

Picking the right template is the first step to using FINRA Gateway Reports. We have provided descriptions for each template to help guide your decision making.

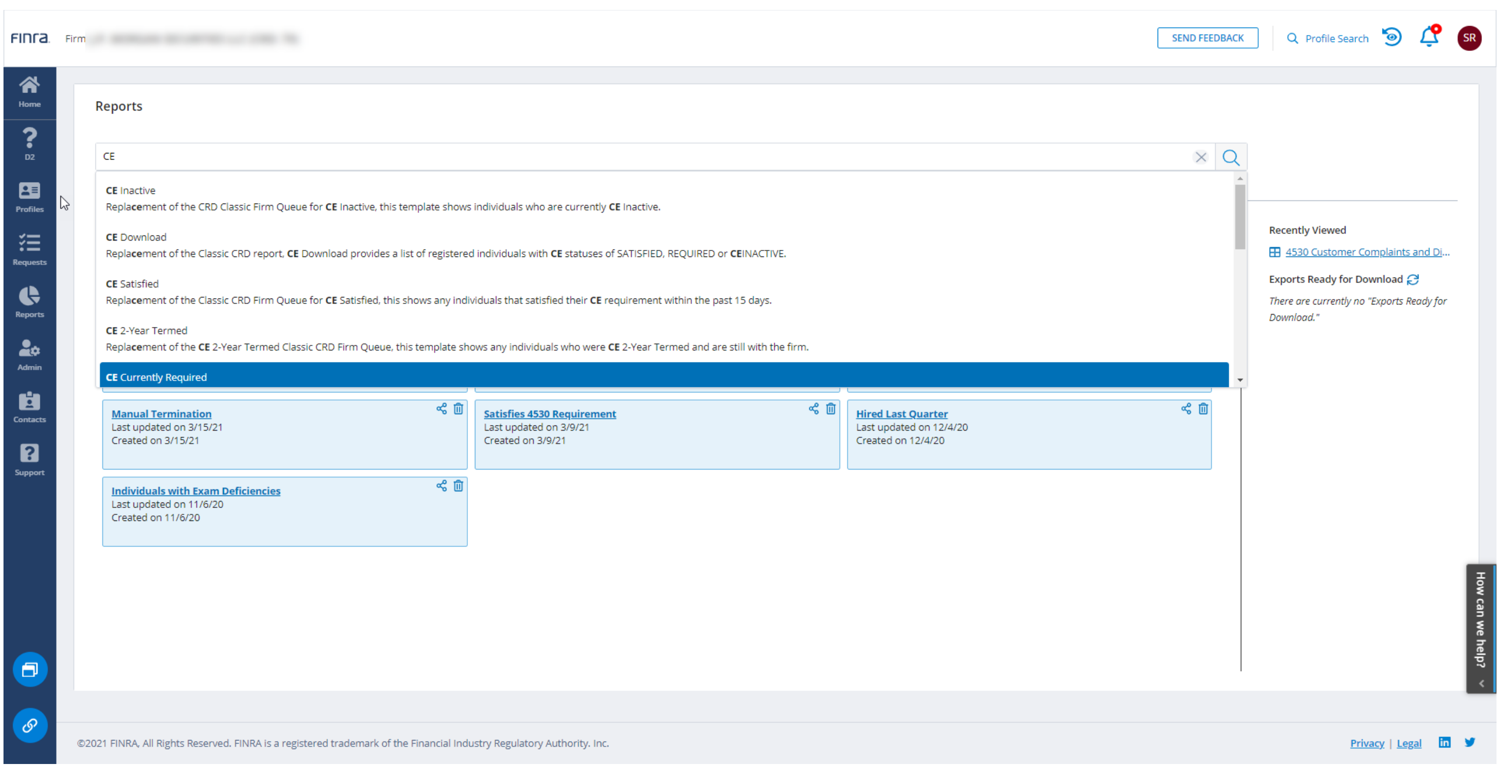
If you have previously set up custom templates, the default view of the Reports tab will be My Reports. If you have not yet set up a custom template, you will see the available default templates.

You can toggle between custom templates and default templates using the tabs.



Search All Templates

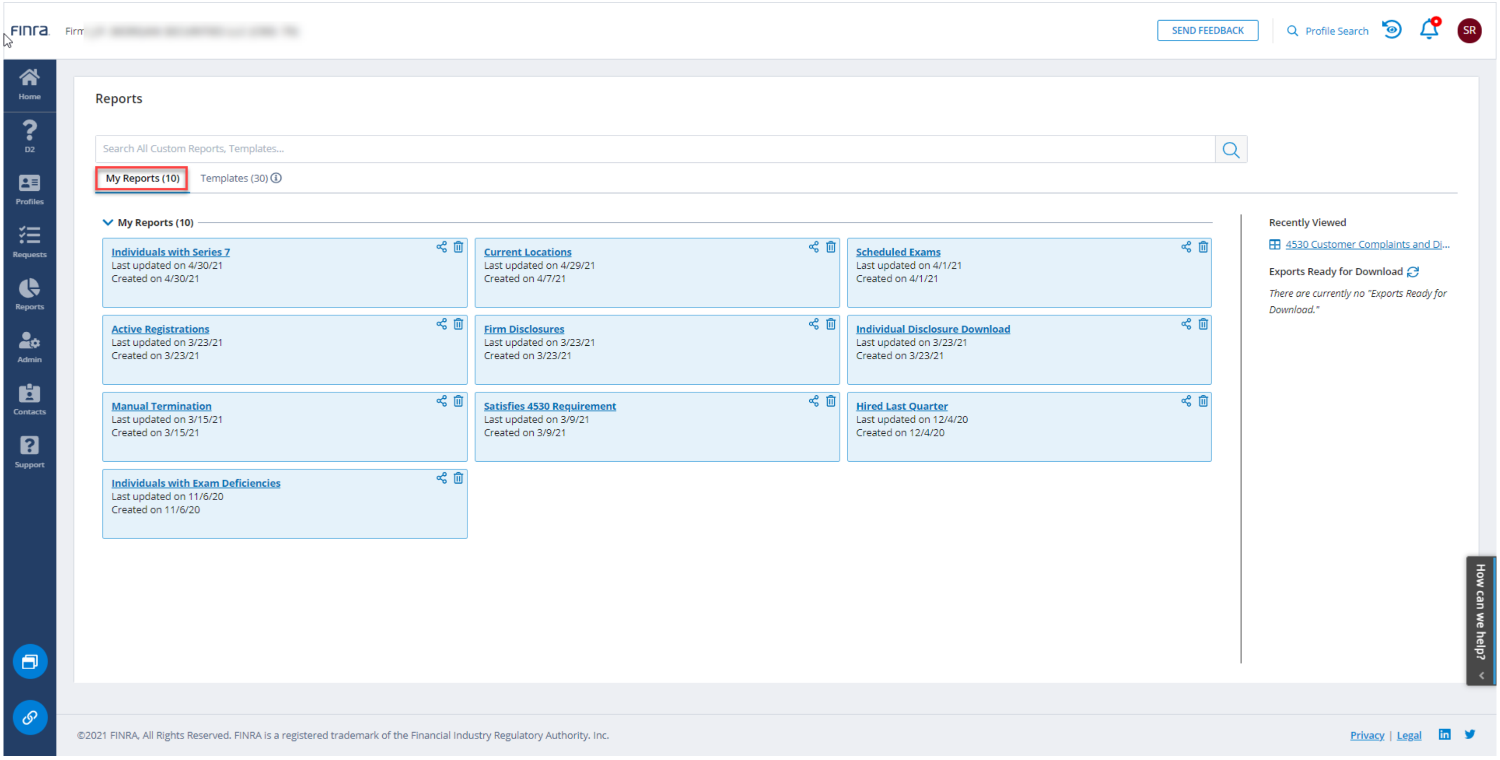
You can use the search to retrieve templates by keyword.



My Reports

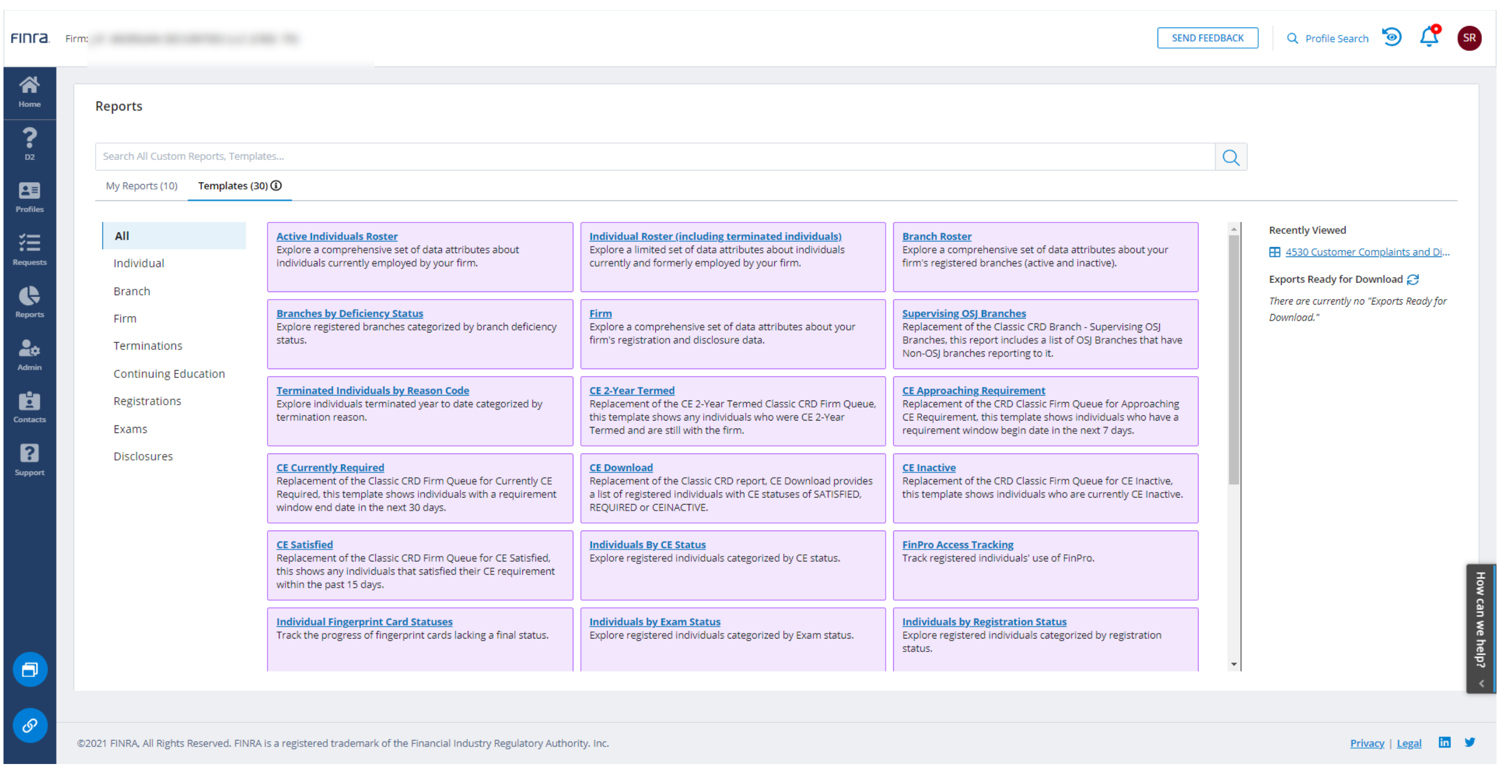
The My Reports section contains custom template you have created by manipulating and saving a default template. If you have not set up a custom template yet, this section will be empty.

Note custom report templates have a blue background.



Browse Templates by Category

Standard templates are created by FINRA to faciliate common reporting scenarios. Standard templates have a purple background. You can browse standard templates by topic using the category navigation in the left margin.



For example, clicking on Continuing Education filters the list of templates to the topic of CE.

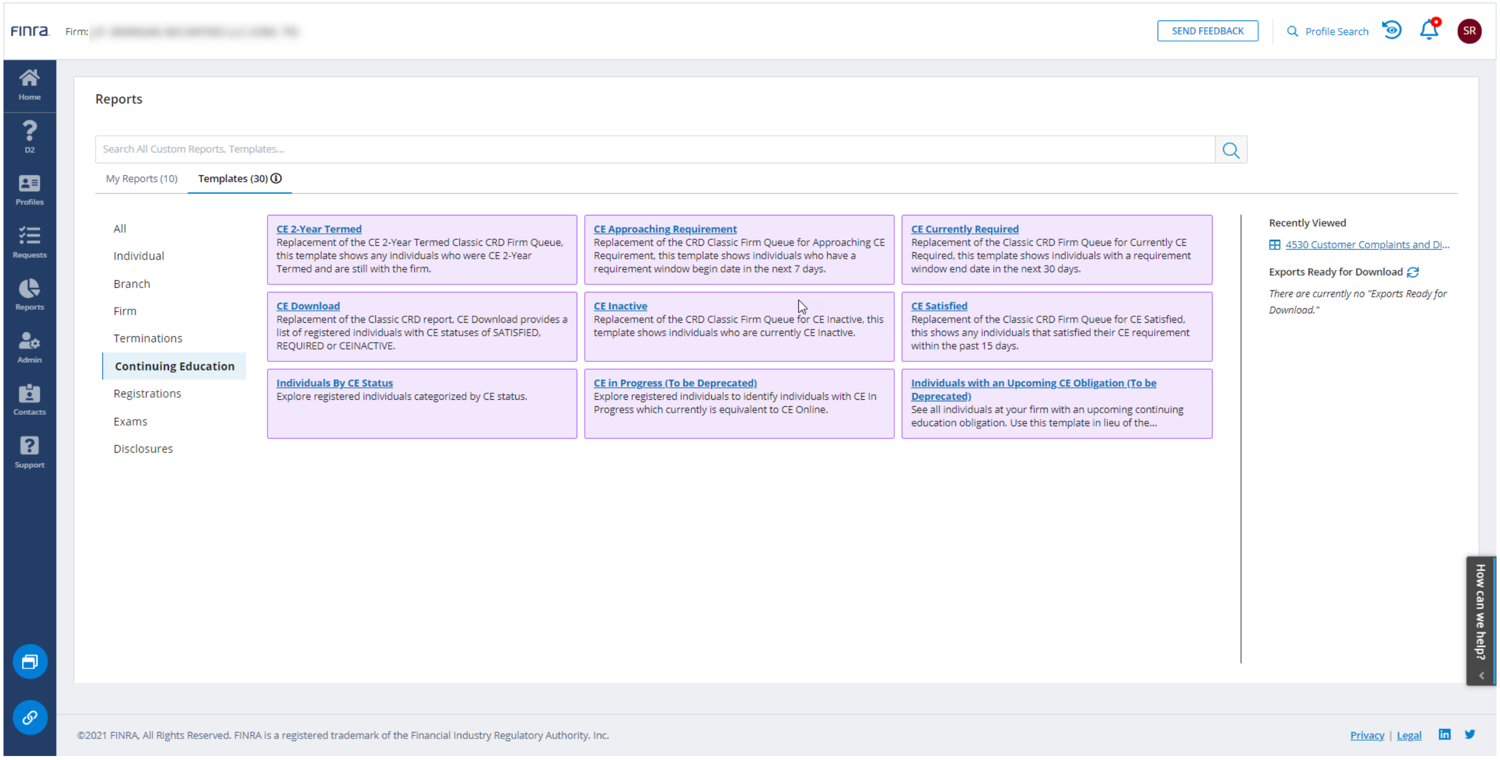
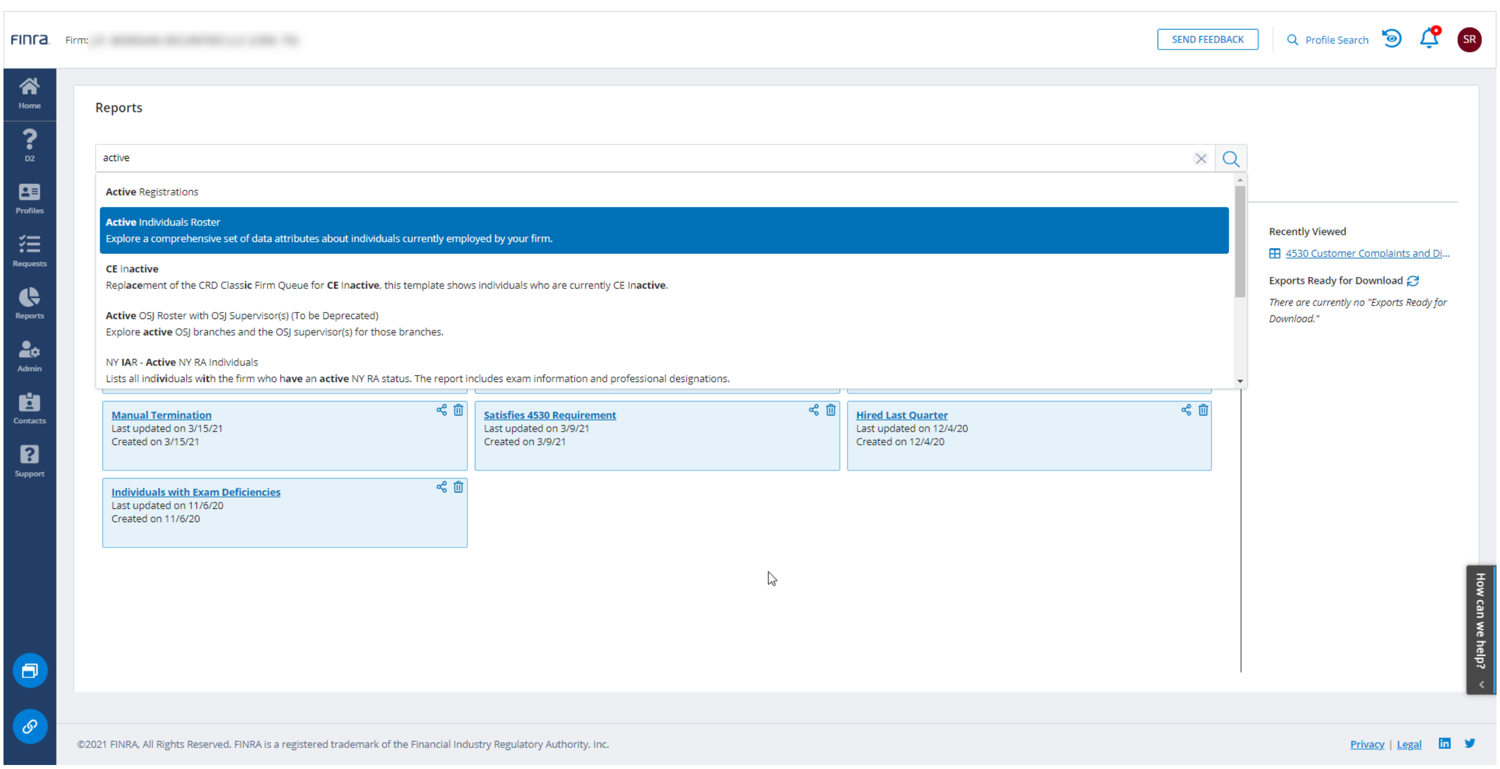
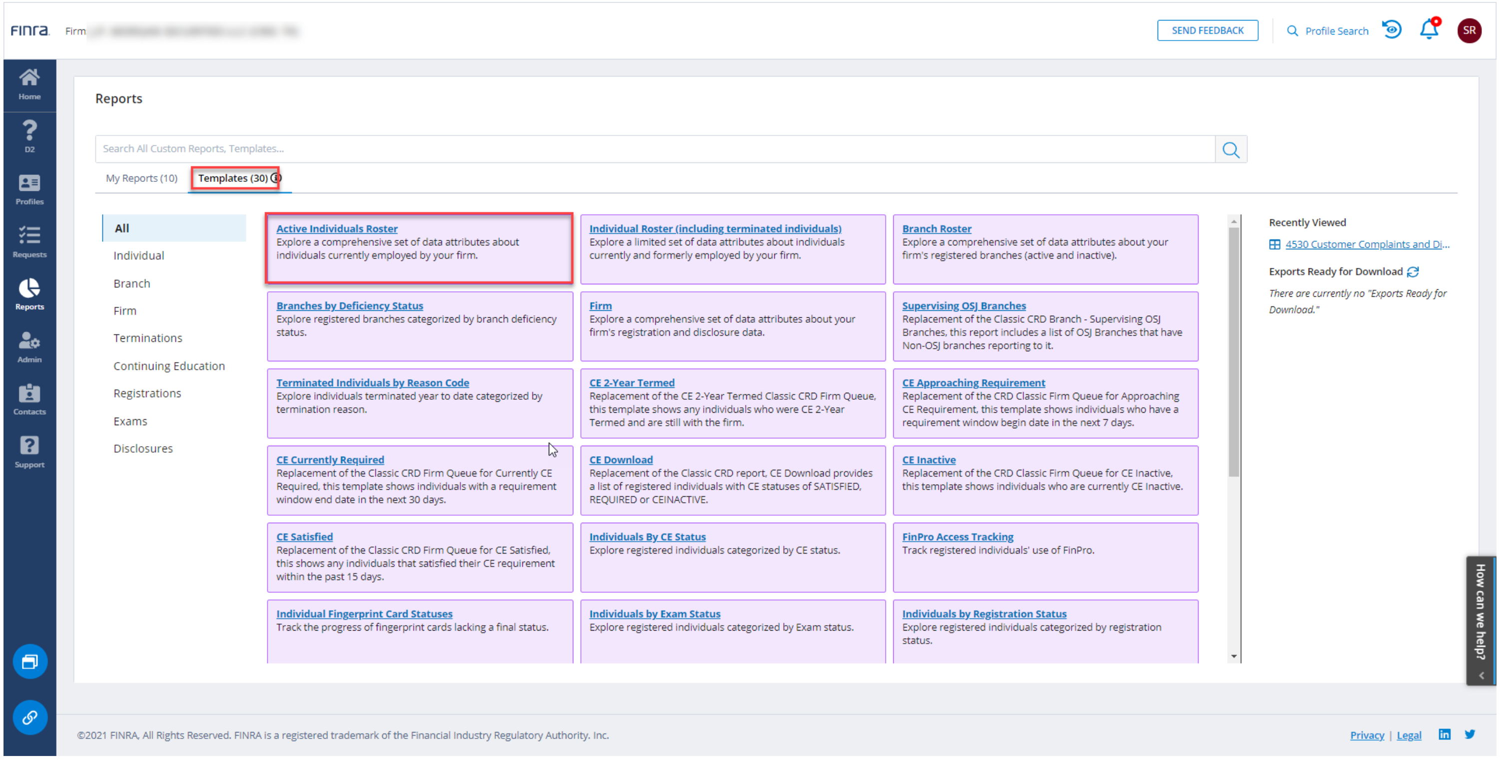


Table Features

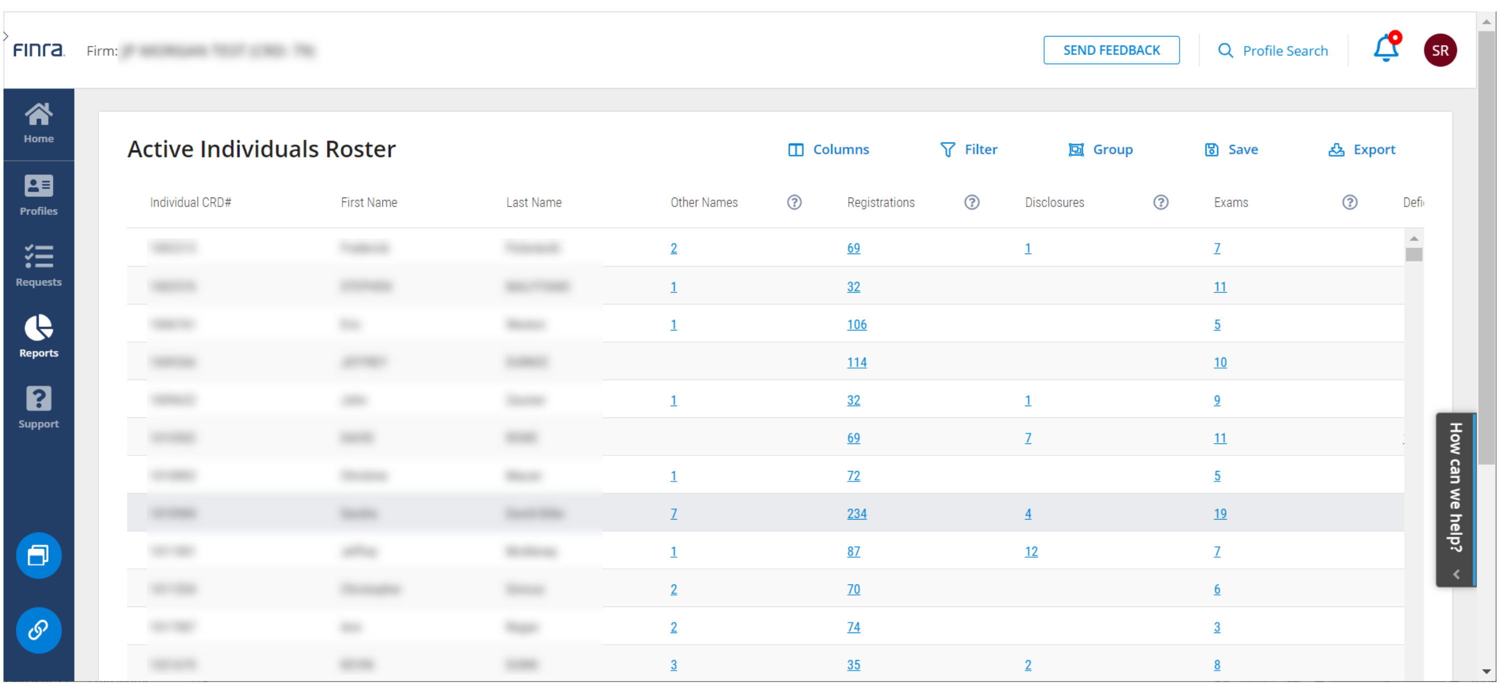
To get started exploring the table features available in FINRA Gateway Reports, open the **Active Individuals Roster**. You can open the **Active Individual Roster** by 1) searching for the template by name and selecting from the list that appears



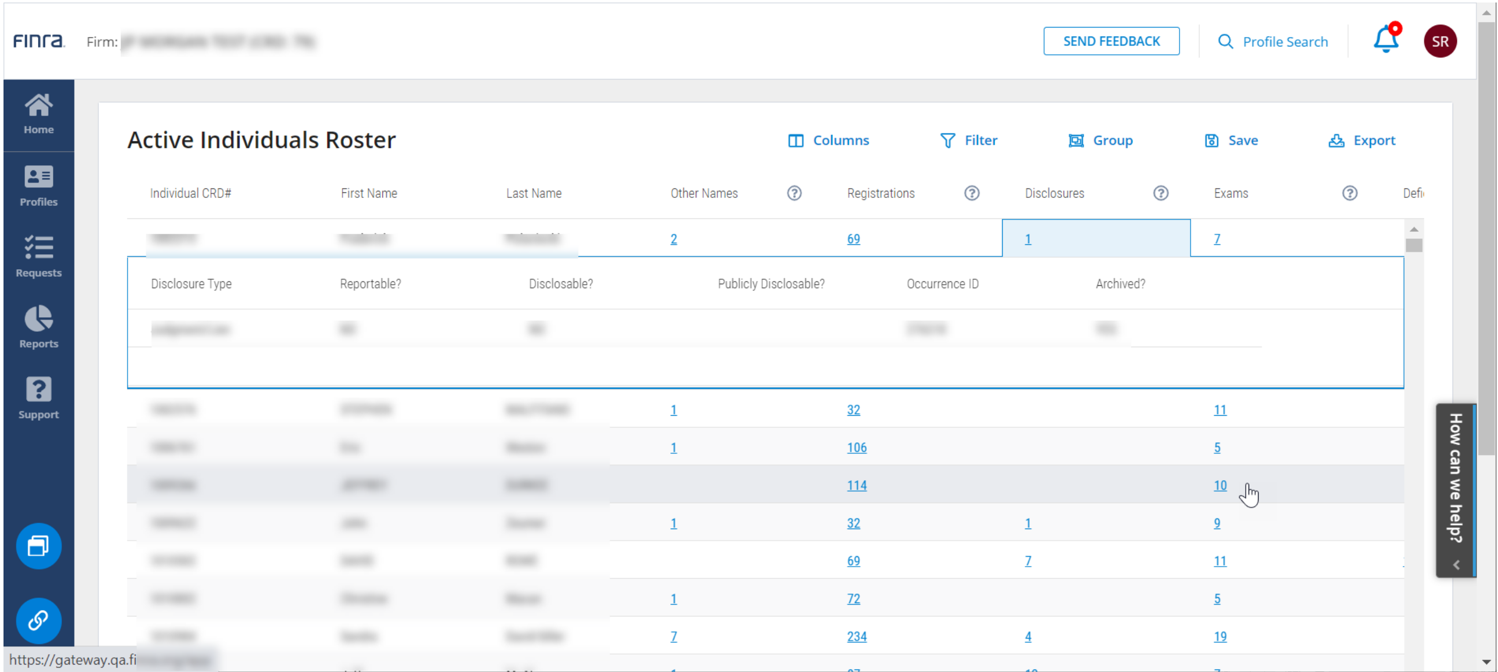
or 2) going to the templates tab and clicking on the **Active Individuals Roster**.



Note that within the table certain data points appear in blue font. Click on any one of those numbers to expand the table to view details about that data point within a sub-table.

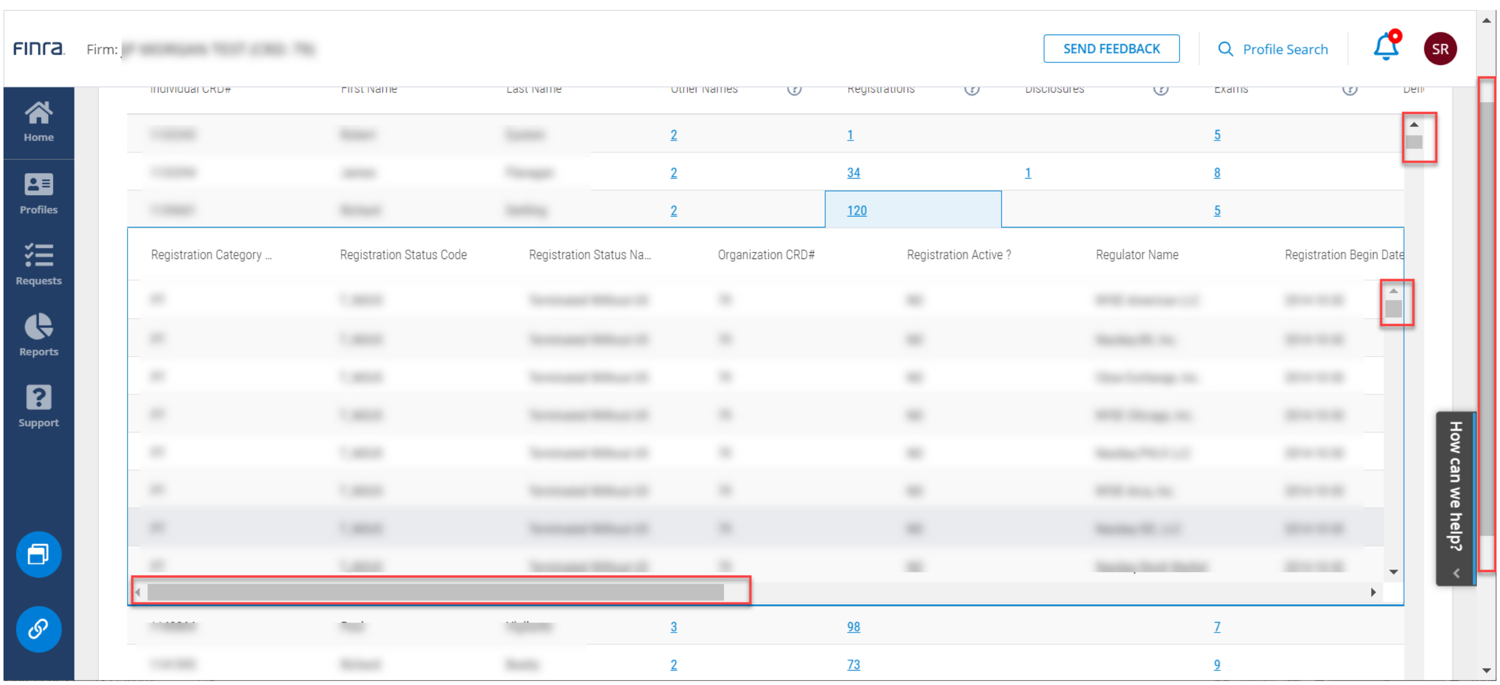


To collapse the expanded table, click on the number again.

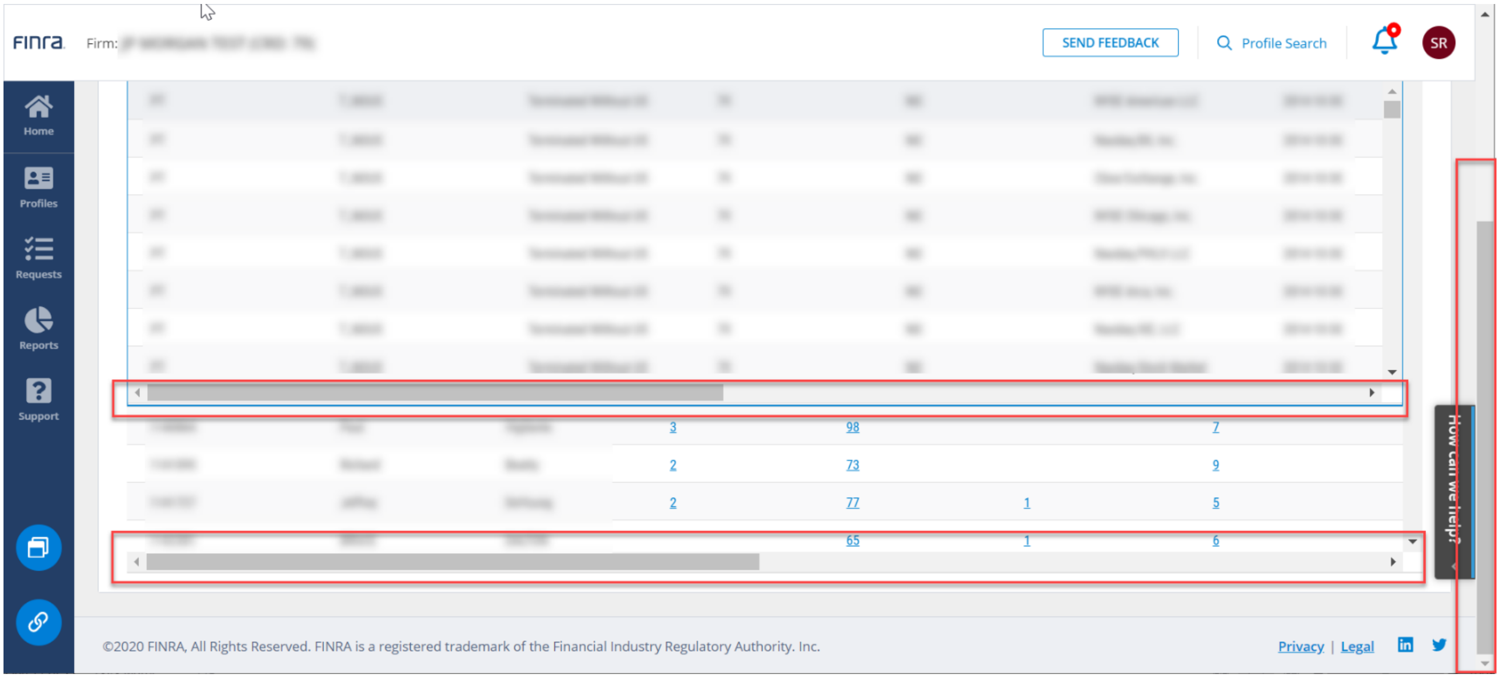


Scrolling within the Table

The table has scroll bars at the right and bottom of the table to allow you to scroll vertically or horizontally within the table. If you expand a sub-table within the table, the sub-table will also have horizontal and vertical scroll bars.

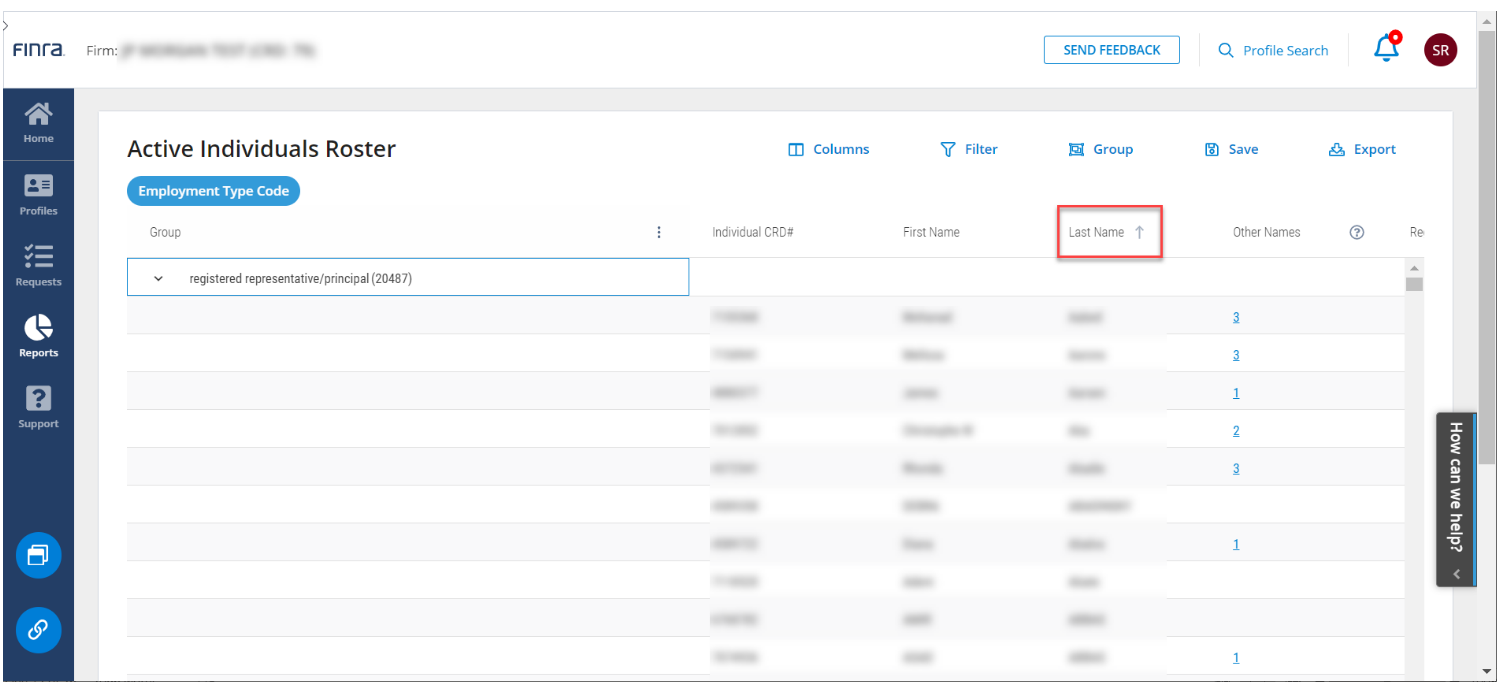


Depending on how much data you have on your screen, you may have to use your browser scroll bar to scroll down before you see the horizontal scroll bar at the bottom of the table used to scroll the table horizontally.

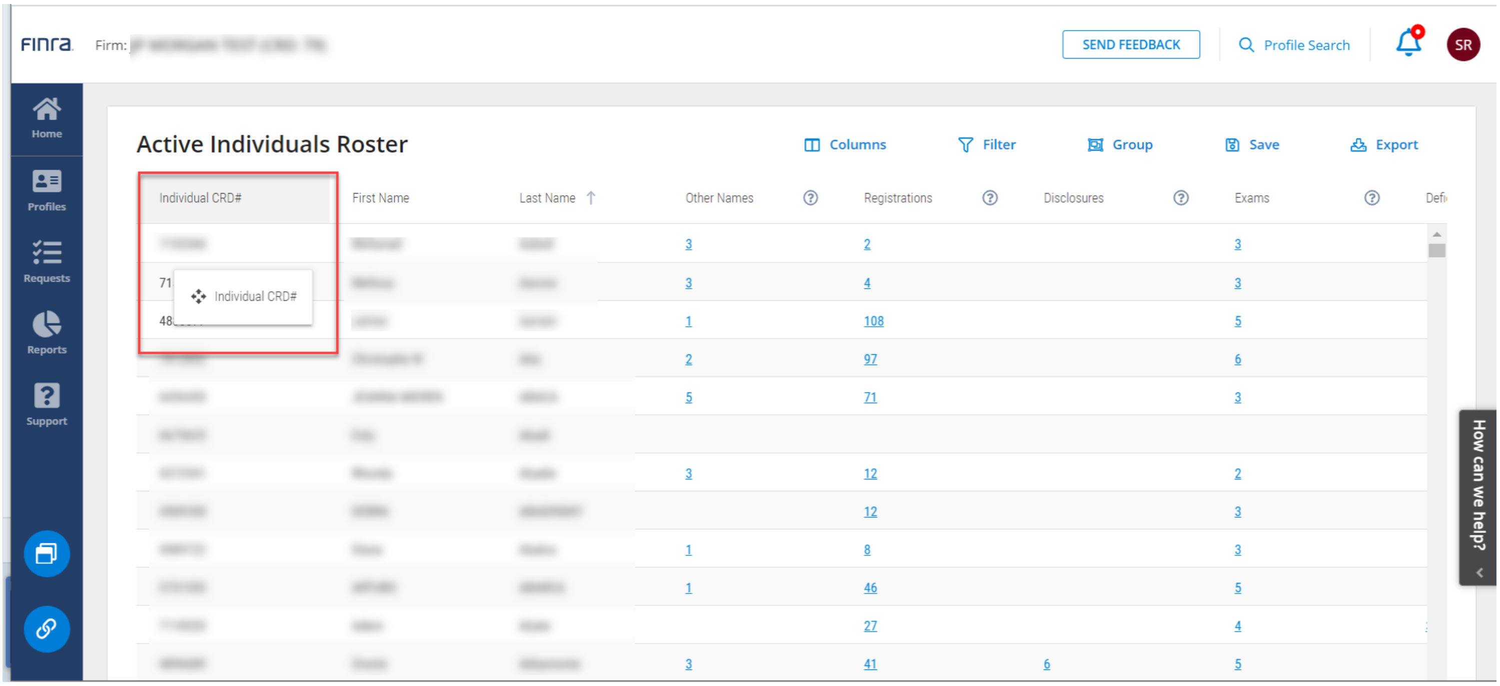


Adjusting the Table Layout

Sort columns by clicking on the column heading. Columns can be sorted by ascending or descending values (numeric or alphabetical). FINRA Gateway Reports currently does not support count sorting e.g. Registrations. When you apply sorting to a column, an arrow will indicate the type of sorting (ascending or descending) that you applied.

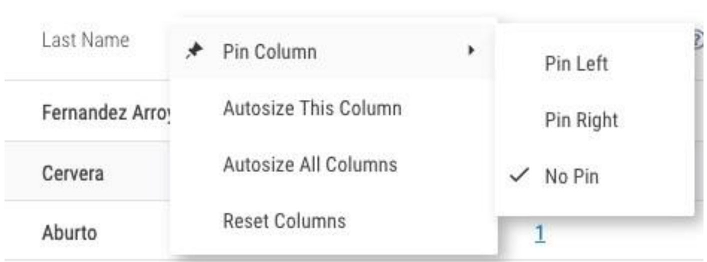


To adjust the order in which columns appear in your table, you can click and hold the column heading and drag it into the position of your choice.



To access additional column formatting options, mouse your cursor over the column heading and the icon below will appear. Click on the icon to access more options.

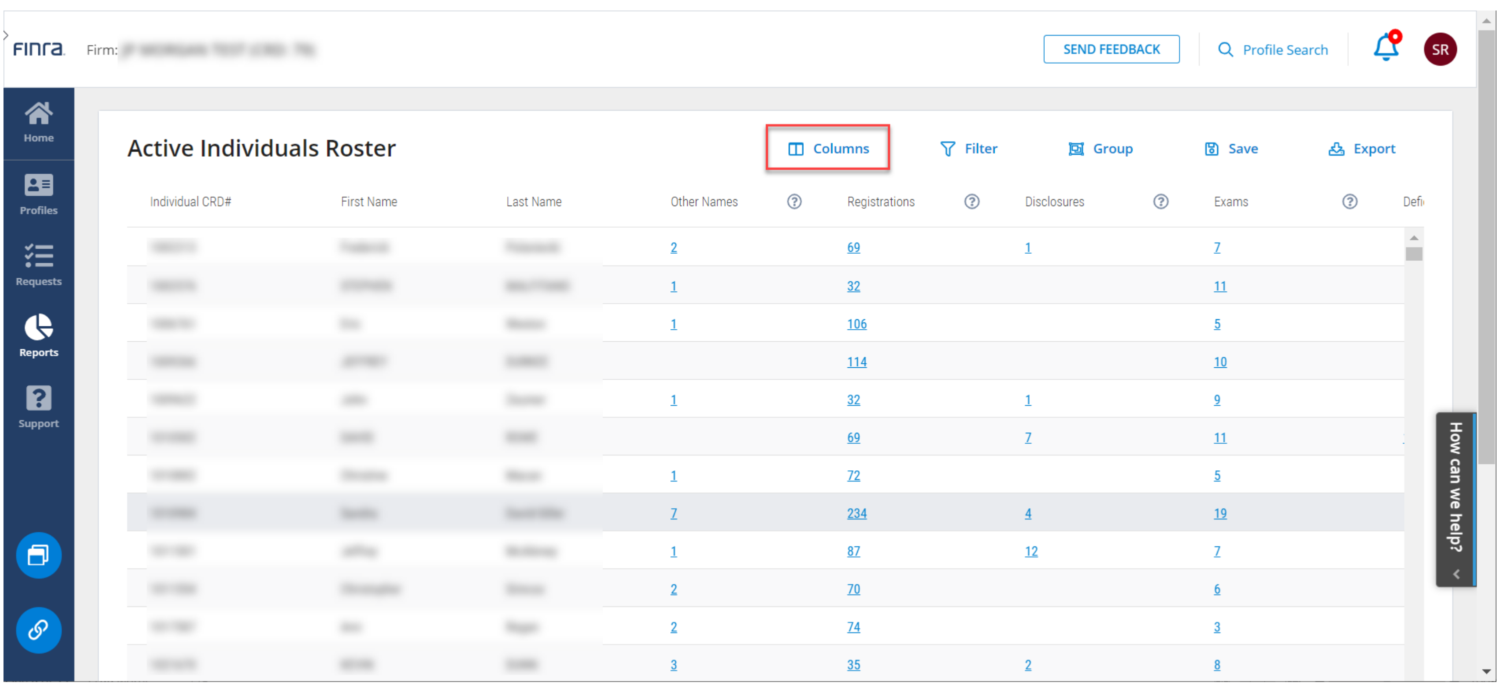
Click on the icon that appears to access the column menu options.



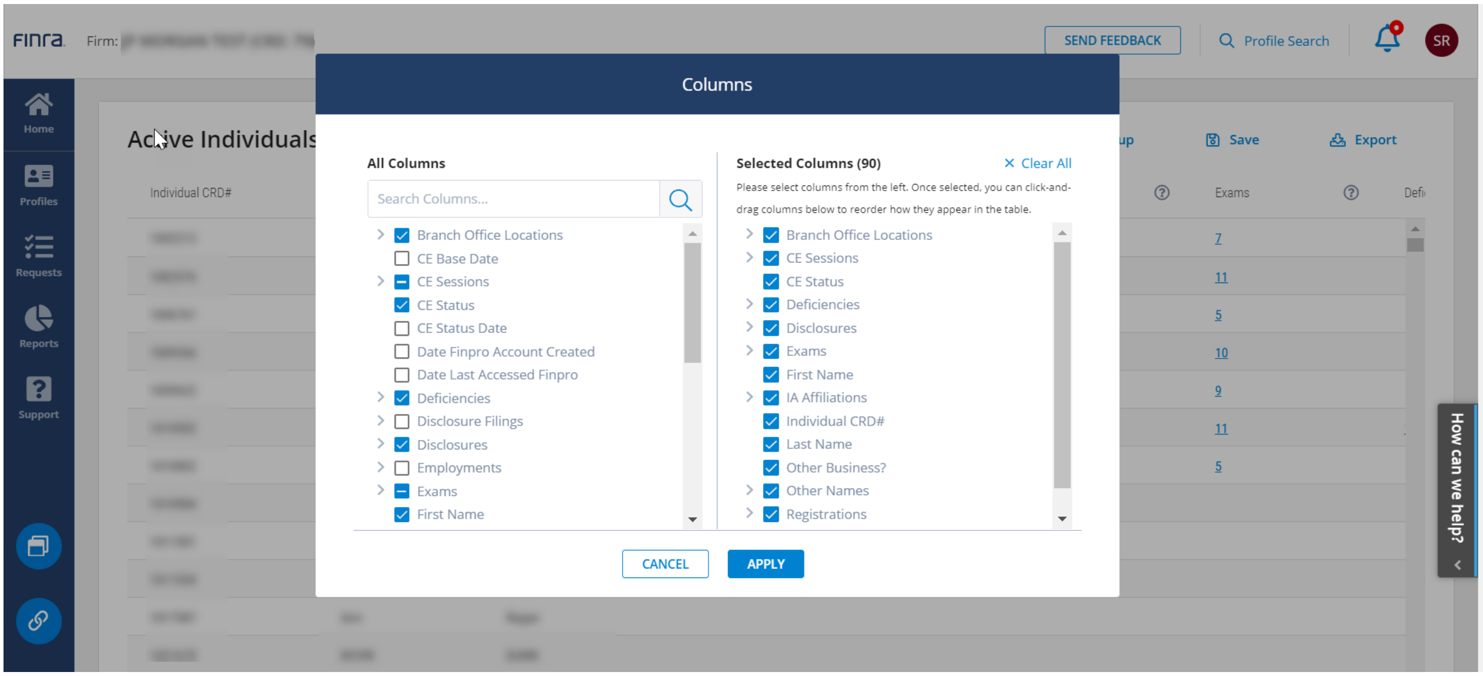
To copy a value from the table, select the value and right click. You will have the option to **Copy** or **Copy with Header**.

Change the Columns

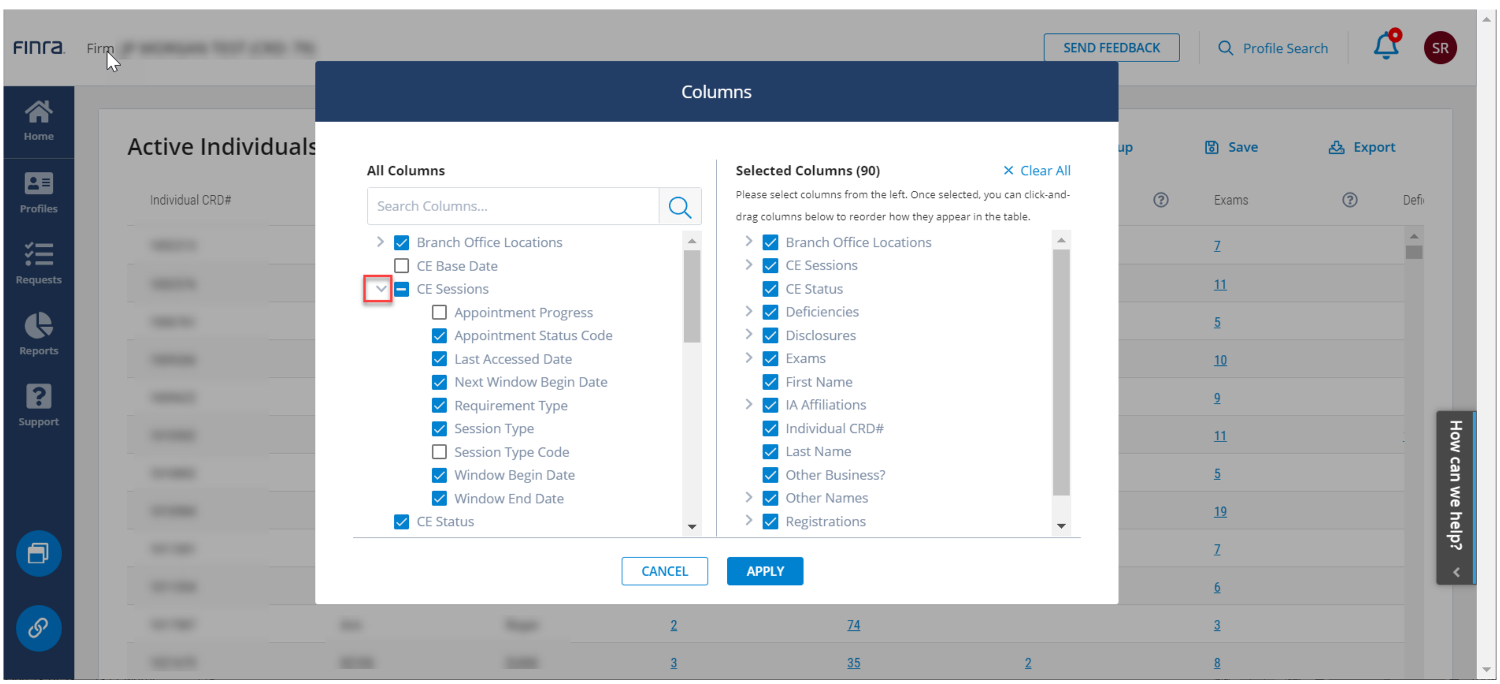
Use the Column tool to add or remove columns from your table. Open the **Columns** tool.



Within the **Column** tool you will see all available columns listed on the left, and all the selected columns listed on the right.

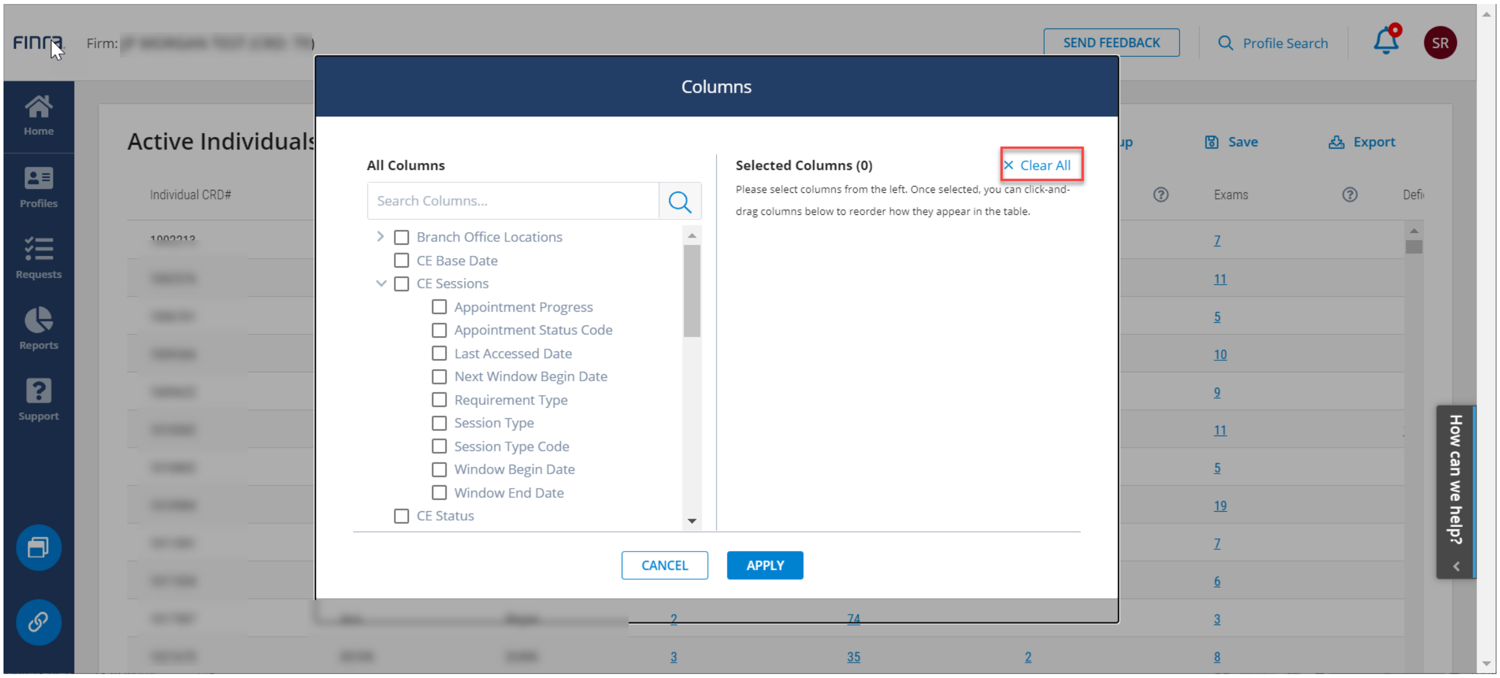


Note there is an indicator for instances where a column has nested columns within it. Click the icon to expand a column value to see the columns that are available for the sub-table for that data point.



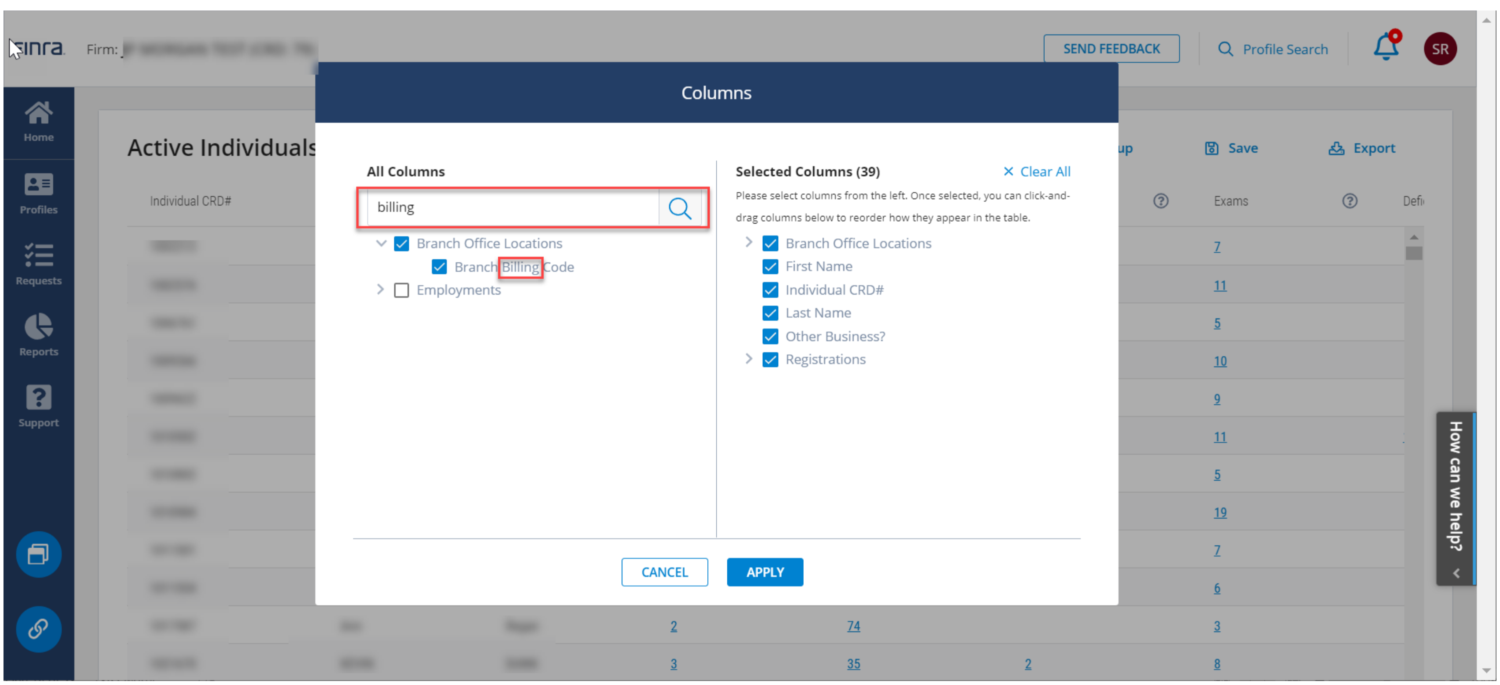
You can remove columns by clicking wherever a column is selected to uncheck that column. You can uncheck columns from the left or right side of the Column tool to remove them from your display.

You can unselect all selected columns by using the **Clear All** option at the top of the **Column** tool.



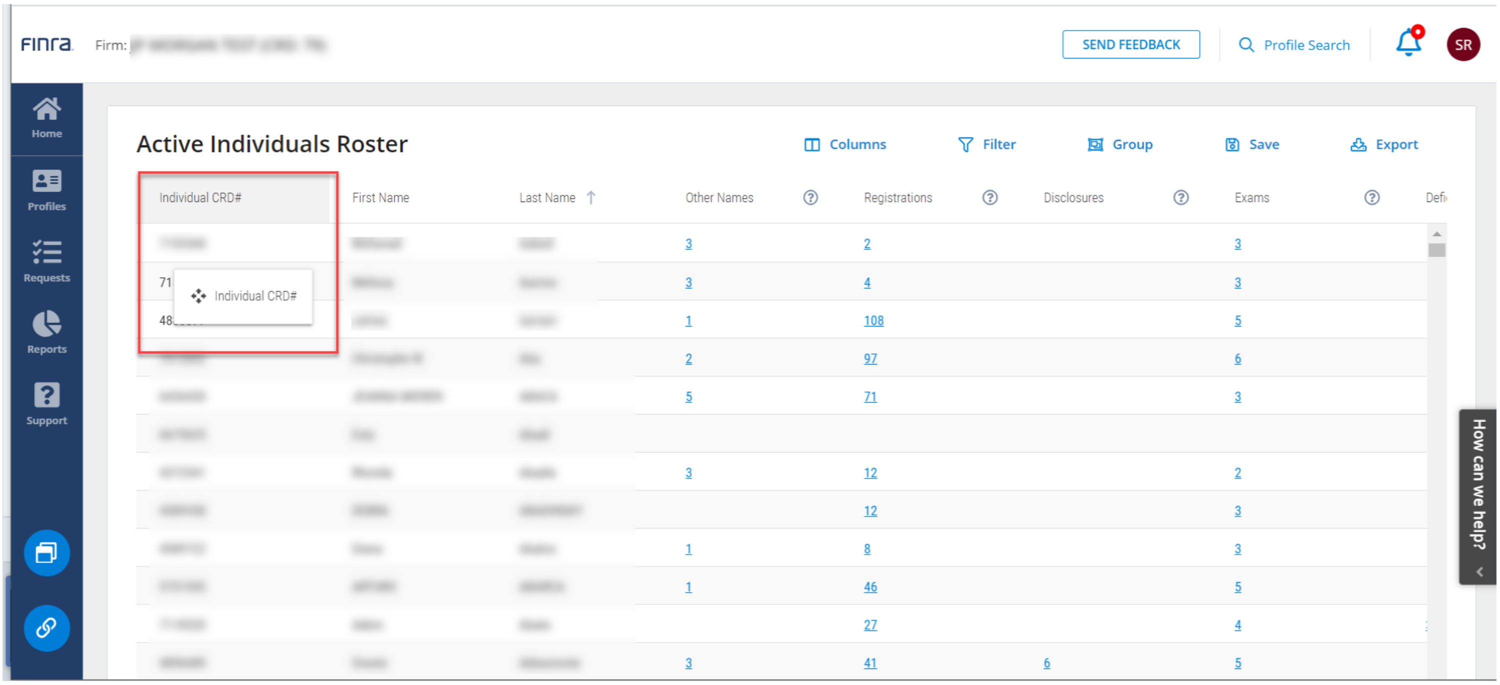
Use search box to search for columns by keyword. Just type a keyword into the search box at the top.

If a column you search for appears nested under a parent column, the parent column will appear in the search result. You can click to expand to verify the nested columns available. You must add the parent column if you want to include a child column.



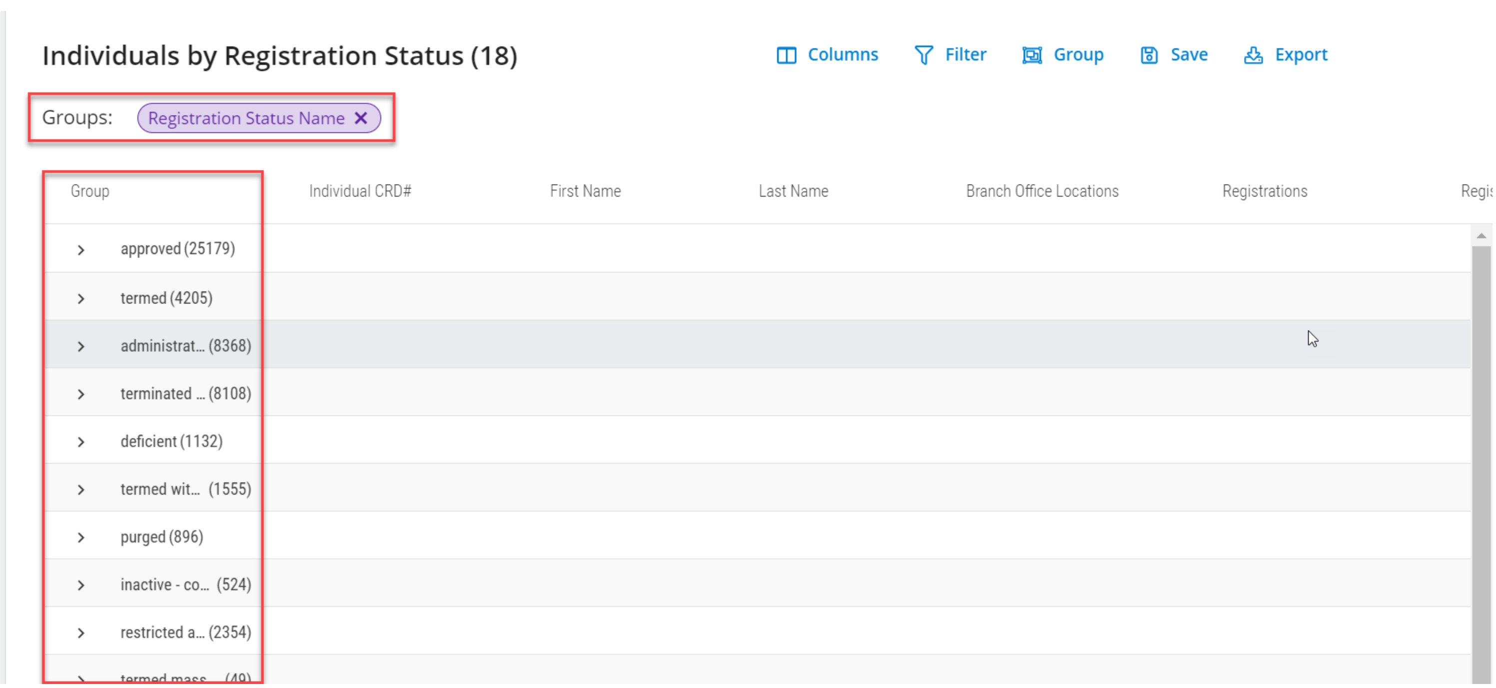
You can use the **Cancel** button to exit the **Column** tool without applying changes. Click the **Apply** button to apply the column changes you made to the table.

Once you apply the changes, you can click and drag the columns in the table to reorder them the way you'd like.

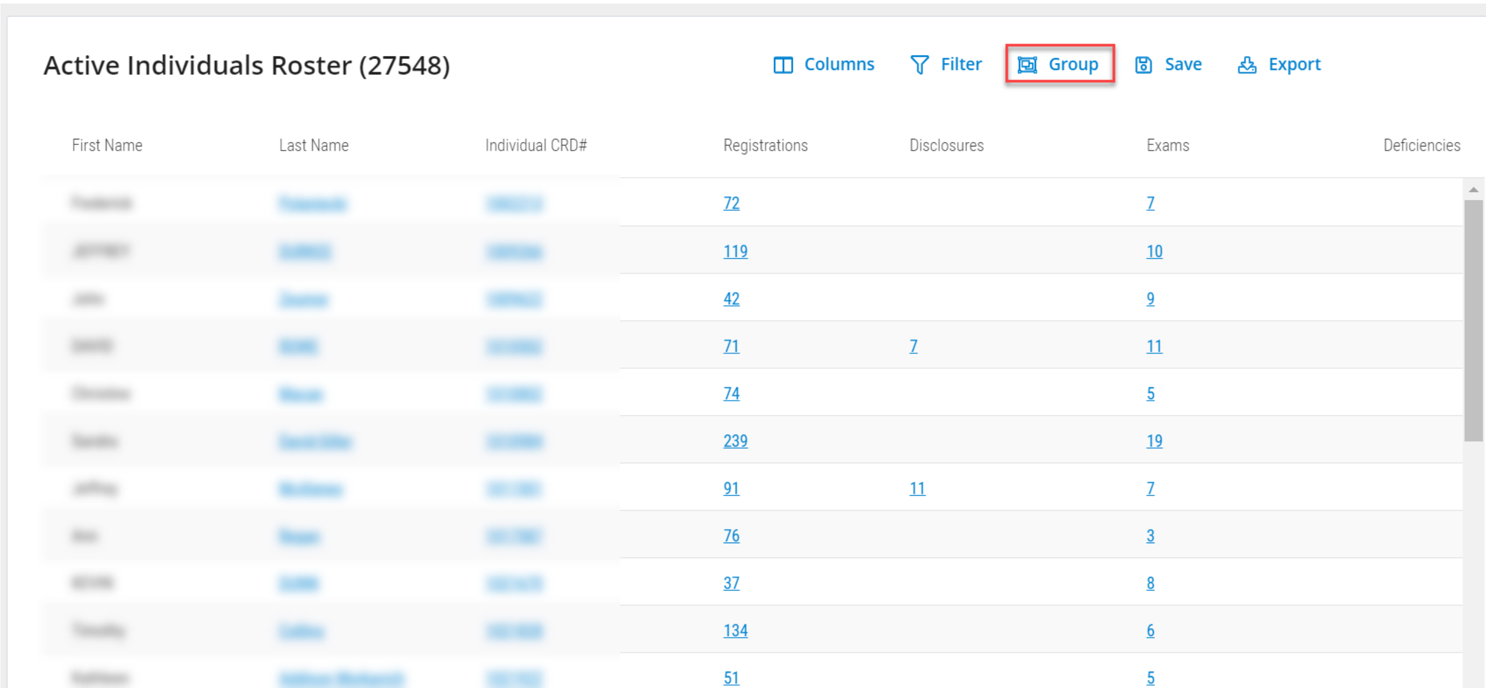


Grouping

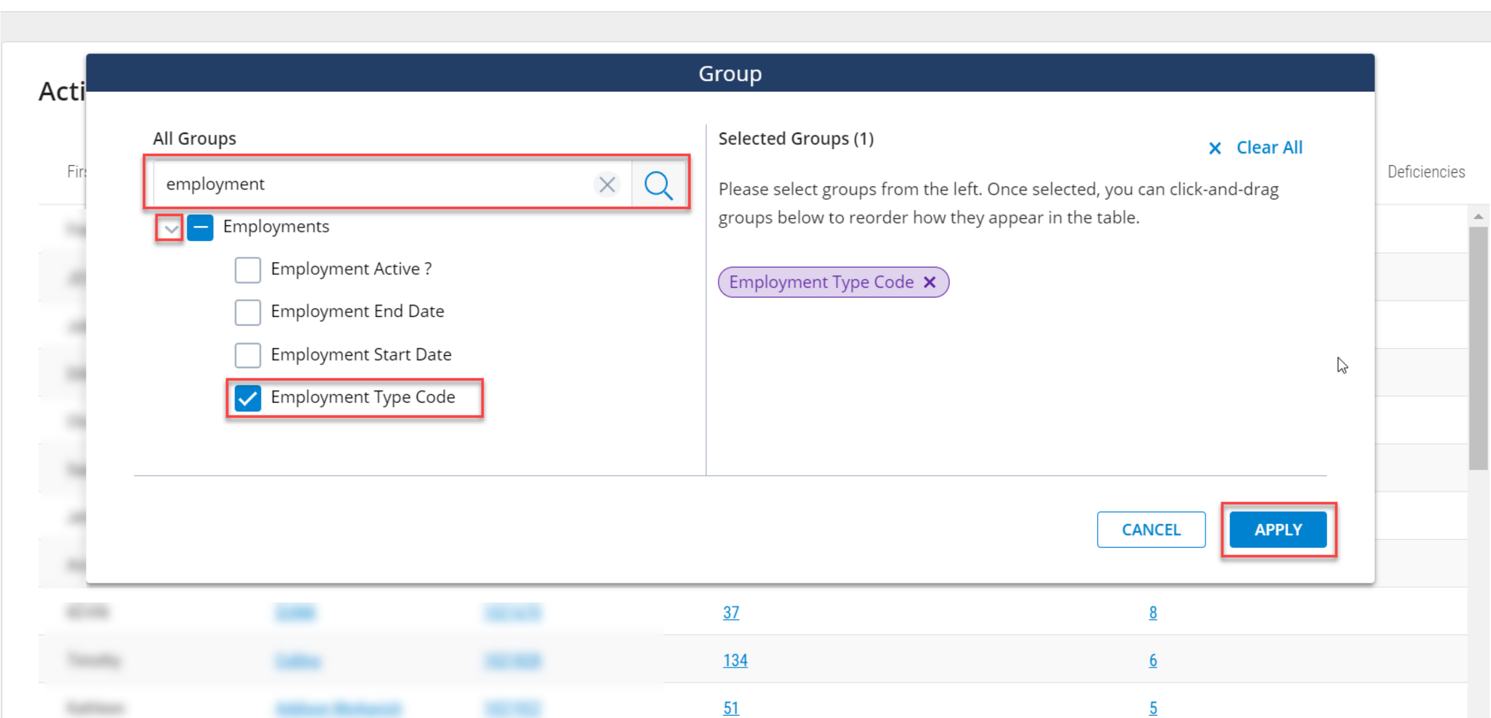
The **Group** tool is a powerful resource for exploring your data. Certain templates are grouped as a default. When you open a template, such as Individuals by Registration Status, you can see the **Group** information at the top of the page. This shows what the data is Grouped By. In the column named **Group** you can see the groupings with counts of records within each group. Grouping by Registration Status gives you a view of all registration statuses within your data set.



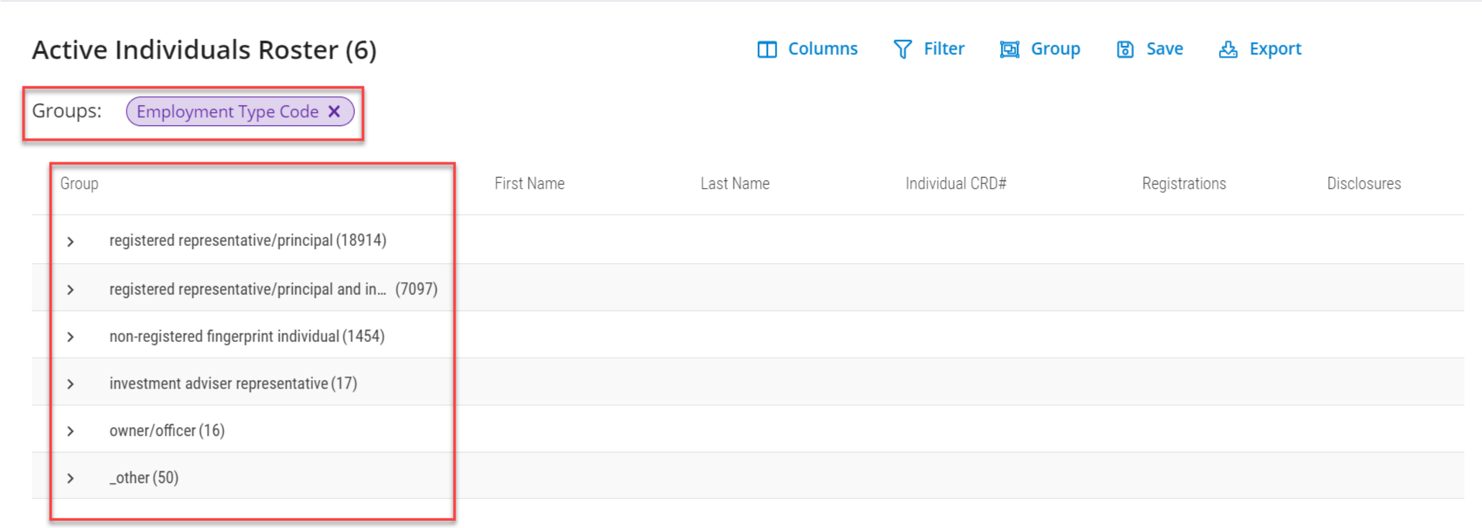
Imagine you want to see individuals at your firm organized by Employment Type so you know who is a non-registered fingerprinted individual (NRF) versus who is a registered employee. Open the **Active Individuals Roster**. Click on the **Group** tool.



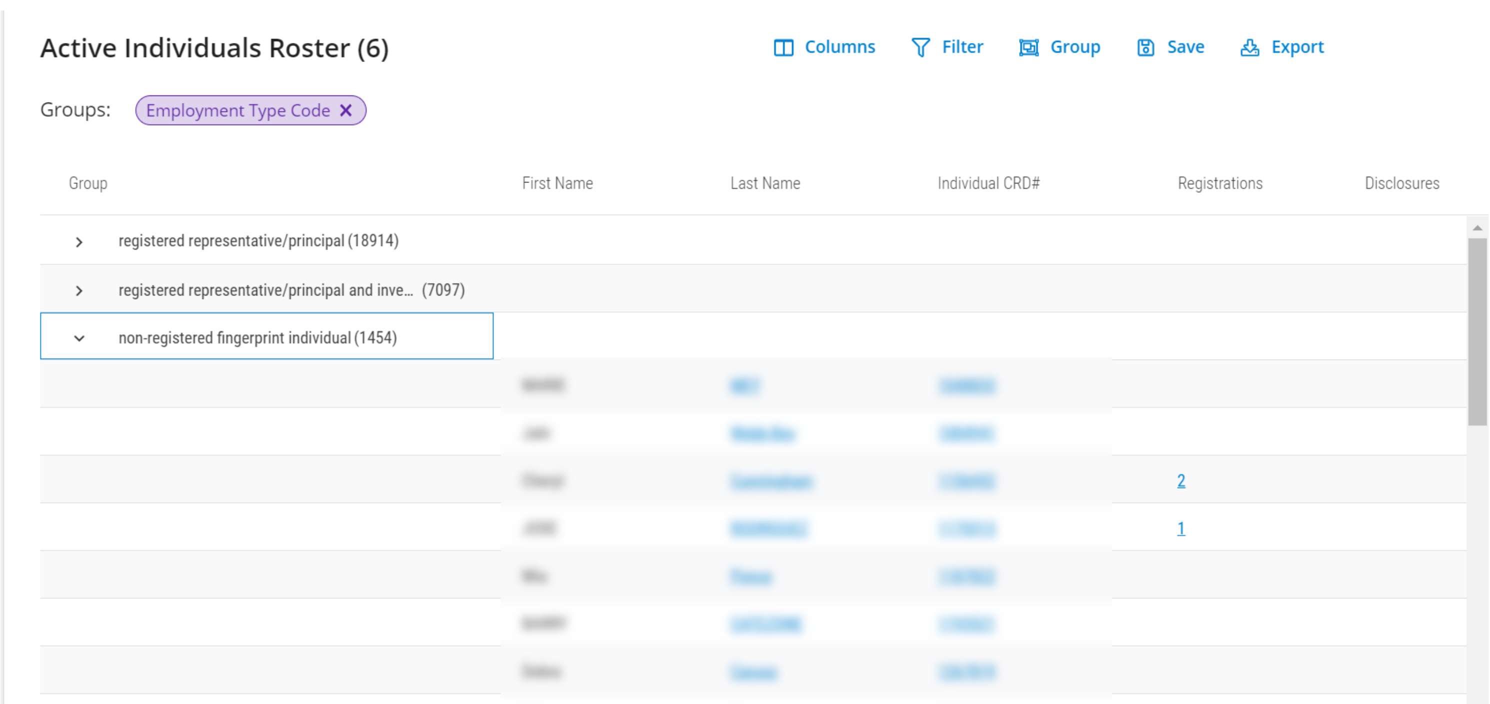
Within the **Group** tool, search for **Employment Type**. Click the arrow icon next to the word Employment to expand the Employment group. Select **Employment Type Code** and click **Apply**.



After you click **Apply** to apply the grouping by Employment Type Code to the Active Individuals Roster, you will get a count of individuals within Employment Type.

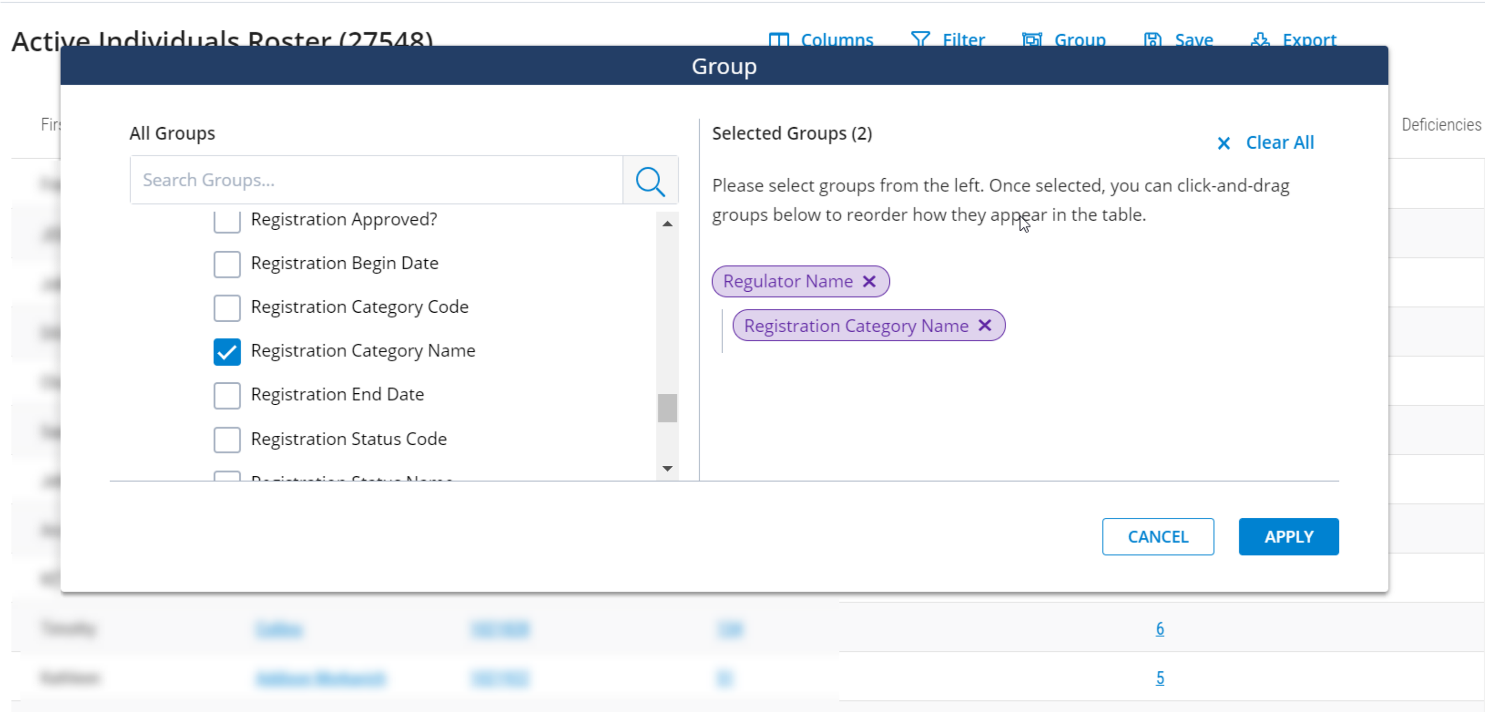


You can click on the group to expand and view details.

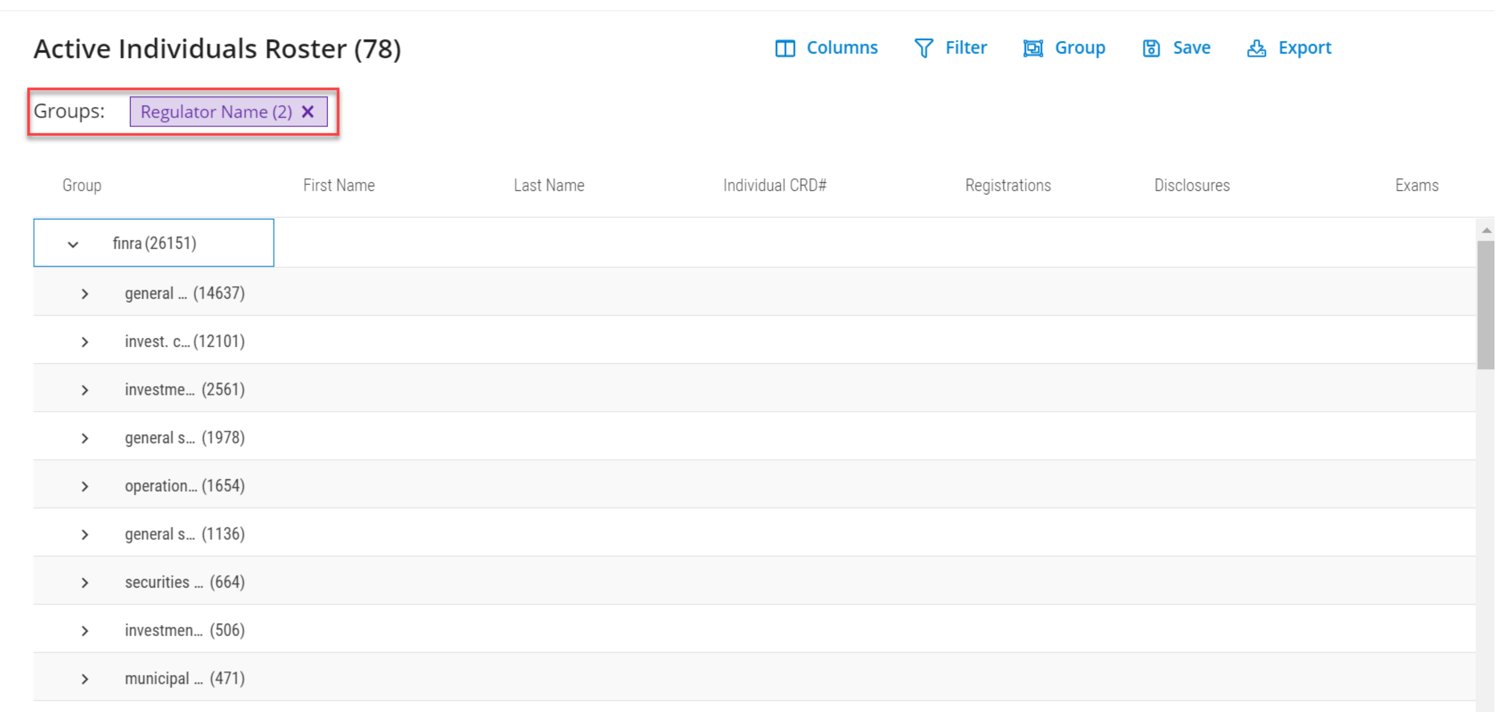


Applying Multiple Groups

Imagine you want to know individuals at your firm by their registration category and regulator name. You can use the **Group** tool to organize individuals in your firm by **Regulator Name** and **Registration Category Name**. Note that the group you apply first will be the initial group you see on the result and you will click in to see the next group. That is why the second grouping is slightly indented under the first grouping. You can drag and drop to rearrange the group order.

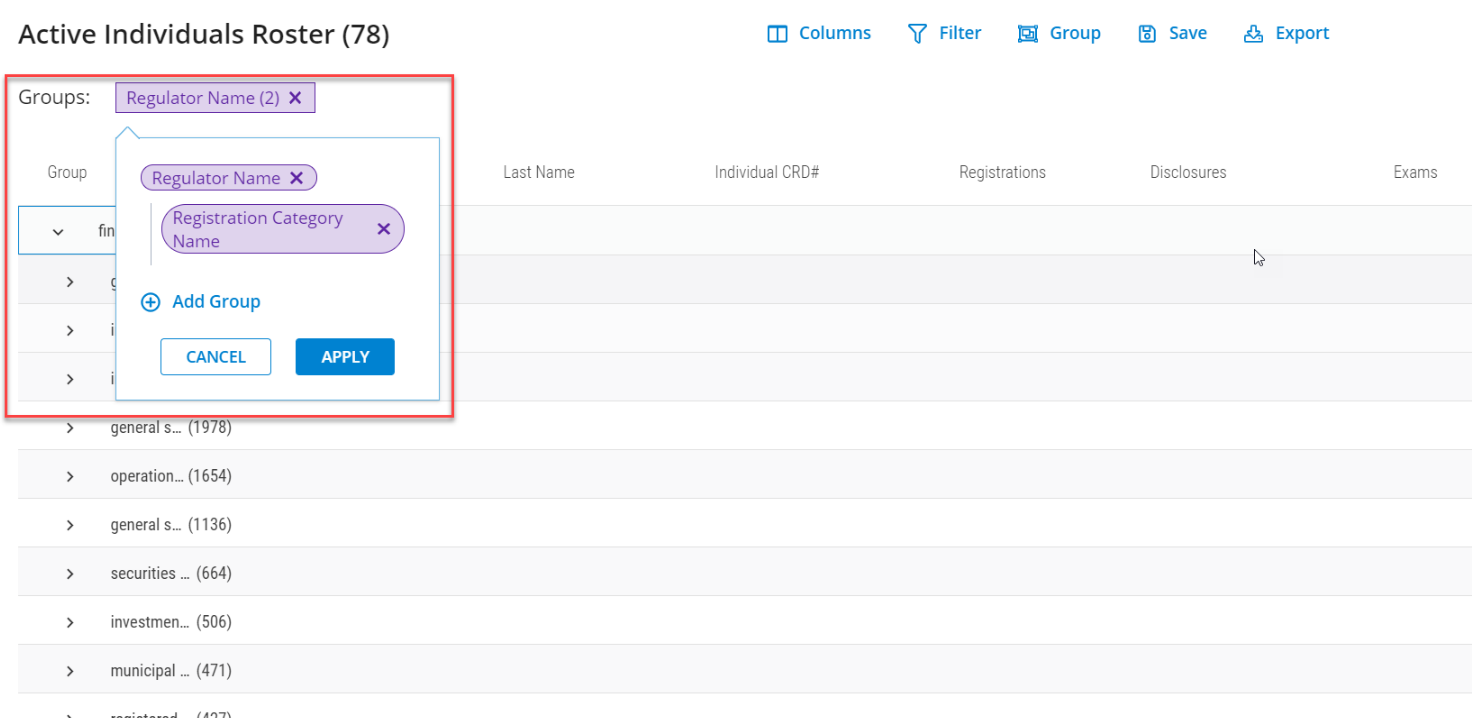


When you apply the two groups, the group tag will turn to a rectangle with a count of the number of groups it contains.



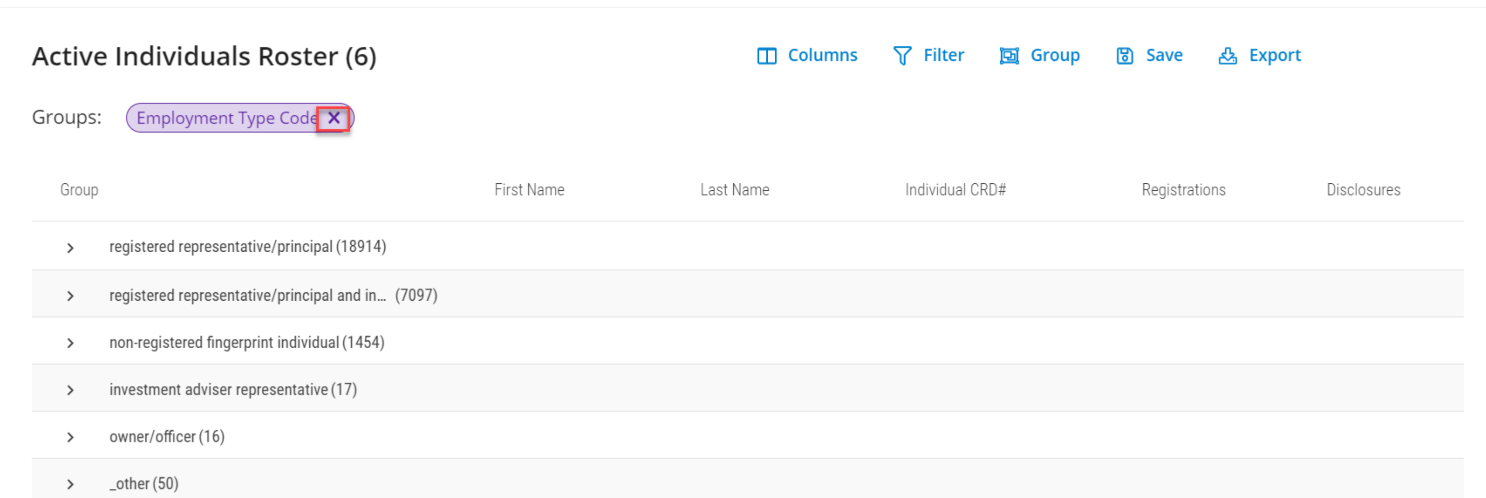
Modifying Applied Group Settings

Click the **Groups tag** to edit your group settings. You can add or remove groups and drag and drop to rearrange the group order.



Removing Groups

If you want to remove applied groups, you can click the "X" on the group tag.

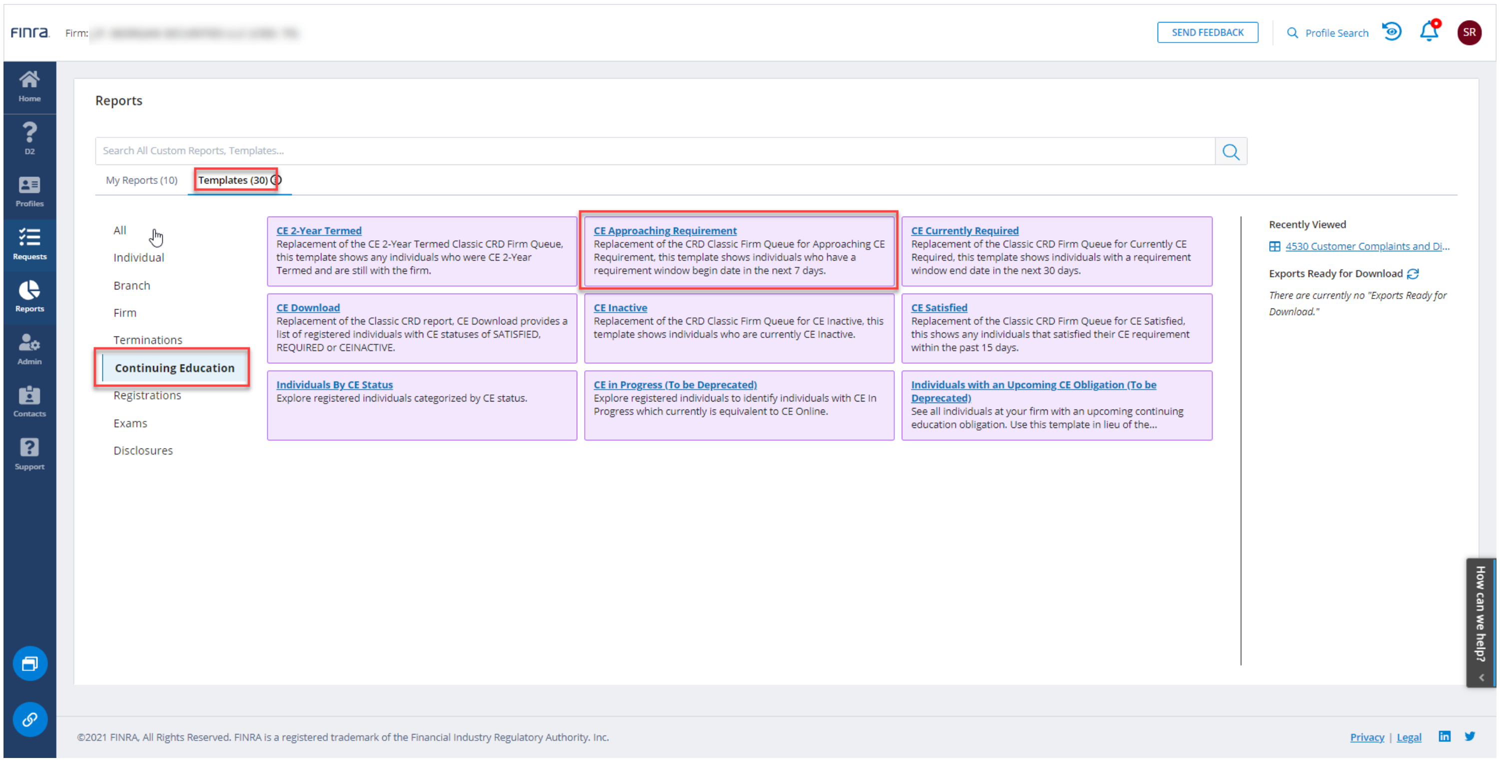


Filtering the Data

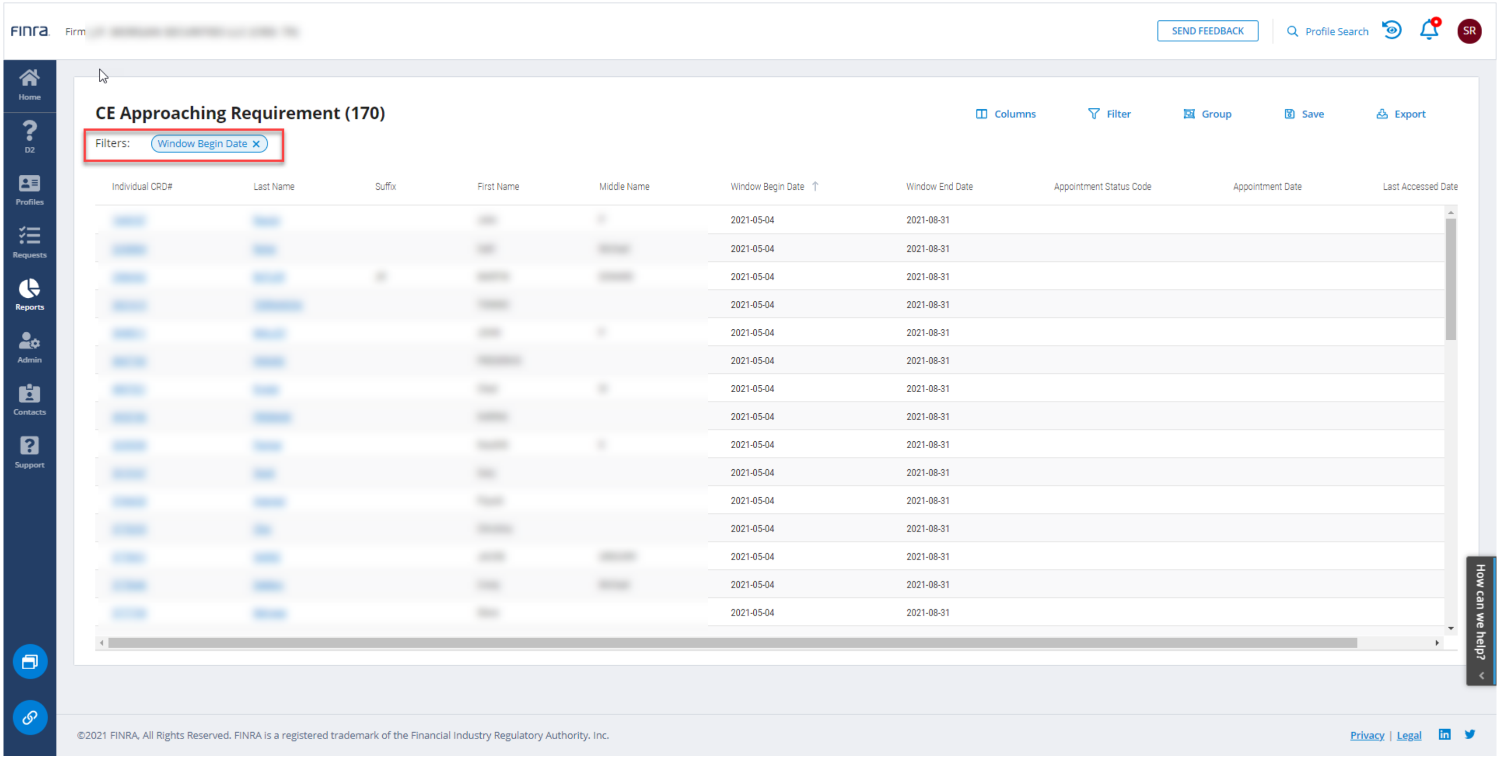
The **Filter** tool allows you to refine the data set to include only the records you need. You can filter by any data point you choose.

Modifying Applied Template Filters

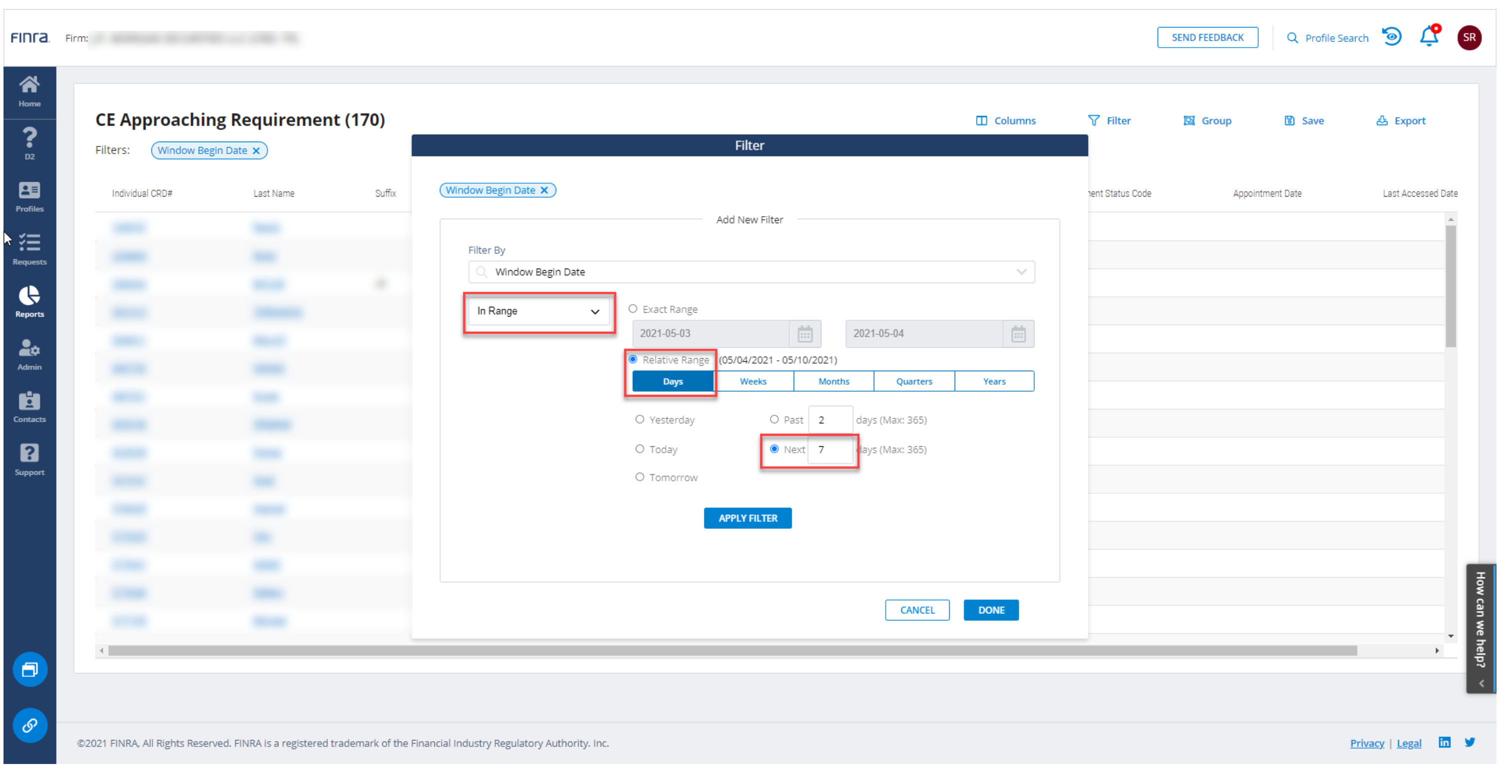
Templates are set up with filters that you can modify to create custom templates. For example, go to the **Templates** tab, click on the **Continuing Education** category and open the **CE Approaching Requirement** template.



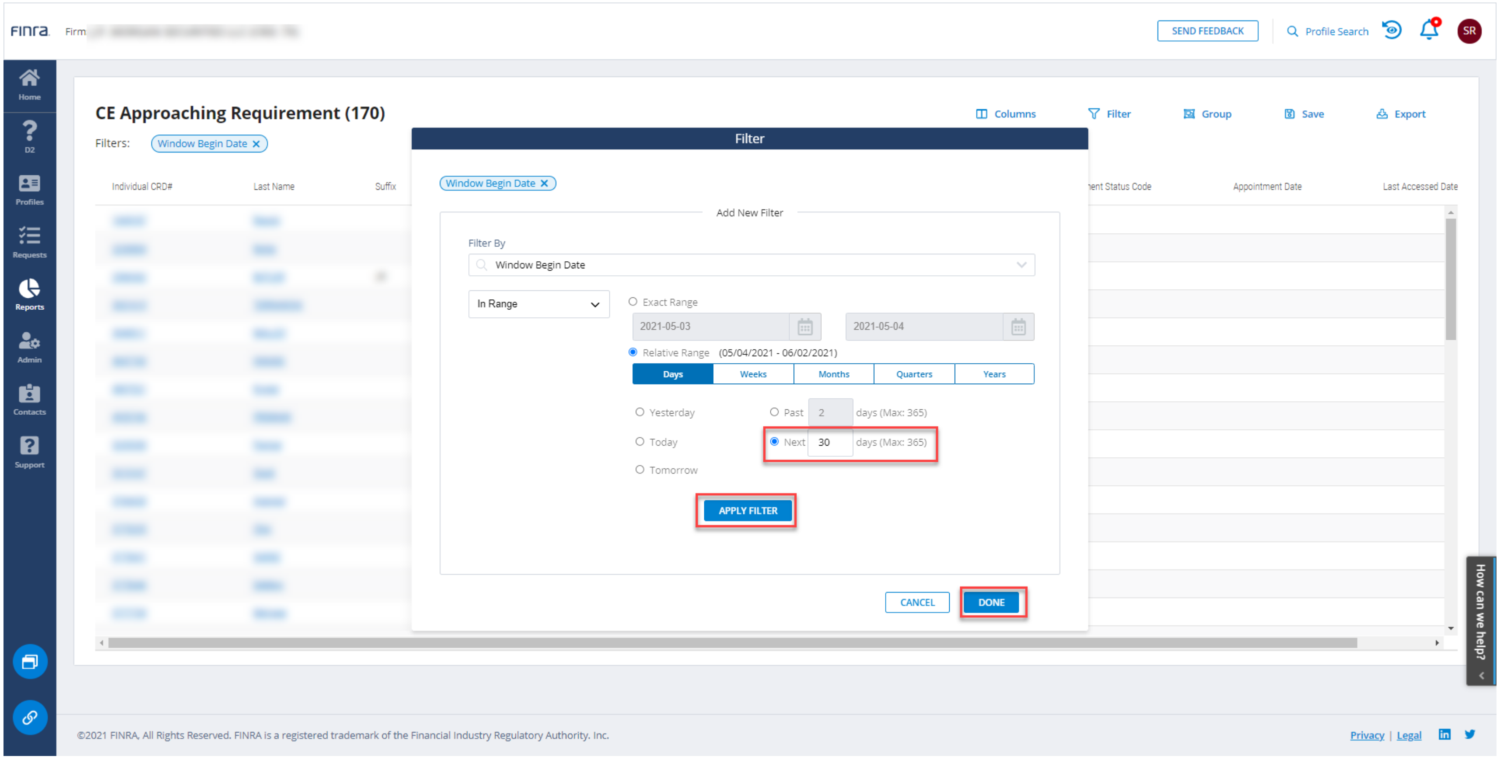
When you open the **CE Approaching Requirement** template, you will see a blue tag at the top of the page indicating the type of filter that has been applied to create this template.



Click on the blue filter tag to open the filter details.

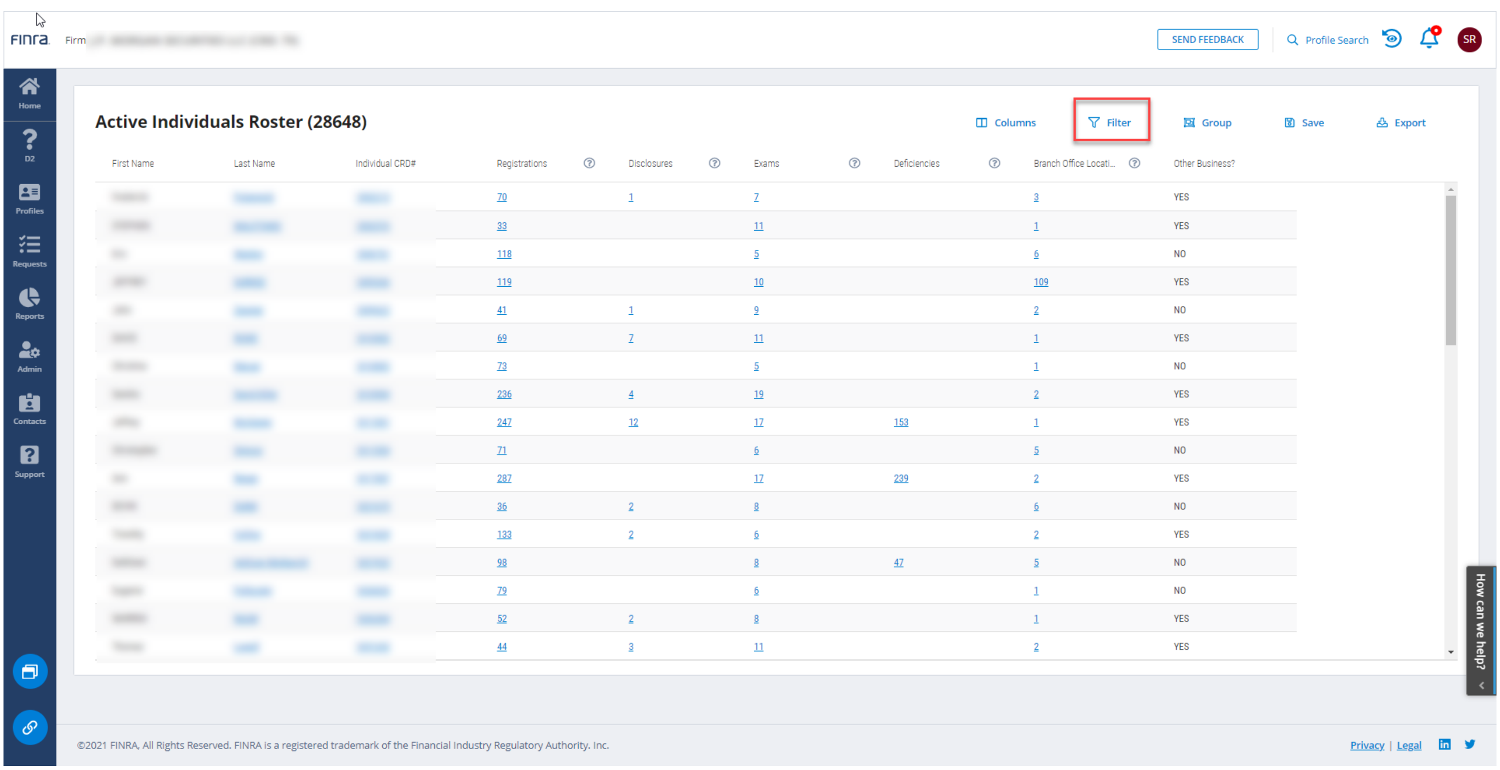


By default, this template is showing individuals with CE window begin date happening in the next 7 days. You can change those settings to meet your needs. For example, you can change it to be the window beginning in the next 30 days by changing the number and clicking **Apply Filter** and **Done**.

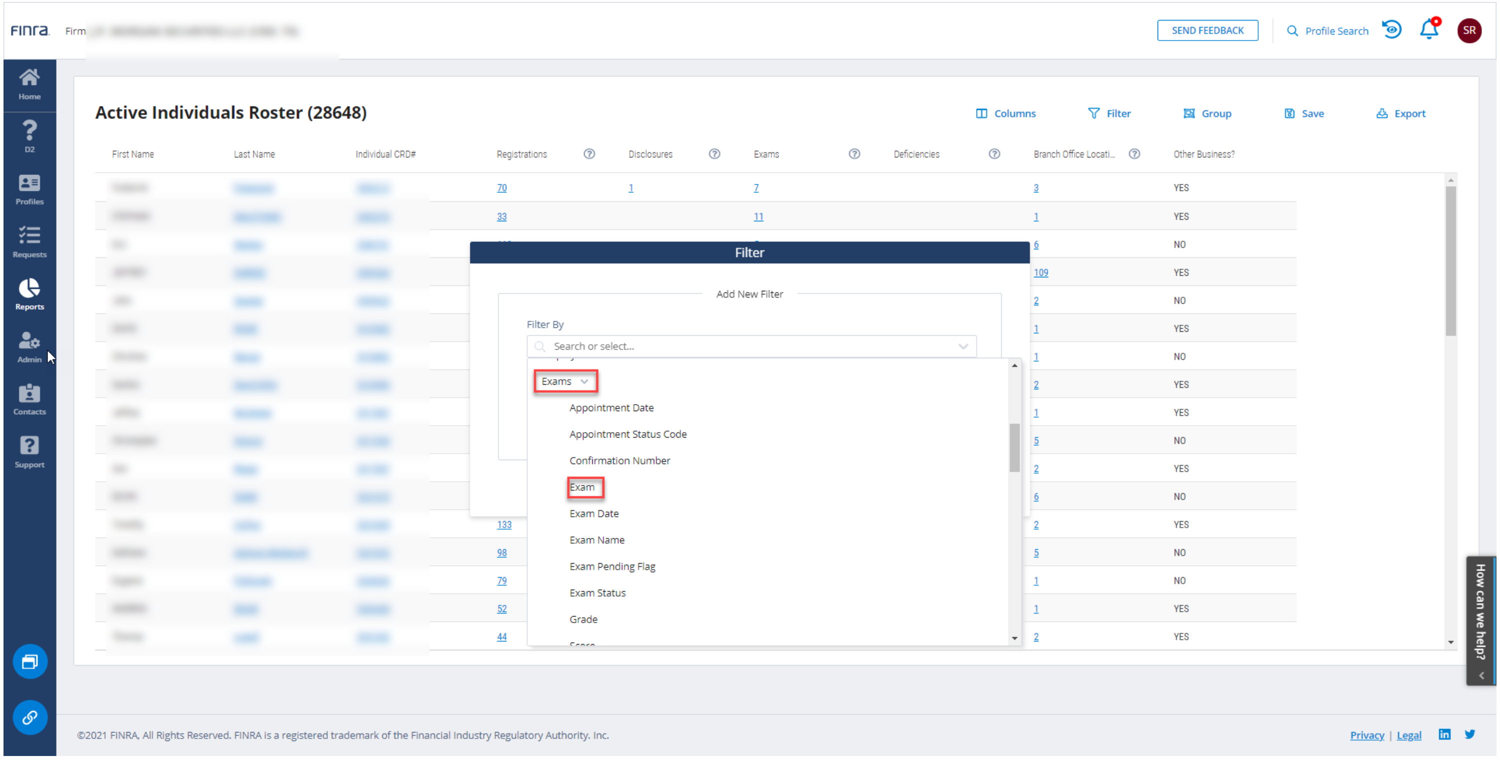


Filtering by Predetermined Values

Filter options vary by the type of filter you choose. Some filters include a drop down select list so you can choose from a set of predetermined options. For example, you can filter individuals at your firm by the type of exam they have taken. Choose the **Active Individual Roster** template. Then click on the **Filter** tool.

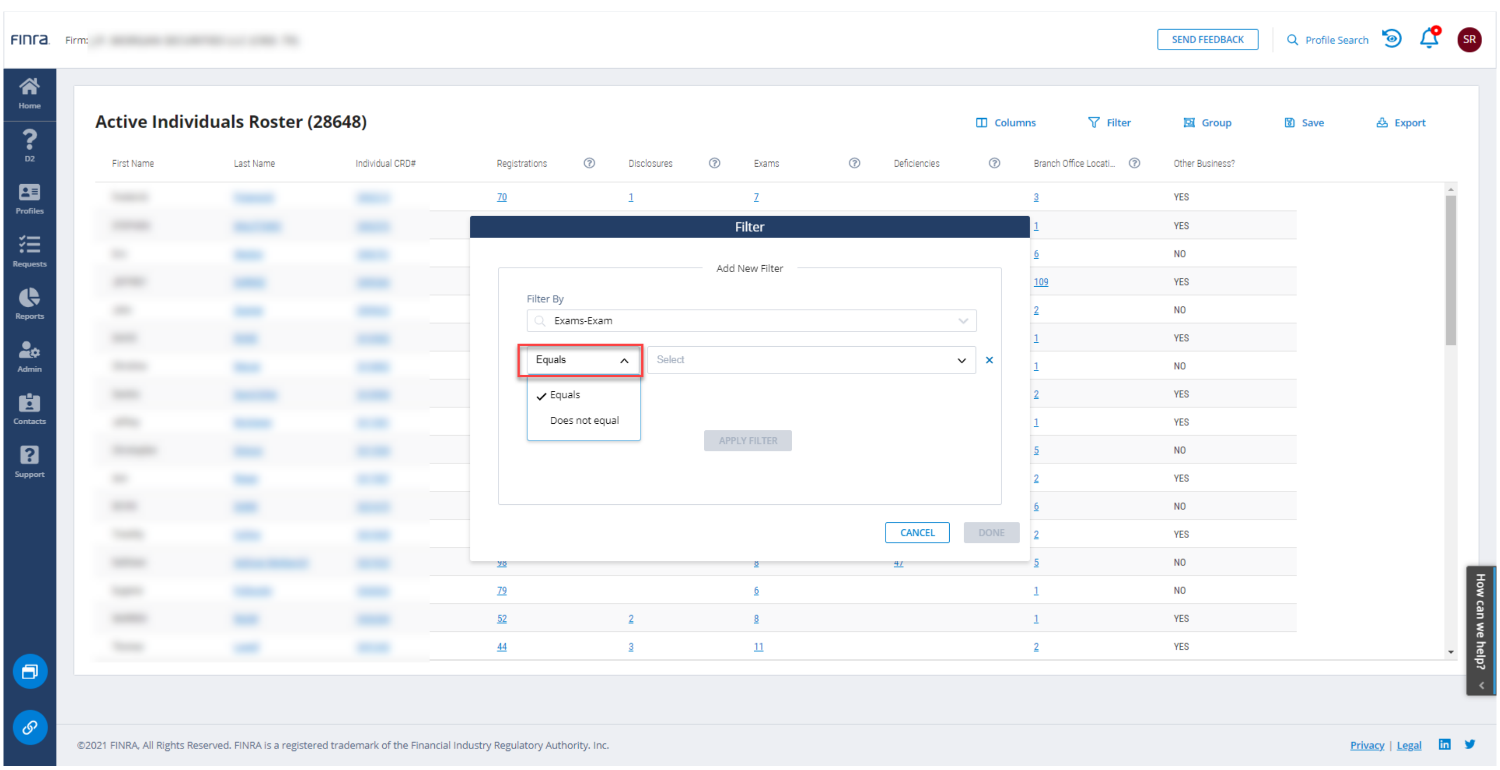


From the Filter tool, you can search on the word **Exam** or scroll to the Exam section from the list that appears. Note you can click the > to expand the option of Exam filters within the subtable. Choose the Exam filter.

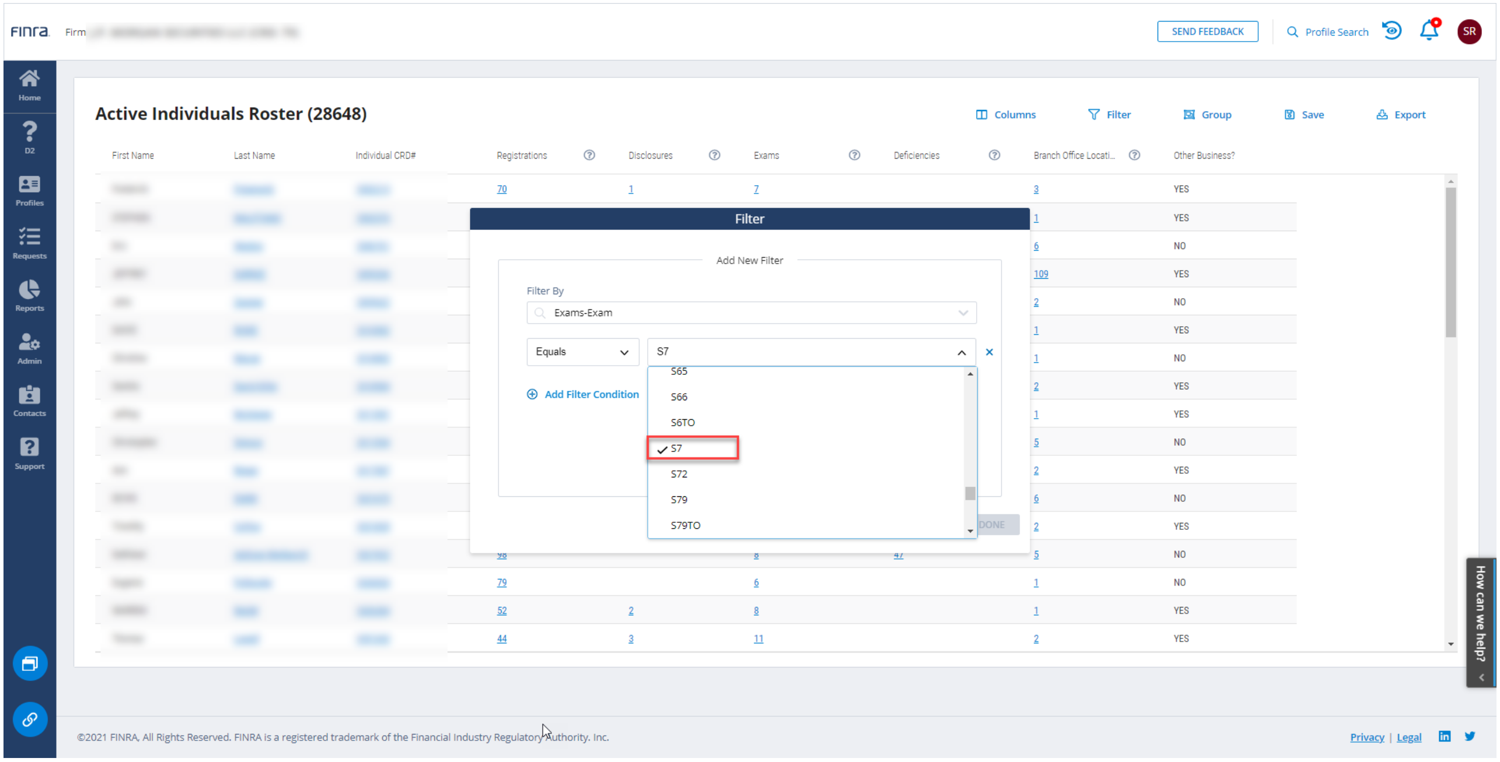


Filter Operators – Equals or Does Not Equal

When you choose the **Exam** filter, you can choose a filter operator. By default, the **Equals** filter operator will be included. That means the filter will include exams that match the filter you choose. You can change it to **Does not Equal** if you want to exclude an exam type.

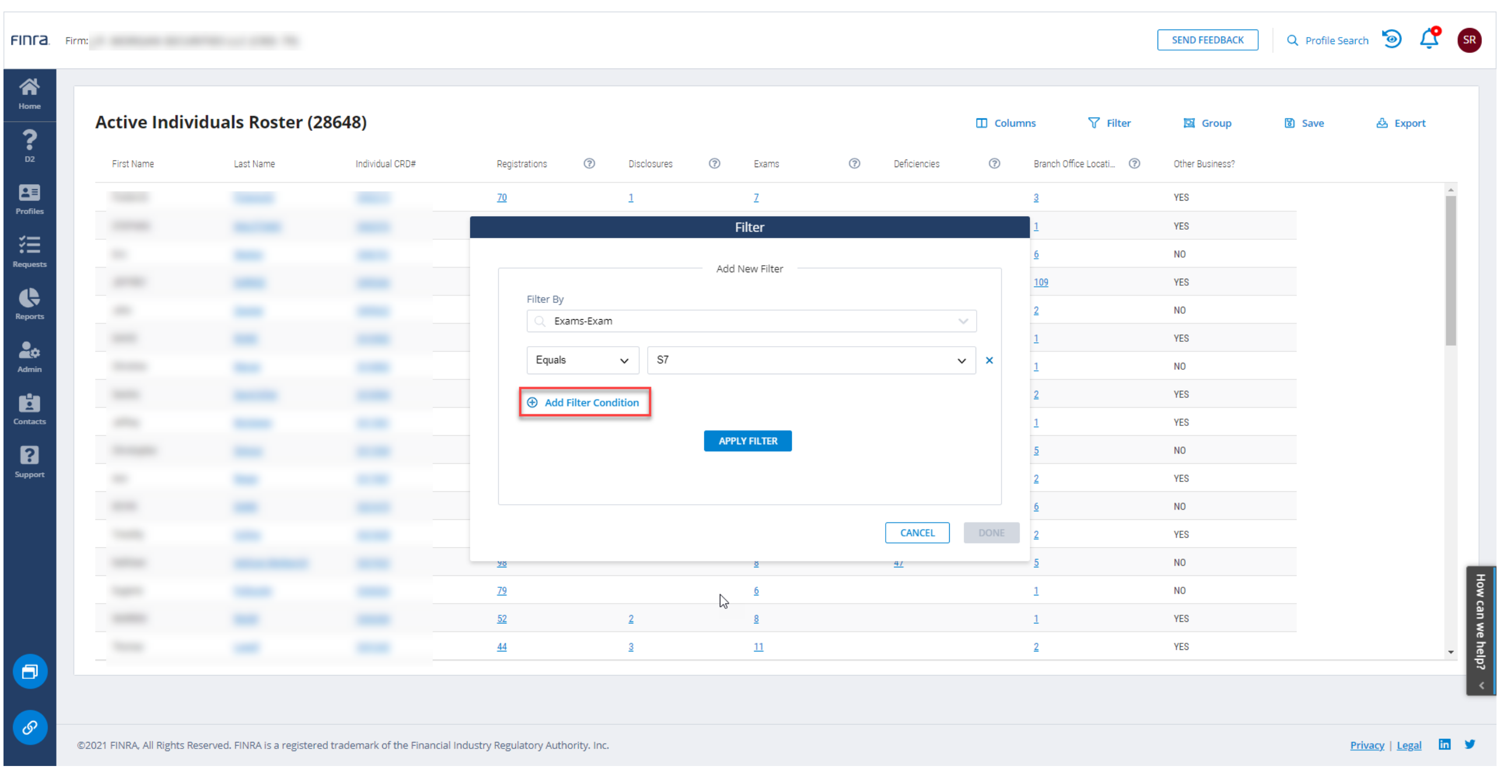


In this example, we will keep the filter operator **Equals** and select the exam S7 from the select list of filter options that appears.

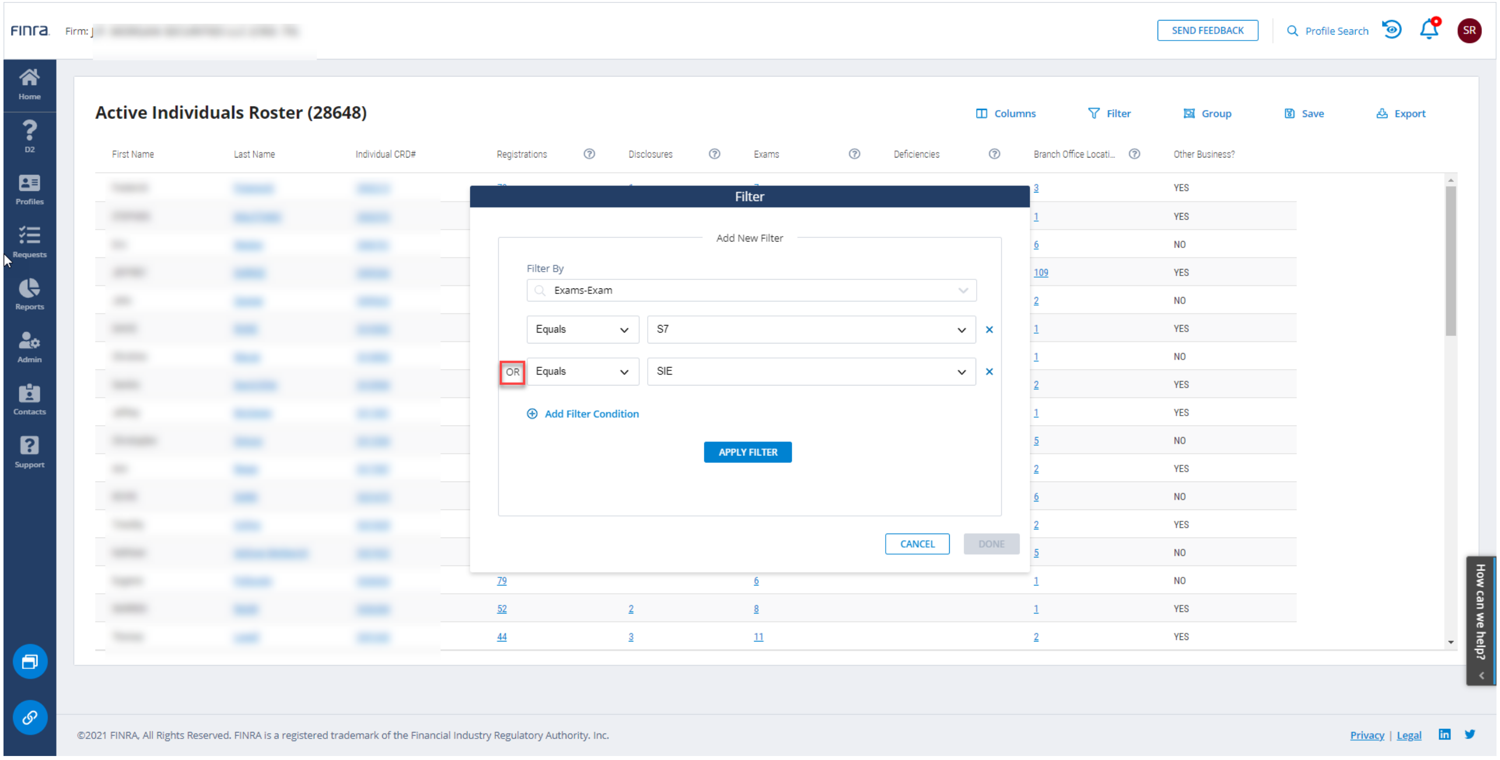


Add Filter Condition

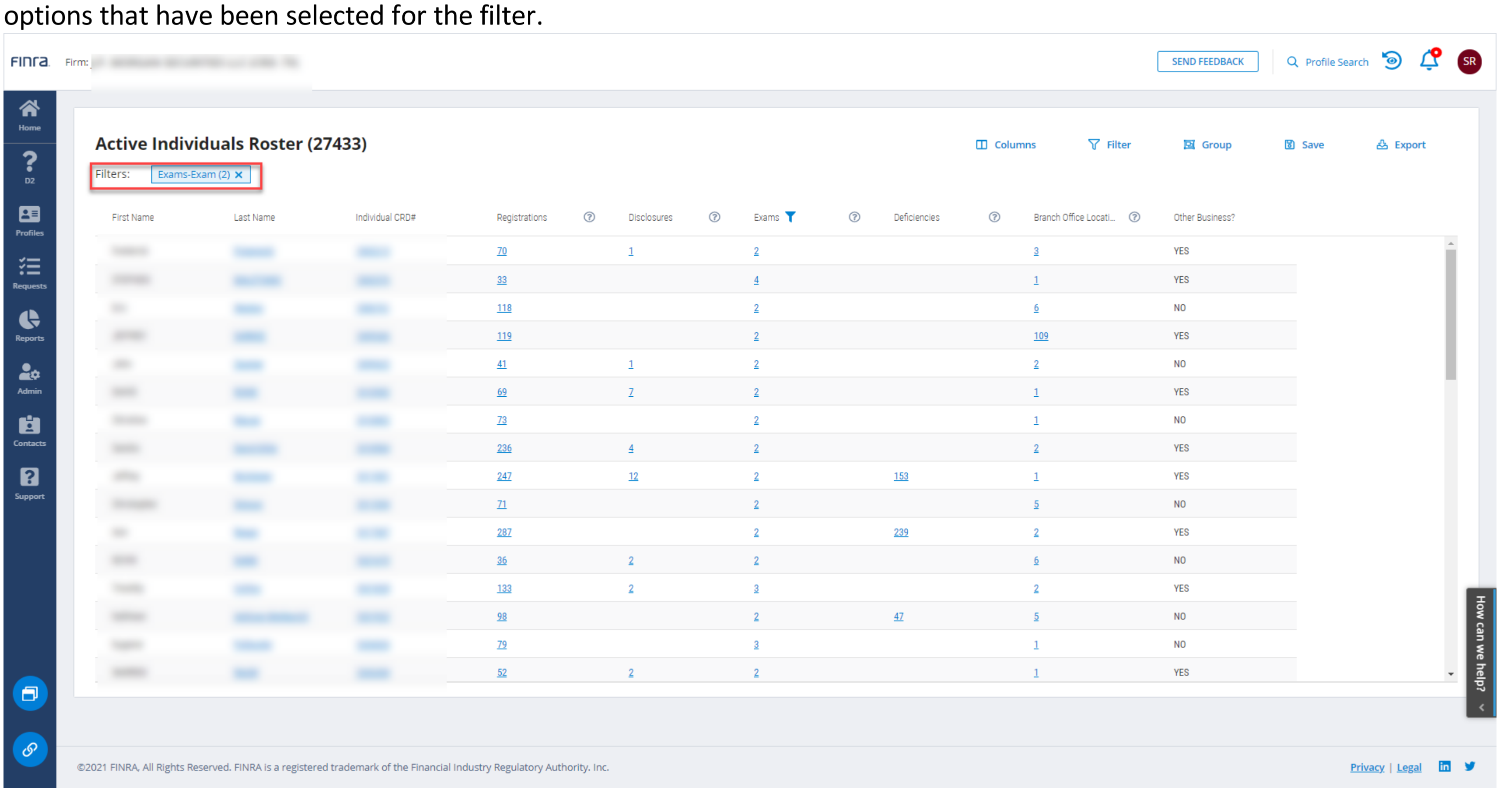
If we want to filter by more than one type of exam, we can click the Add Filter Condition link.



Clicking the **Add Filter Condition** option allows us to select another exam type to include. For example, selecting to add a filter for SIE means the filter will include individuals who have taken the Series 7 exam **OR** the SIE exam.

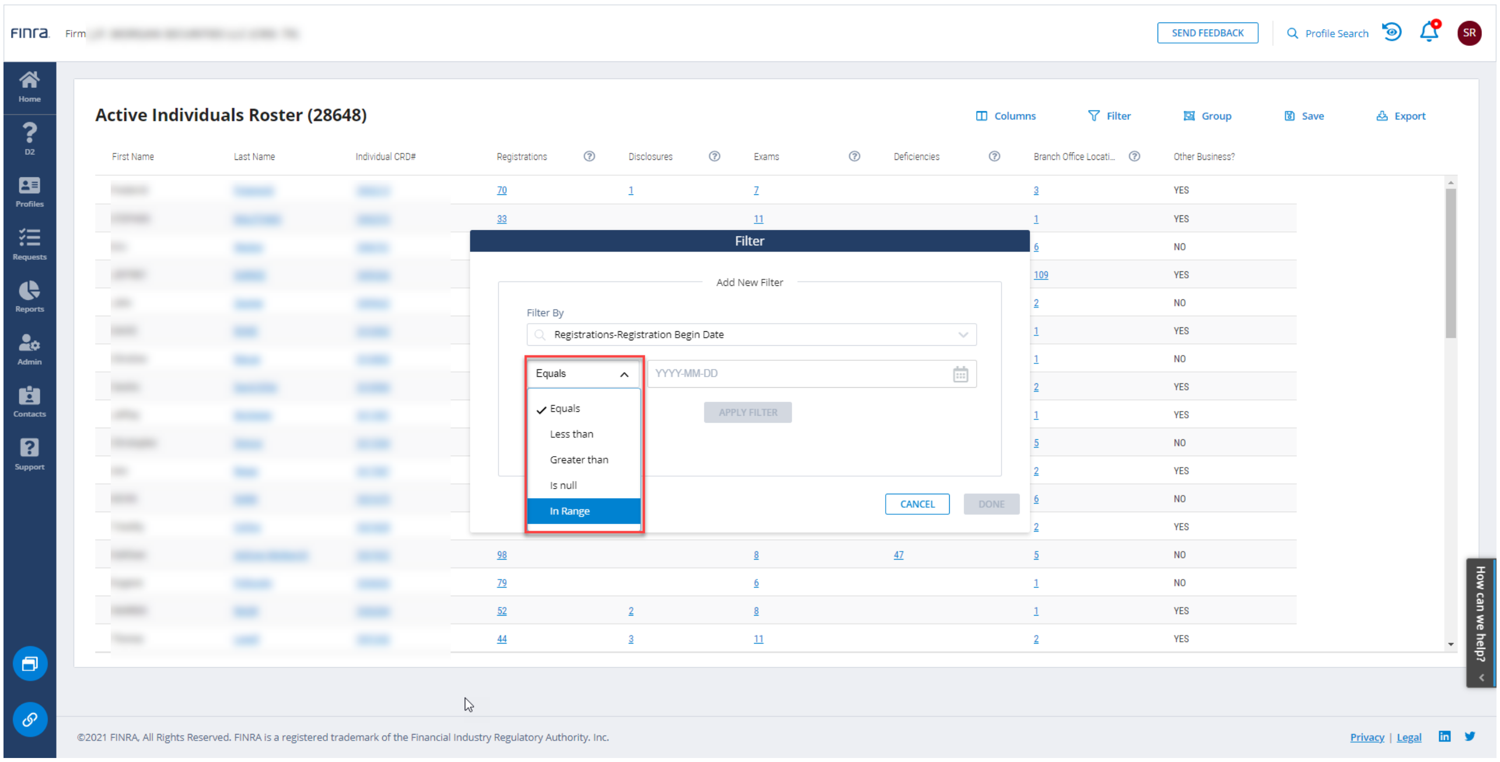


You can add as many filter conditions as you'd like using the **Equals** filter operator and clicking **Add Filter Condition**. However, if you choose the **Does Not Equal** filter operator, you can only choose one filter because the filters function as OR not AND so the only way to fully exclude a result is to limit it to one. When a filter has more than one option applied, the filter tag indicator will be a square instead of a rounded oval in the table view. It will also include a count of the number of options that have been selected for the filter.



Filtering by Date

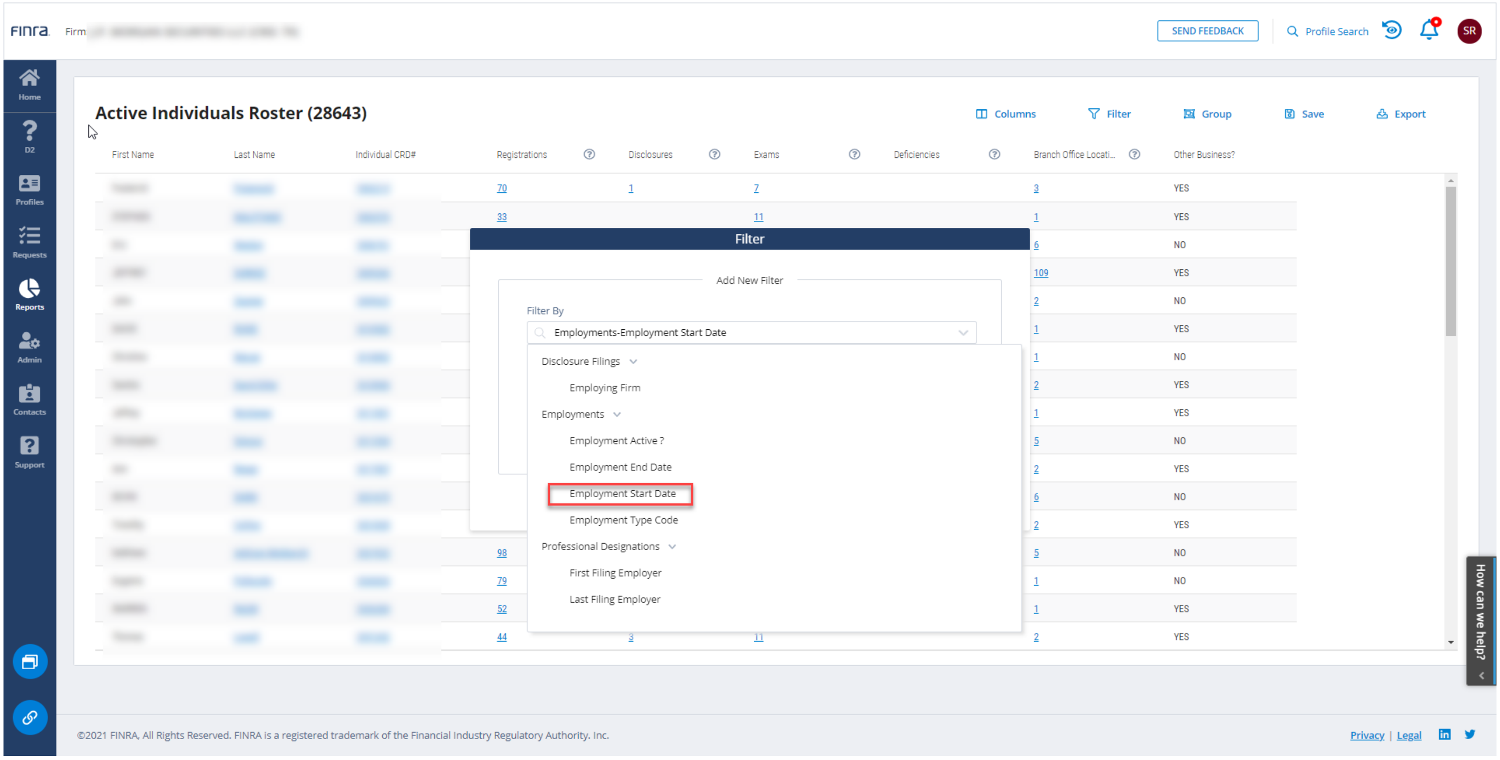
FINRA Gateway Reports provides several options for filtering by date. If you choose the **Equals** option, you can filter by an exact date. The **Less Than** option lets you filter results that occurred before the date you specify. The **Greater Than** option filters results that occurred after the date you specify. The **Is Null** option lets you filter by a date that is missing. And the **In Range** filter lets you filter by an exact date range using specific dates you provide, or a relative date range, using a time period you want to cover in the filter.



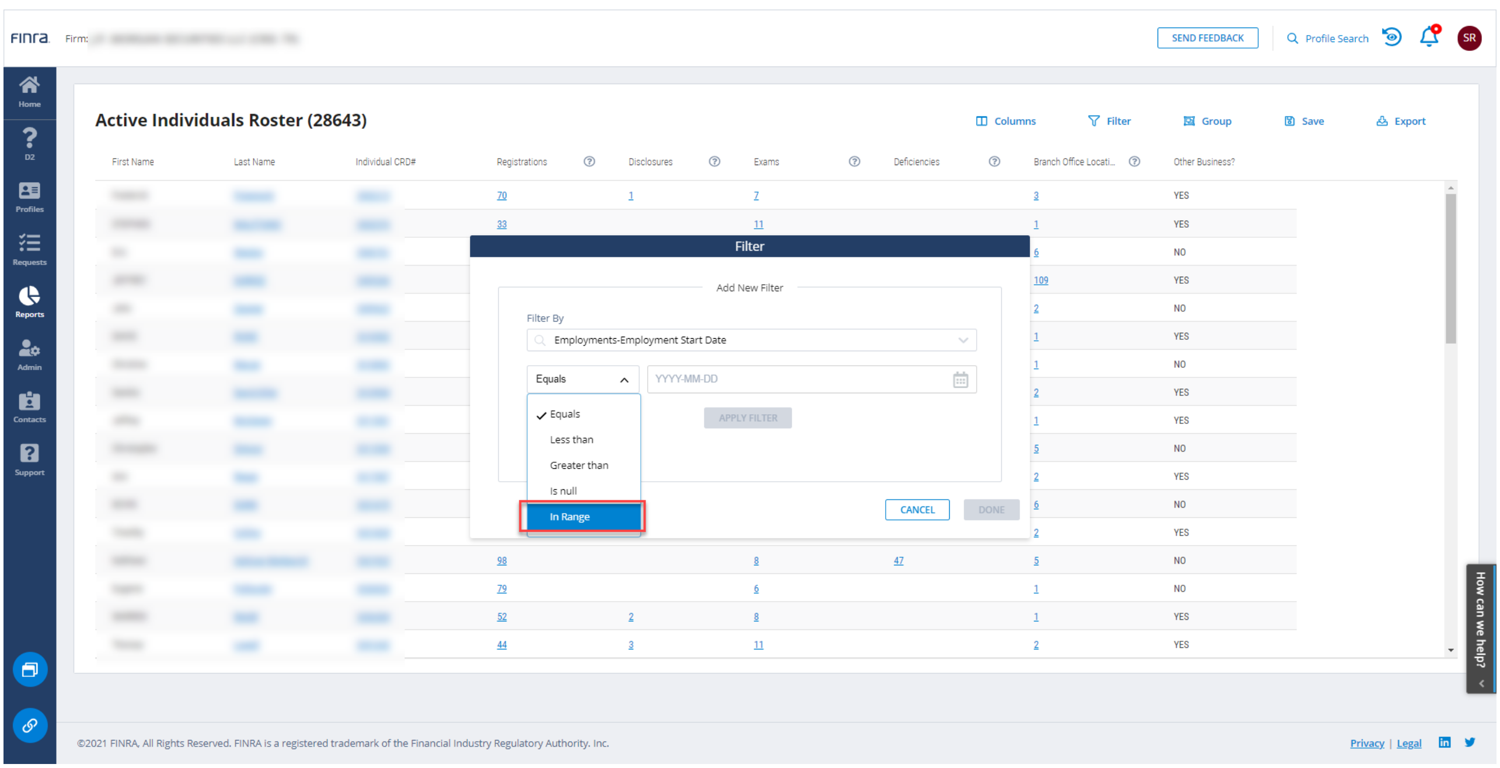
Relative Date Range Example

If you select the **In Range** option, you will have a choice of an exact date range using dates you specify, or a relative date range that can look forward or back in time using time increments of your choice. Relative date ranges are useful in setting up reports because no matter what point in time you open the report, you will get the most up-to-date data.

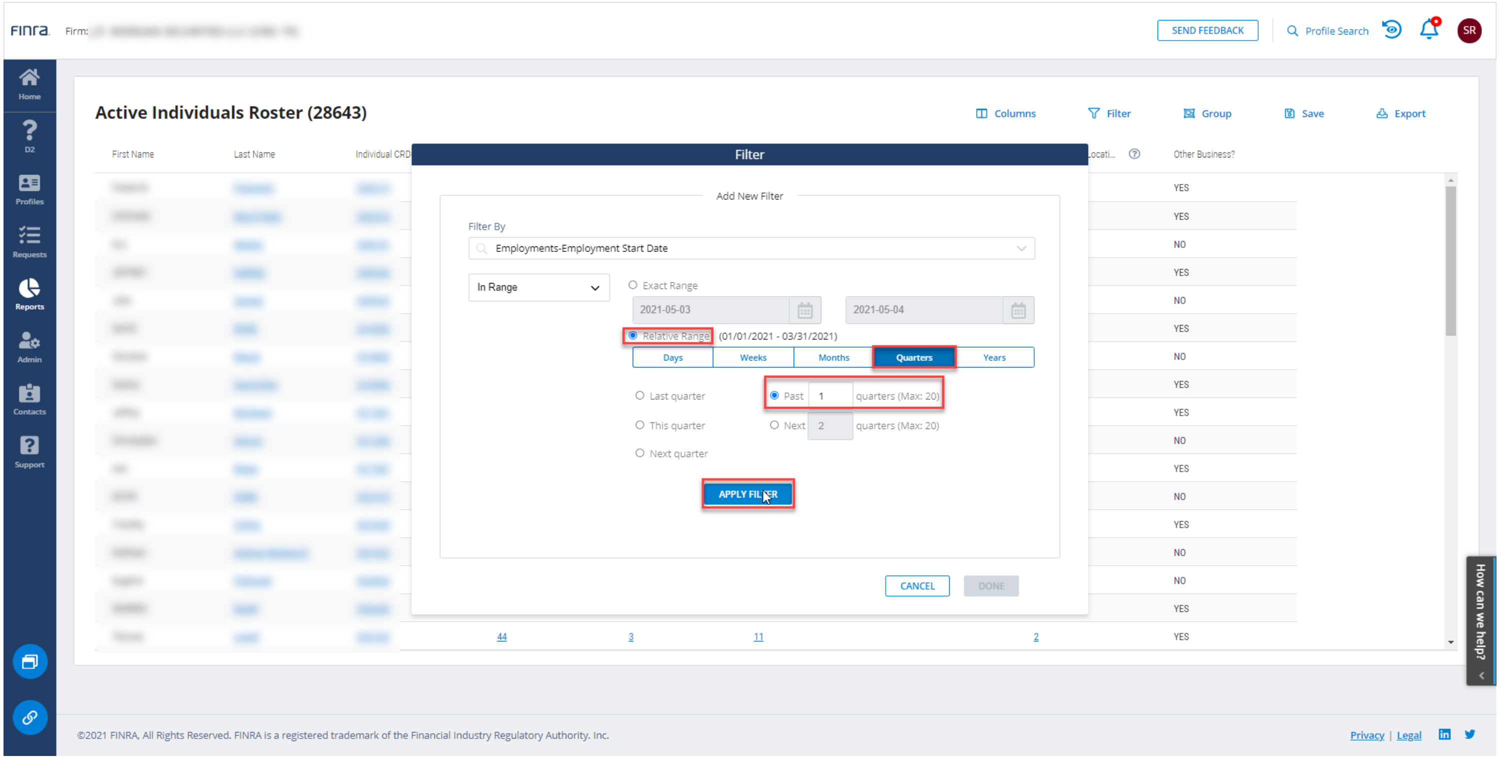
For example, to set up a report of new hires added in the past quarter, you can set up a relative date range on the Employment Start Date. First, search on employment start date to find and select the appropriate filter.



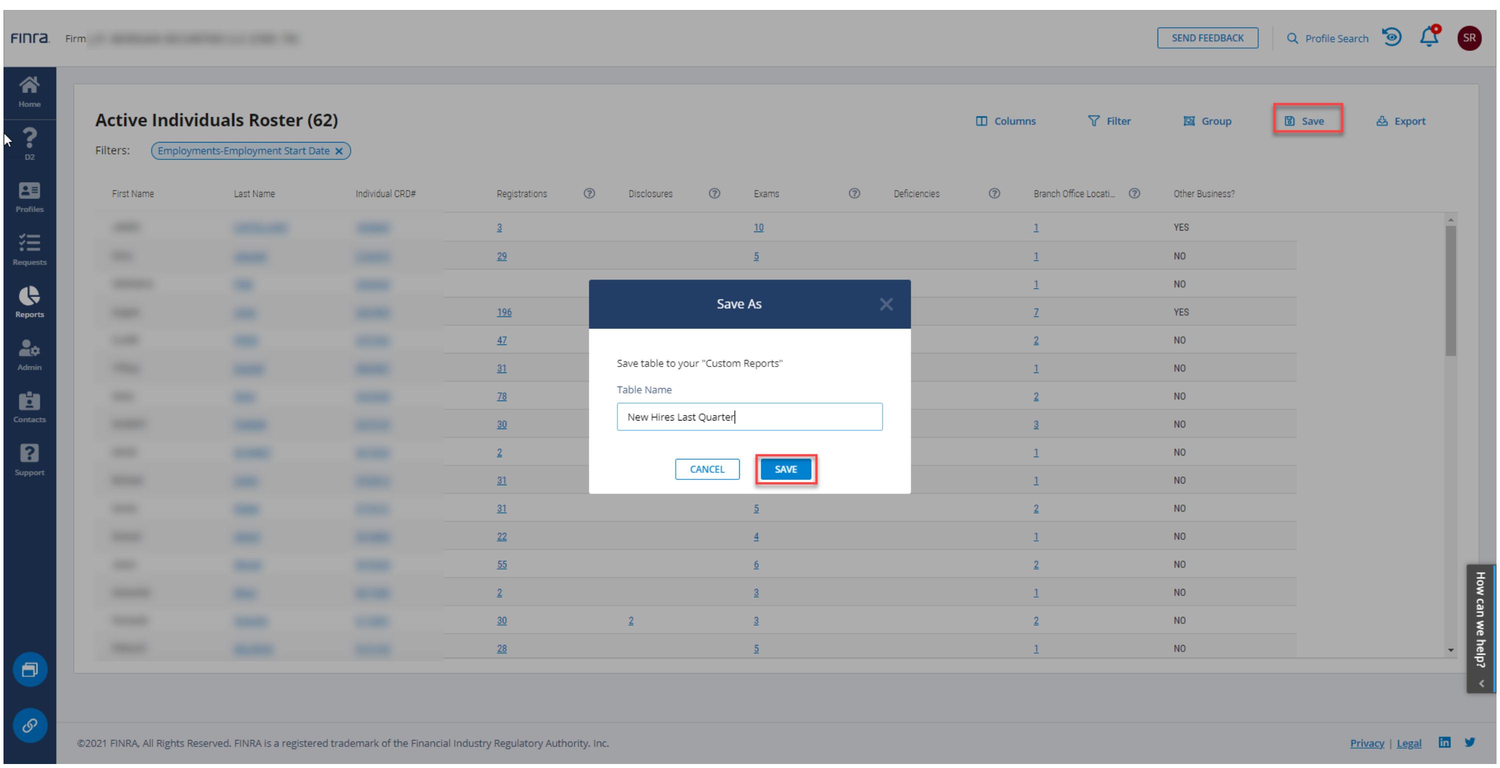
Next, choose the **In Range** filter operator.



After choosing the **In Range** filter operator, choose the **Relative Range** option. In this example, the relative range is set up to cover the past quarter.



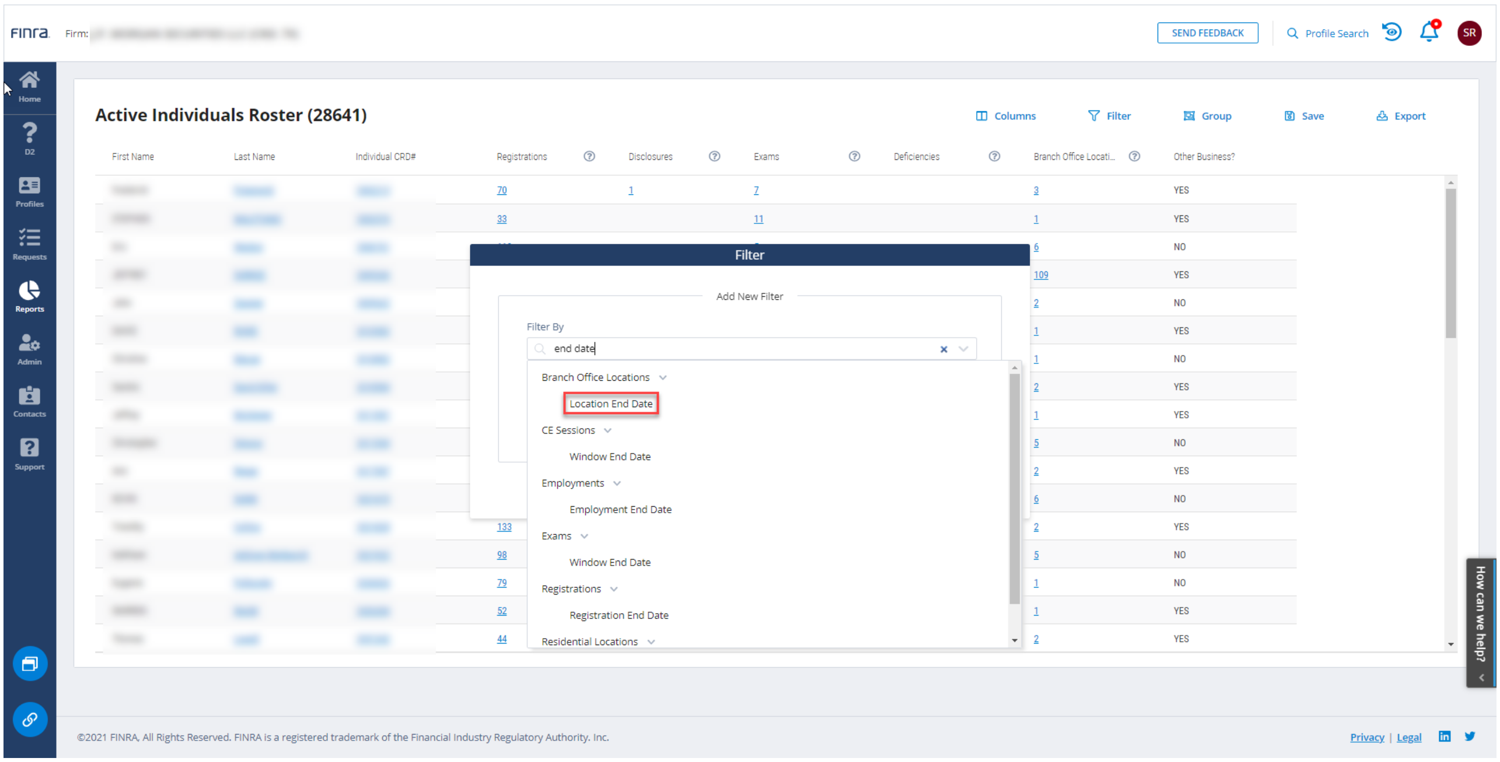
Apply Filter to apply changes. Click **Done.** You can save this report as a custom template using the **Save** tool. Whenever you open the saved report with the relative date range filter applied, it will show you the new hires in the previous quarter.



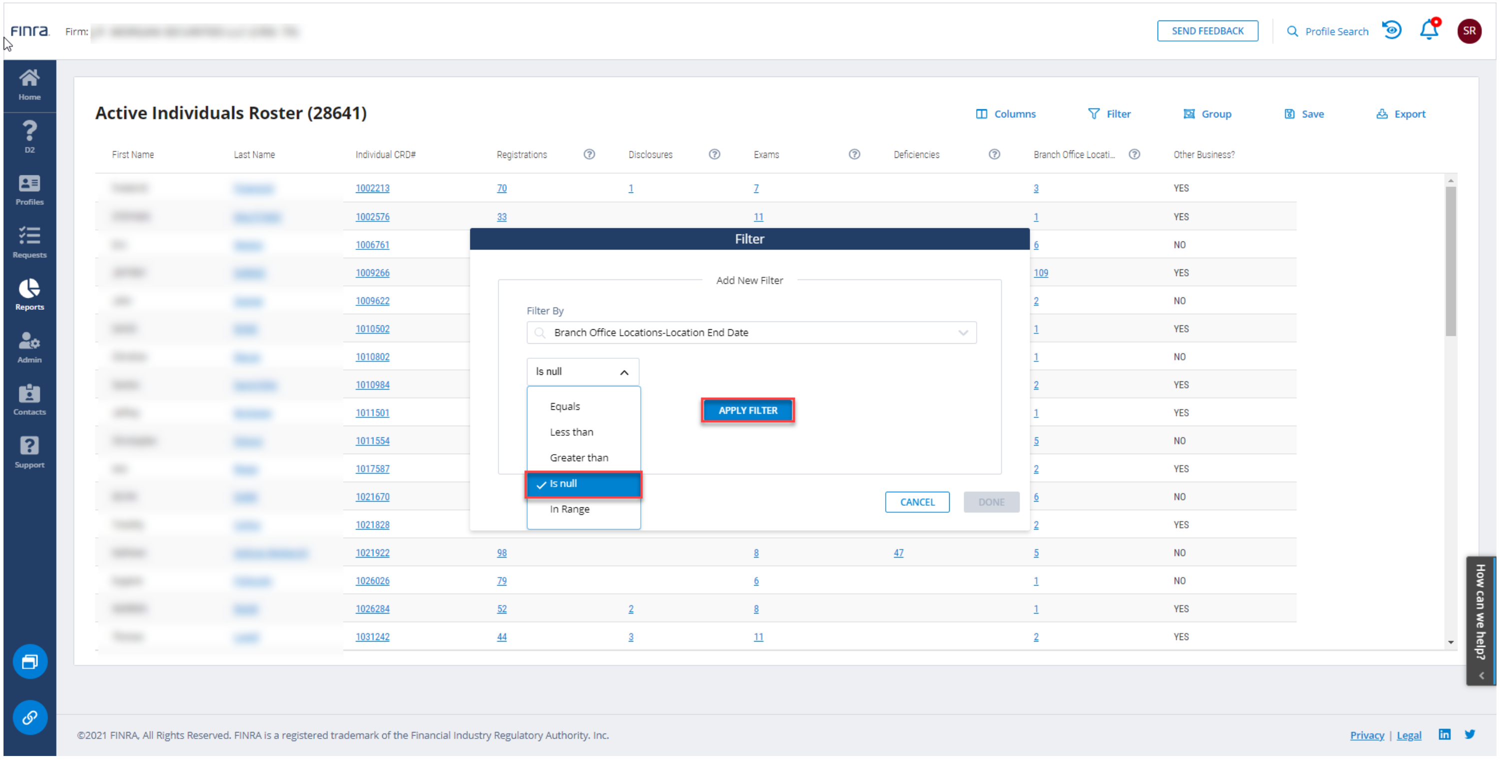
Date Is Null Example

The **Is Null** option on dates is helpful for getting a snapshot of a current point in time. For example, to know the current residential addresses and branch locations of individuals at your firm, set a filter on the residence end date and branch location end date to **Is Null**.

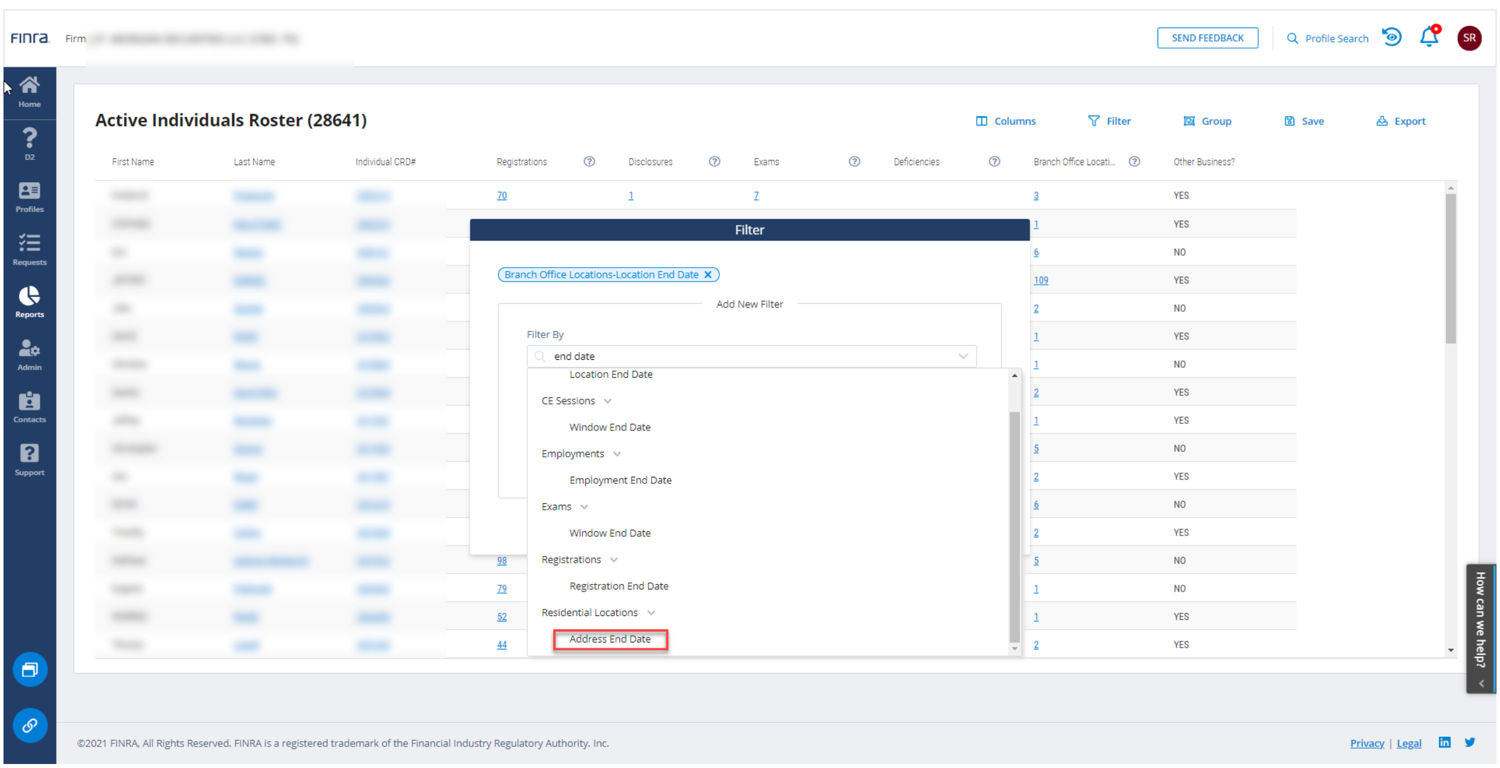
Find the filters by searching on "end date." Select the **branch location end date**.



With that filter selected, change the filter operator to **Is Null** and **Apply Filter.**



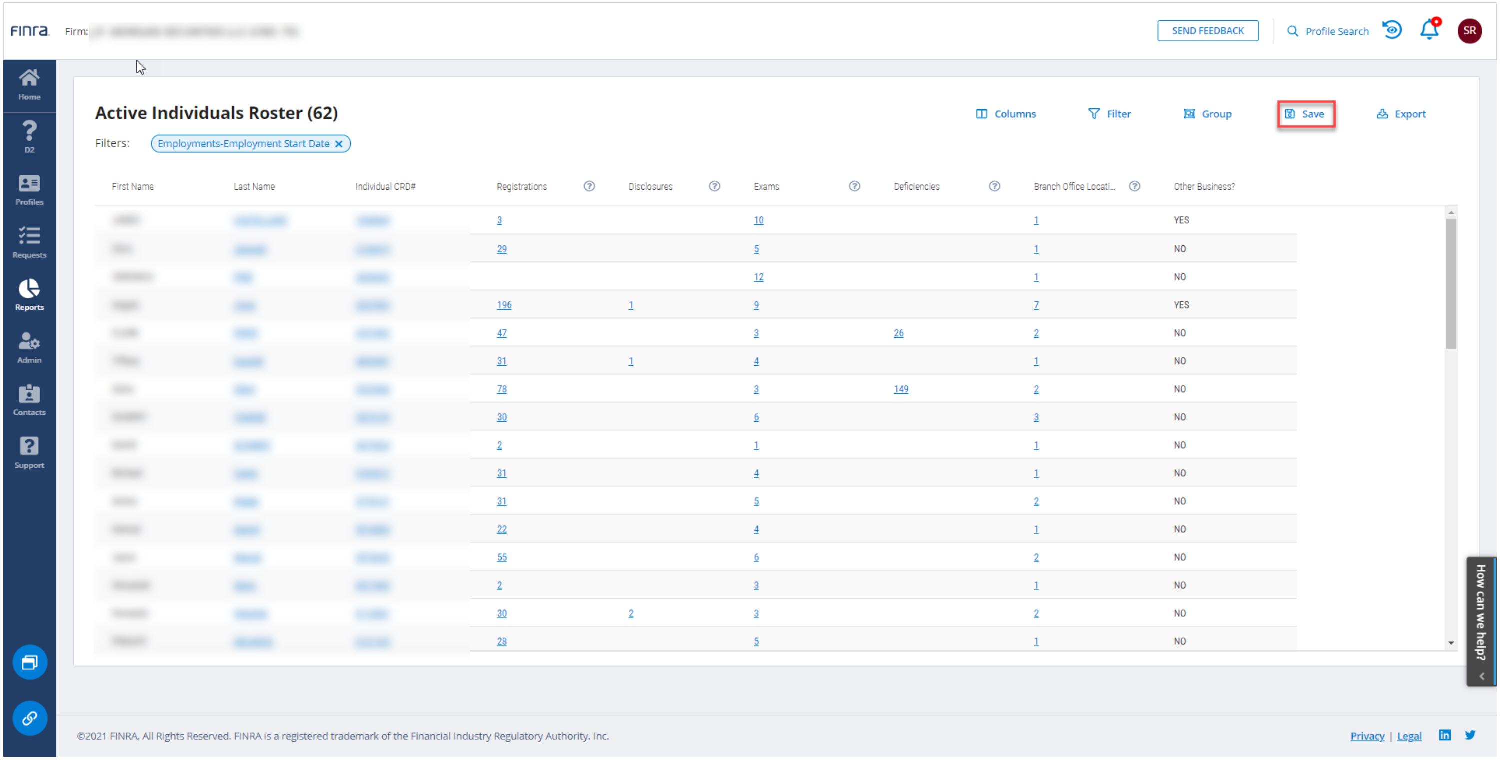
Repeat that process to select the **residential address end date** and set to **Is Null** and **Apply Filter**.



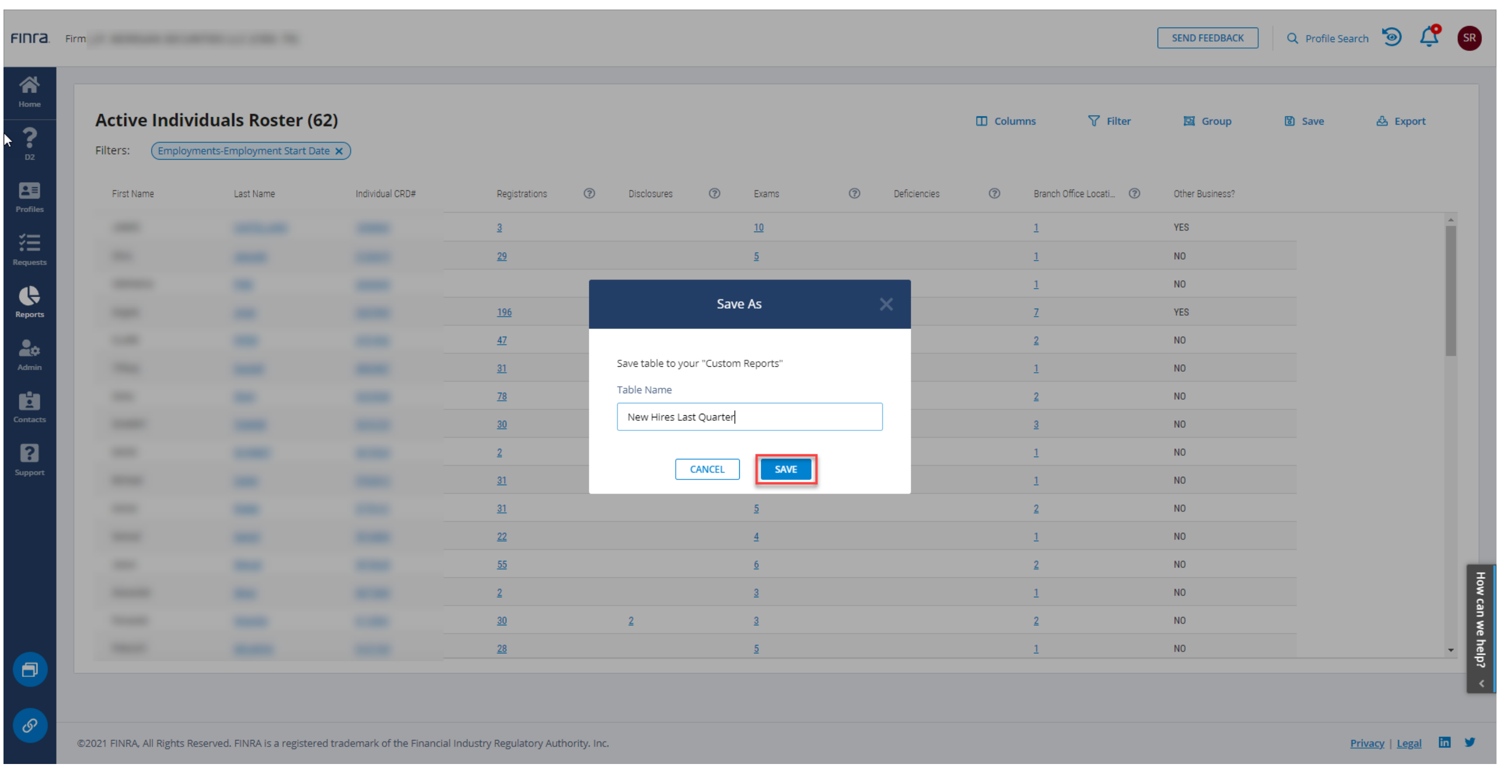
With the **Is Null** date filter applied, the report will only contain the current residential addresses and branch locations since current locations will have no end date specified.

Save a Custom Report

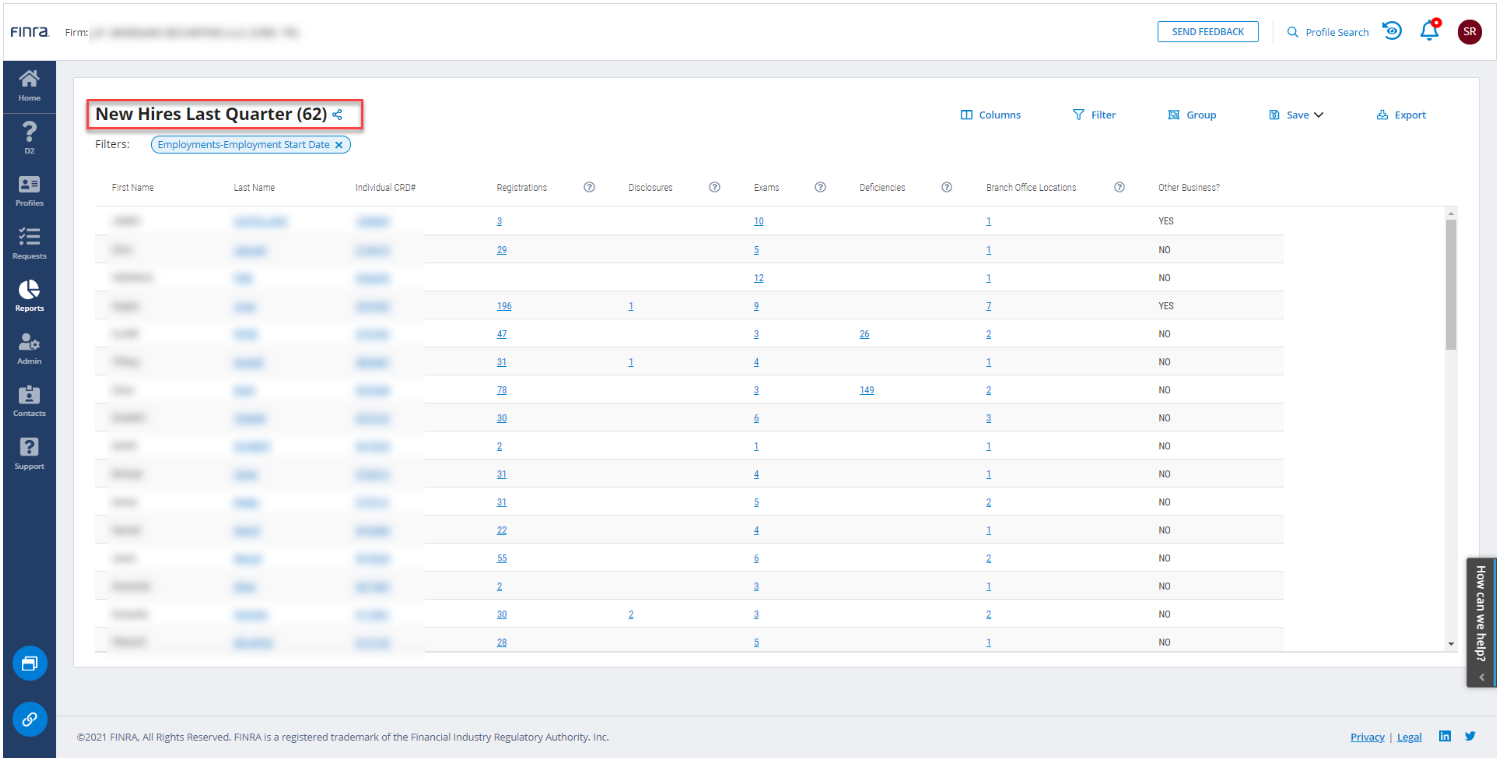
Use the **Save** tool to save your settings.



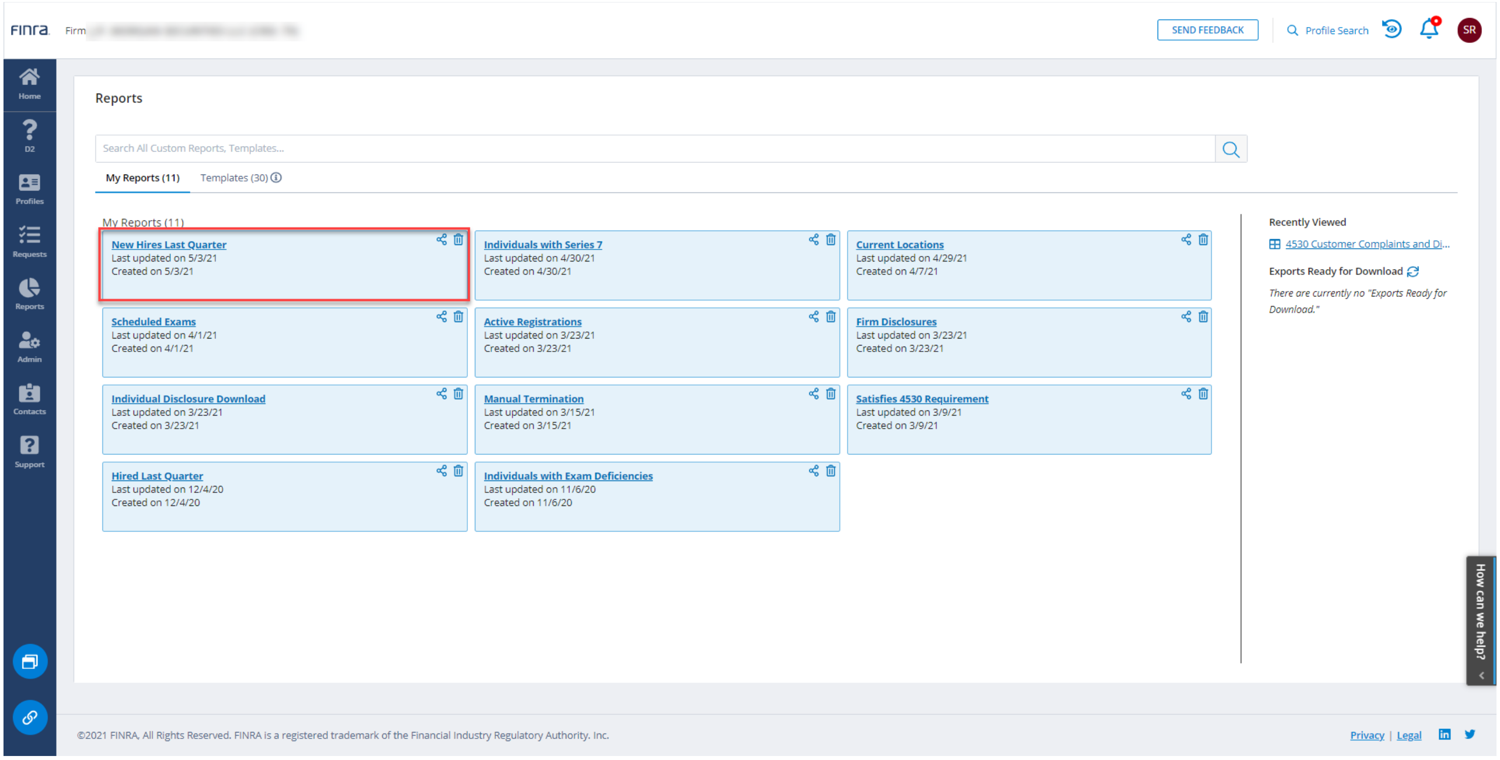
Within the **Save** tool, you can specify a name for your report. You can use letters, numbers and hyphens when creating a report name. Pick a name to reflect the type of report you created. Once you have named your report, click **Save**.



After you save the template, the title of the template will change to the name you specified when you saved it and the **Share** icon will appear next to the custom template name.



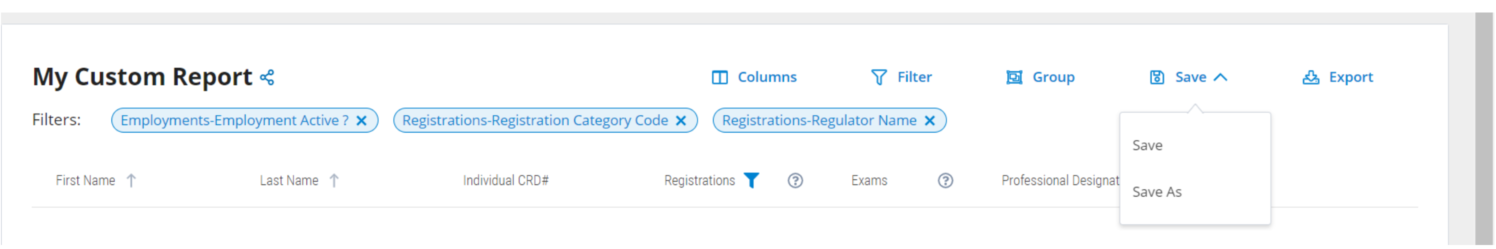
Next time you log into **Reports**, you will see your saved template in the **My Reports** section.



When you open the saved template, it will contain the most up-to-date data available. If you applied a relative date range filter, the filter will calculate based on the current date.

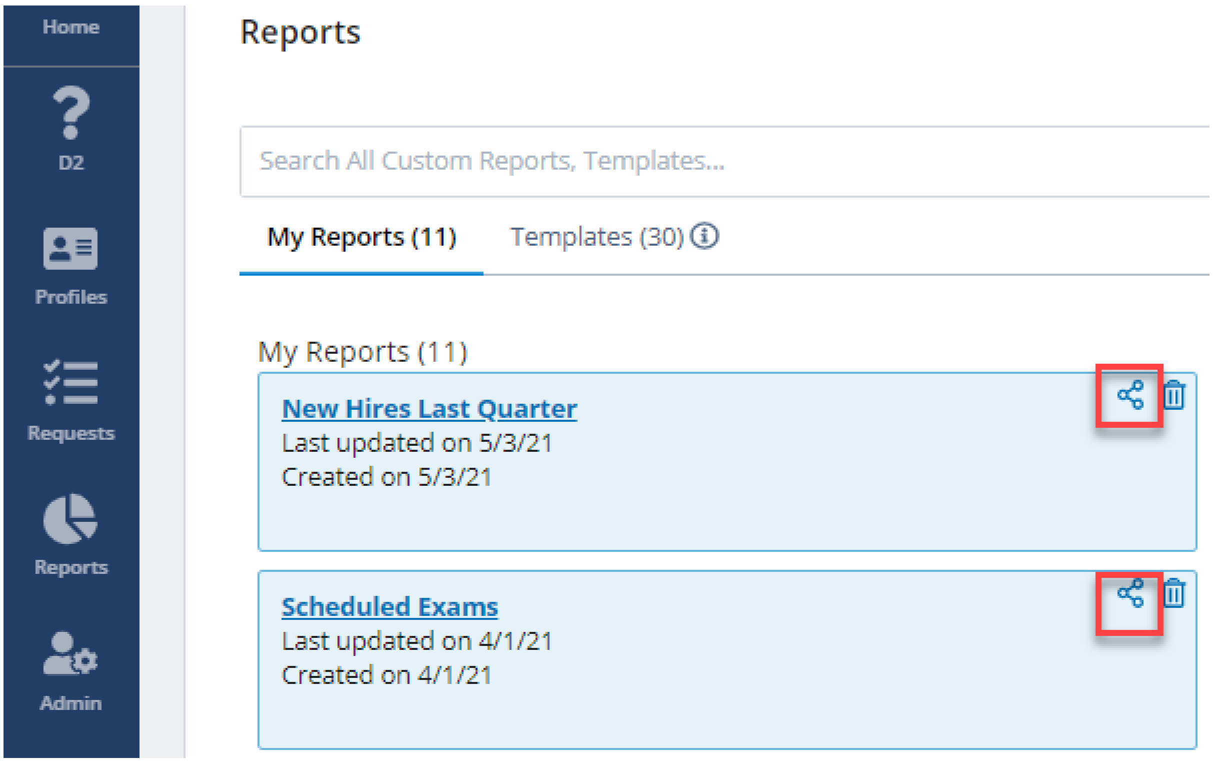
Save As

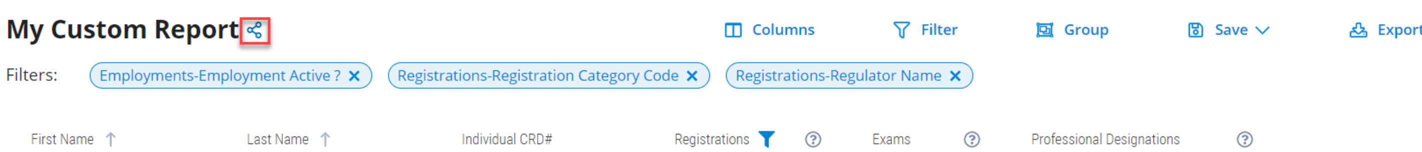
The **Save As** feature is helpful when you want to make iterations of a custom report. When you open a custom report and click on **Save** you will have an option to **Save** or **Save As**. If you choose the **Save** option, it will save any changes you made to the existing custom report. If you choose **Save As** you will be prompted to enter a new report name and will not overwrite the current custom report.



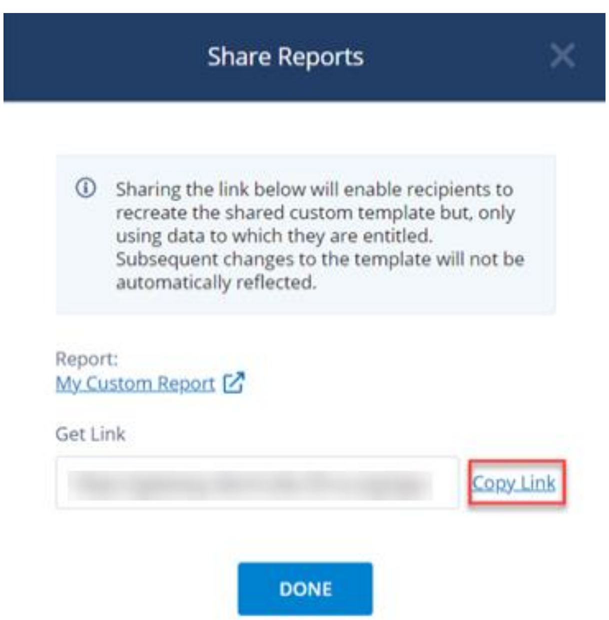
Share a Custom Report

You can share any custom report you create with other FINRA Gateway Report users by using the **Share** feature. The **Share** feature can be accessed next to any custom report in the My Custom Reports section or next to the report title when viewing a custom report.





When you click on the **Share** icon, you will have an option to copy a link.

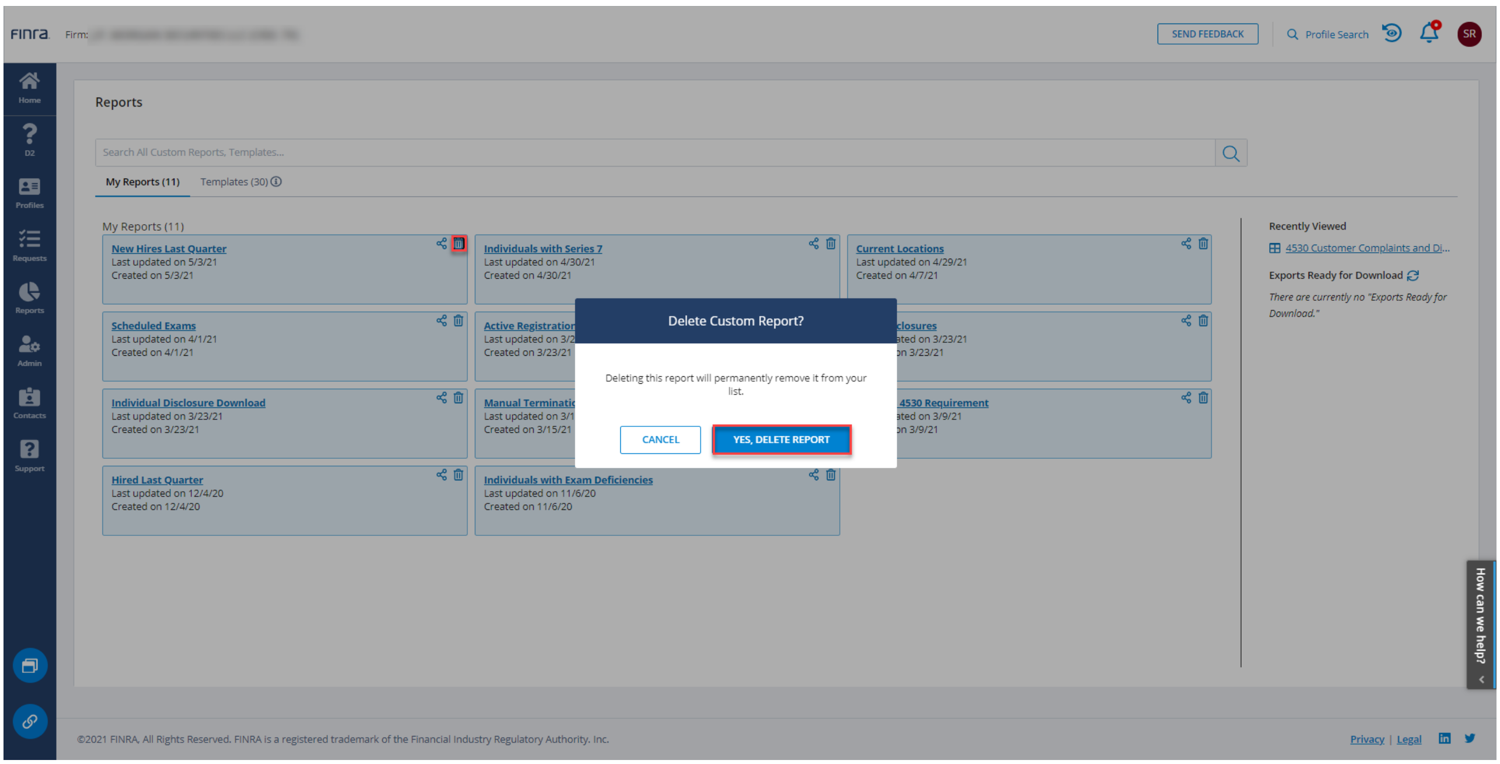


Once you have copied the link, you can paste that link into an email message. When the recipient of the message clicks that link, they will load the custom report settings you shared with them using their data. They can then save the settings as their own custom report. Only settings are shared, not data, so you can share custom reports with people outside of your firm.

If you make changes to a custom report that you shared with others, the recipient of the shared report will have to re-click the link you shared previously to load the new settings and save the custom report.

Delete a Custom Report

To delete a custom report, click the **trash bin icon** on the report you wish to delete. You will be asked to confirm that you want to delete that report.

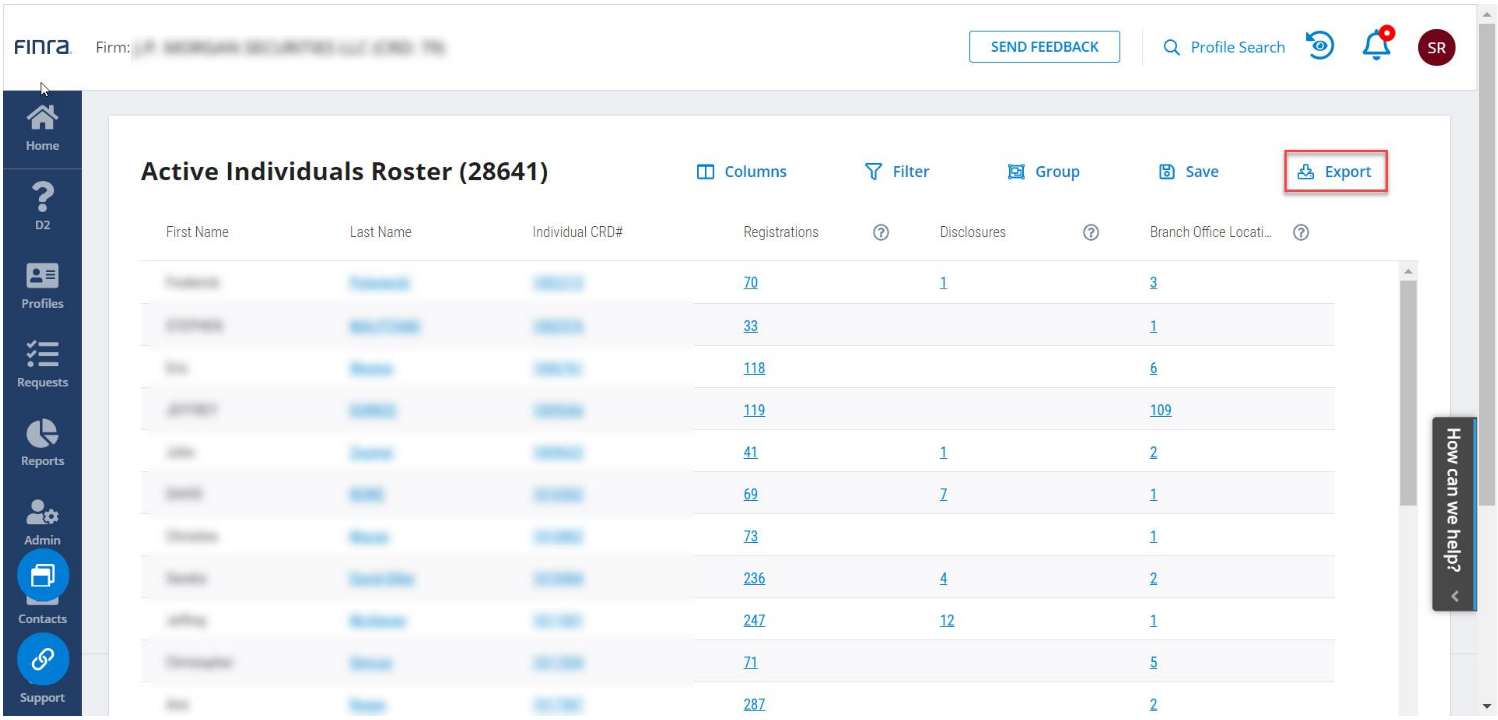


Exporting the Report

Use the Export tool to download report data into a zip archive containing one or more CSV files.

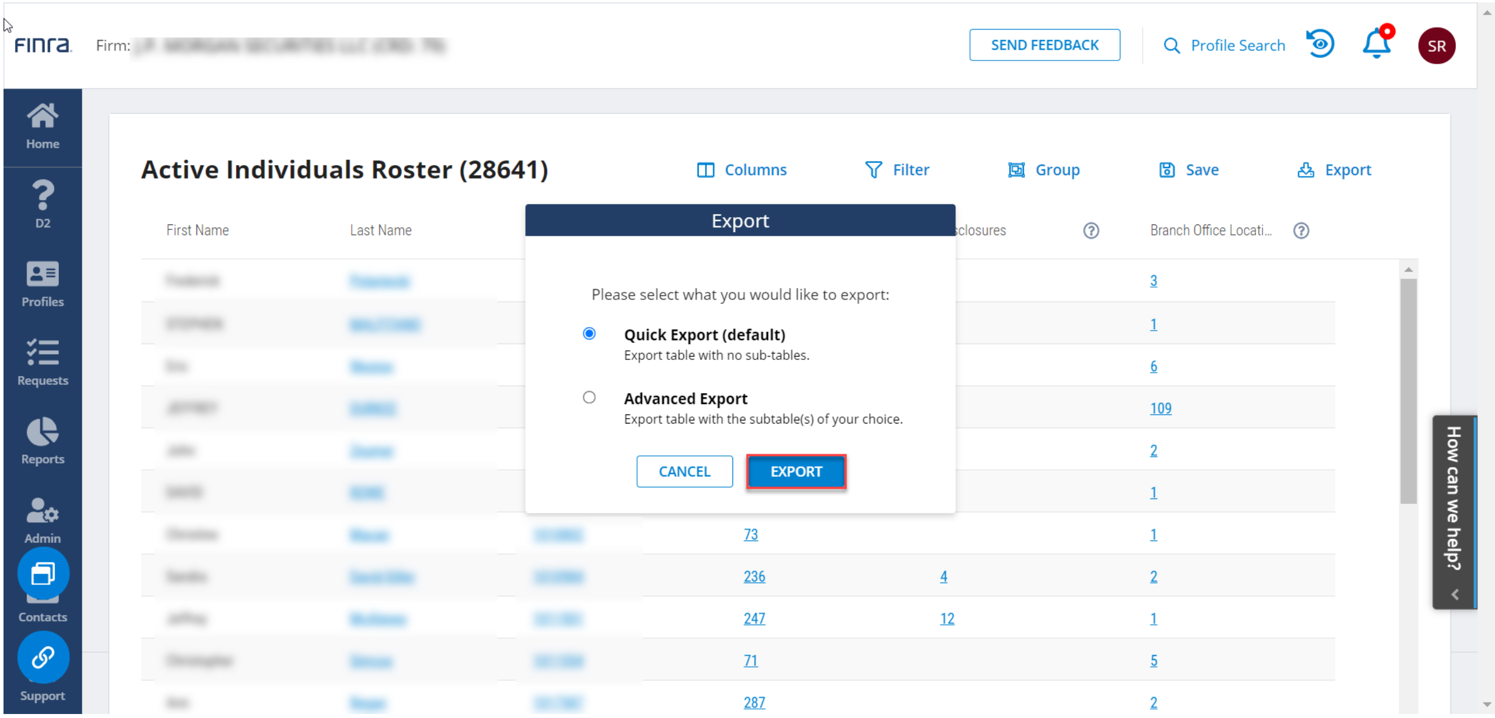
We recommend you filter down the data to include only the records you need prior to exporting. The smaller the data set you export for download, the quicker the processing time. For example, to speed download time you can remove any unnecessary columns from your view.

To get started with export, open a template and click the **Export** tool.

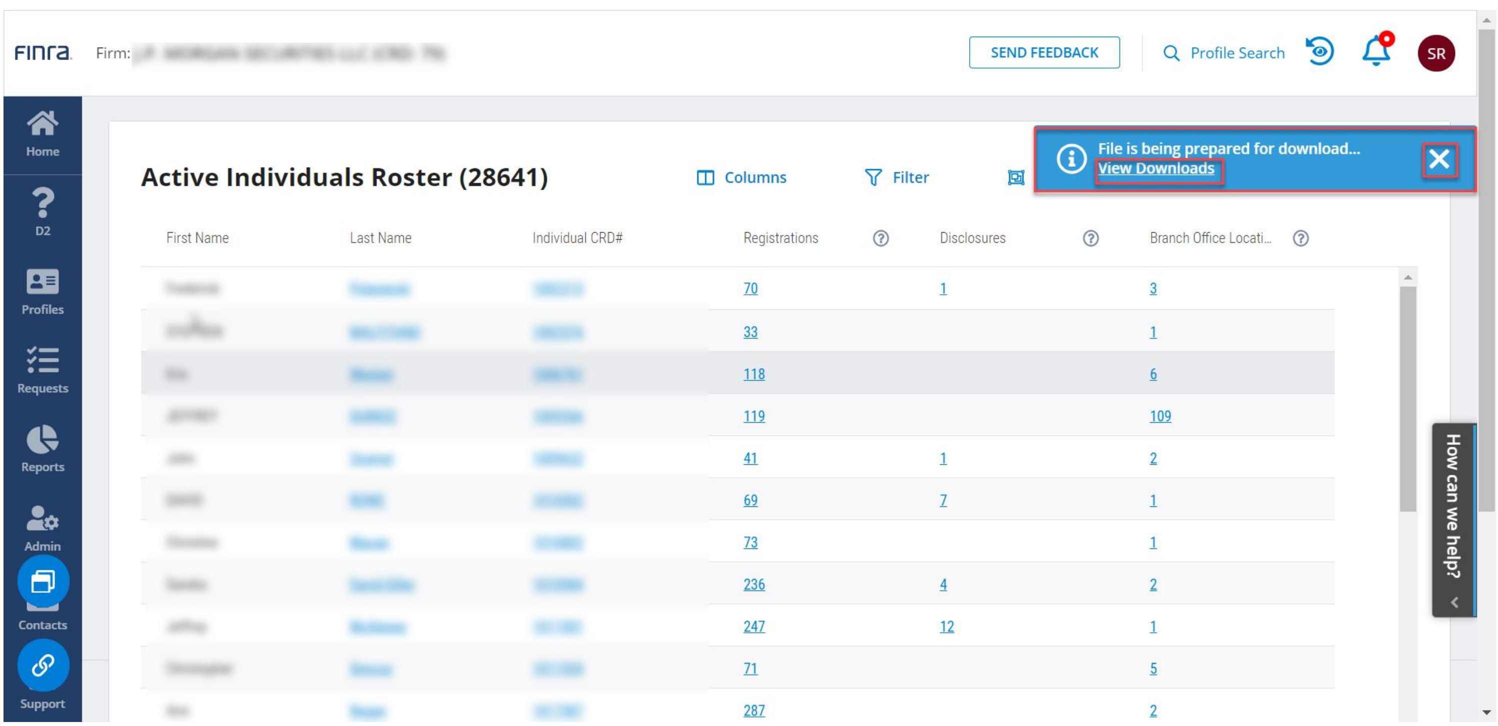


Quick Export

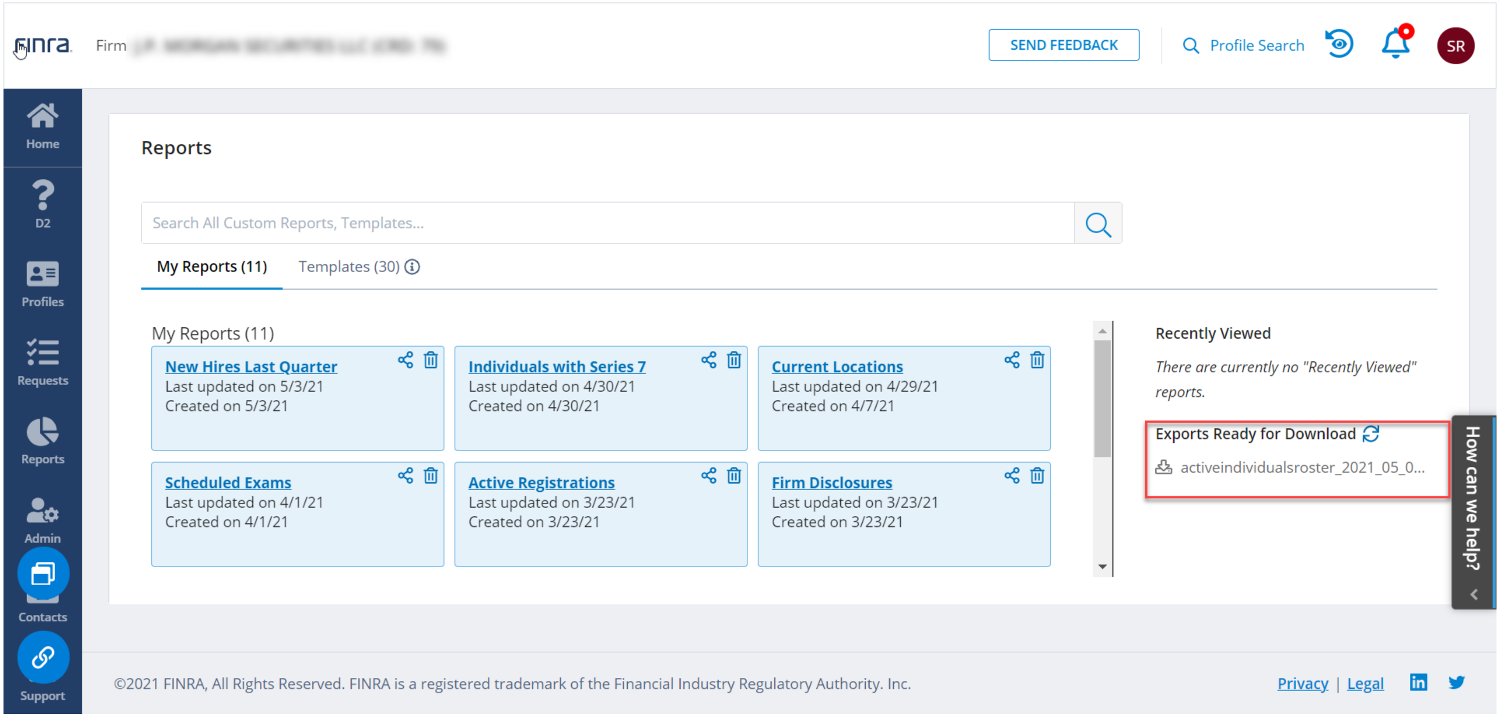
By default, the option **Quick Export** will be selected. **Quick Export** will export the table as it appears on the screen. It will not include the data in subtables in the file export. Click **Export** to continue with **Quick Export**.



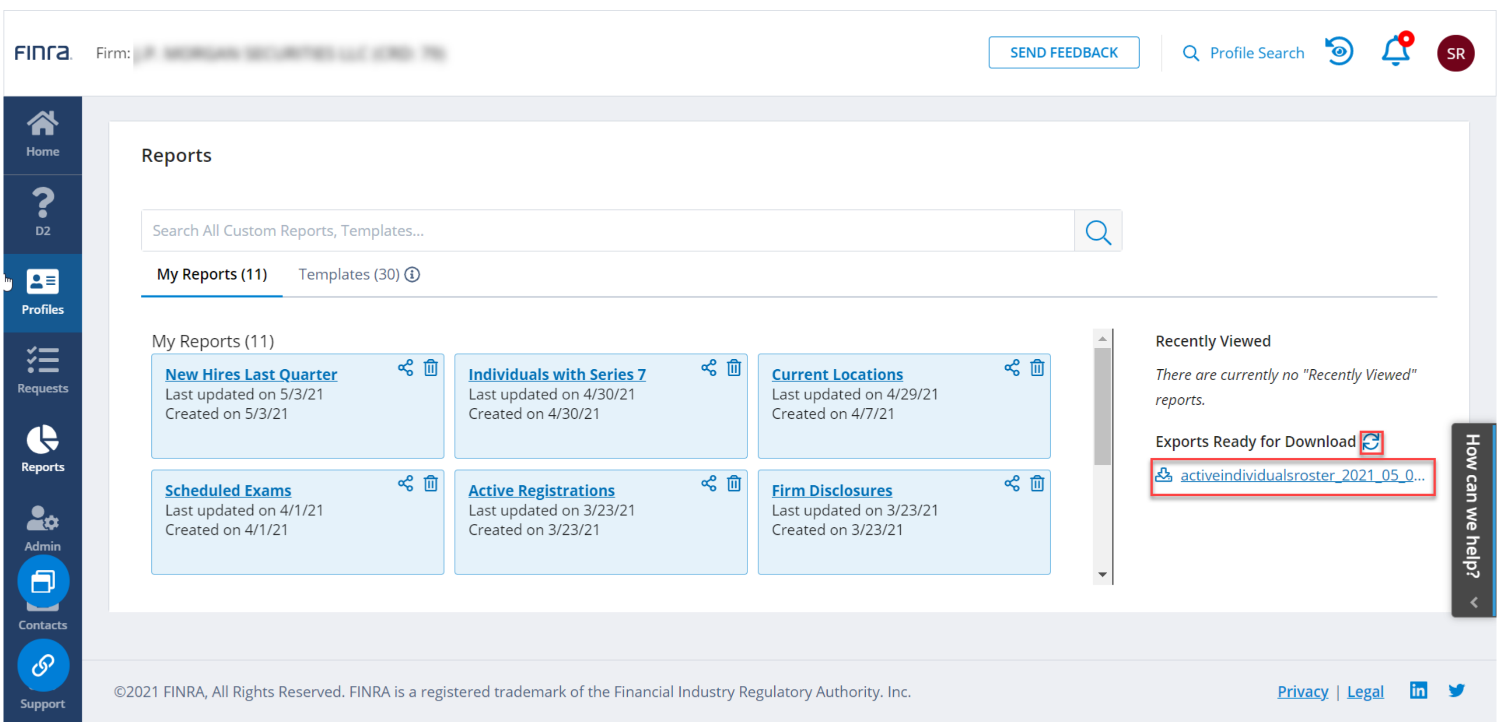
After clicking **Export**, a confirmation message will appear at the top right of the screen letting you know the export is being prepared. Click the **View Downloads** link to go to the main Report tab to download the zip archive of the exported file. Click the **X** to close the confirmation message.



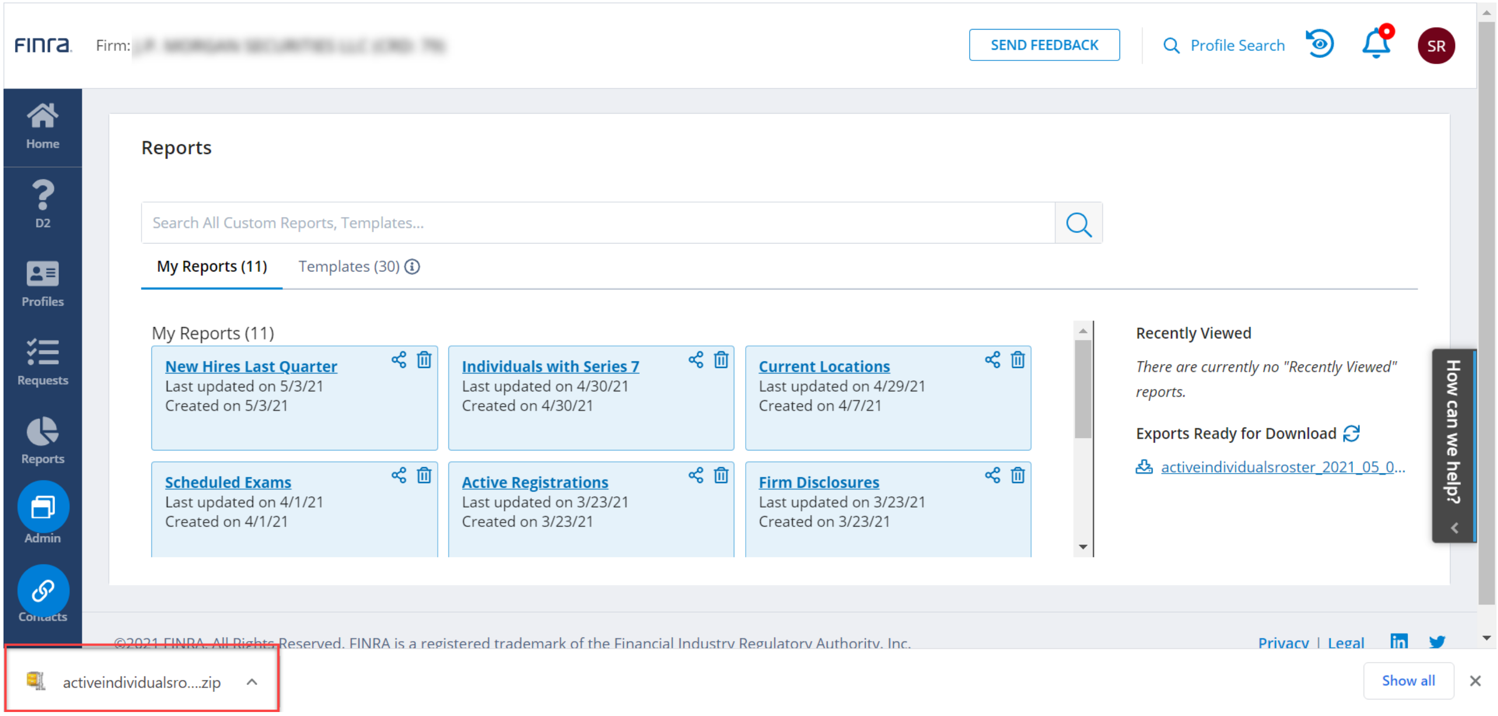
On the main **Reports** page, there is a section for **Exports Ready for Download** in the right margin. Files that are being prepared for export will appear in grey text. When the file is ready to download, it will appear as a blue hyperlink.



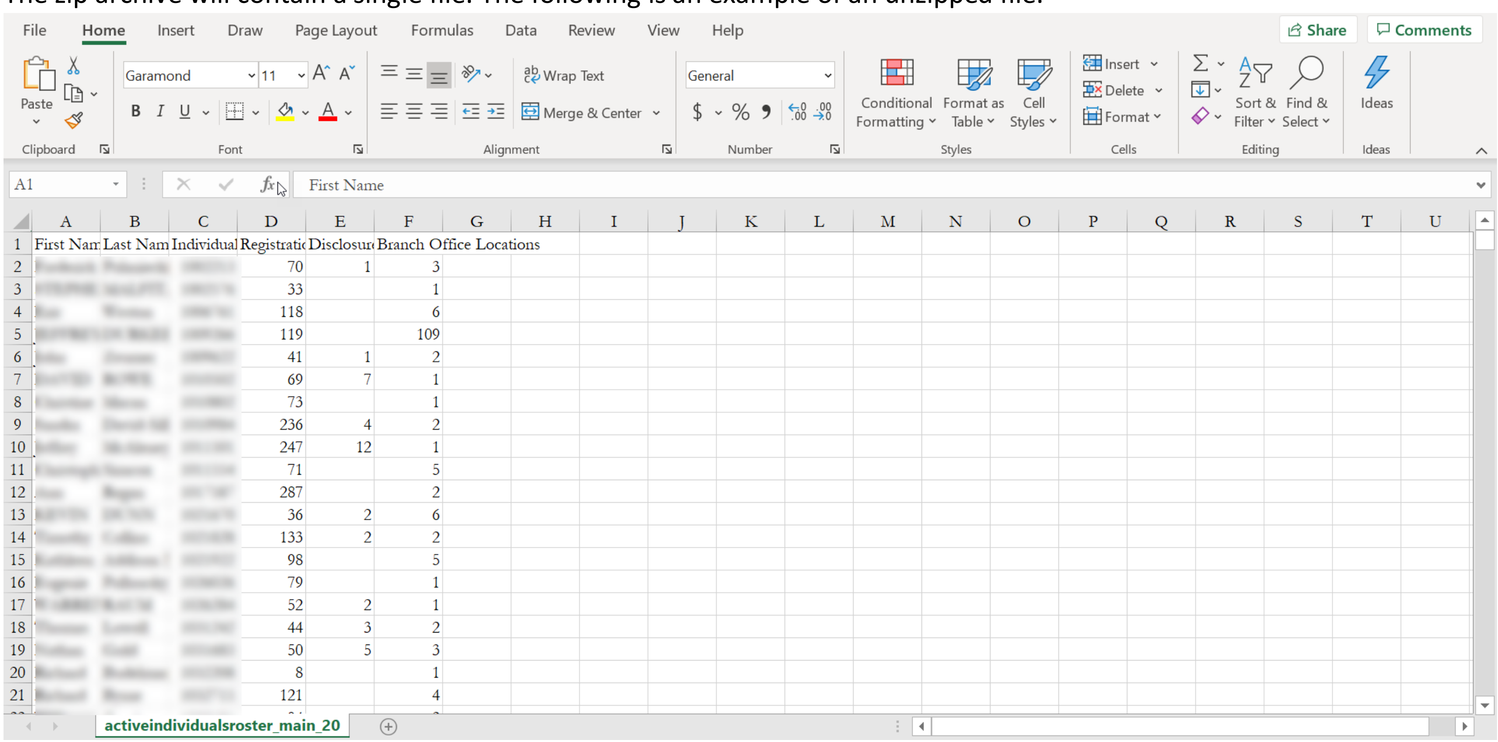
Large files may take several minutes to appear ready for download. Use the **refresh icon** by the **Exports Ready for Download** title or on your browser to refresh your view to see if the link is ready. You have up to 24 hours to come back and pick up an exported file. Click the link to download the file once ready.



The file will download as a zip archive. Click to unzip the file. If more than one file is ready for download, the files will be sorted by descending order with the newest file at the top of the list.



The zip archive will contain a single file. The following is an example of an unzipped file.

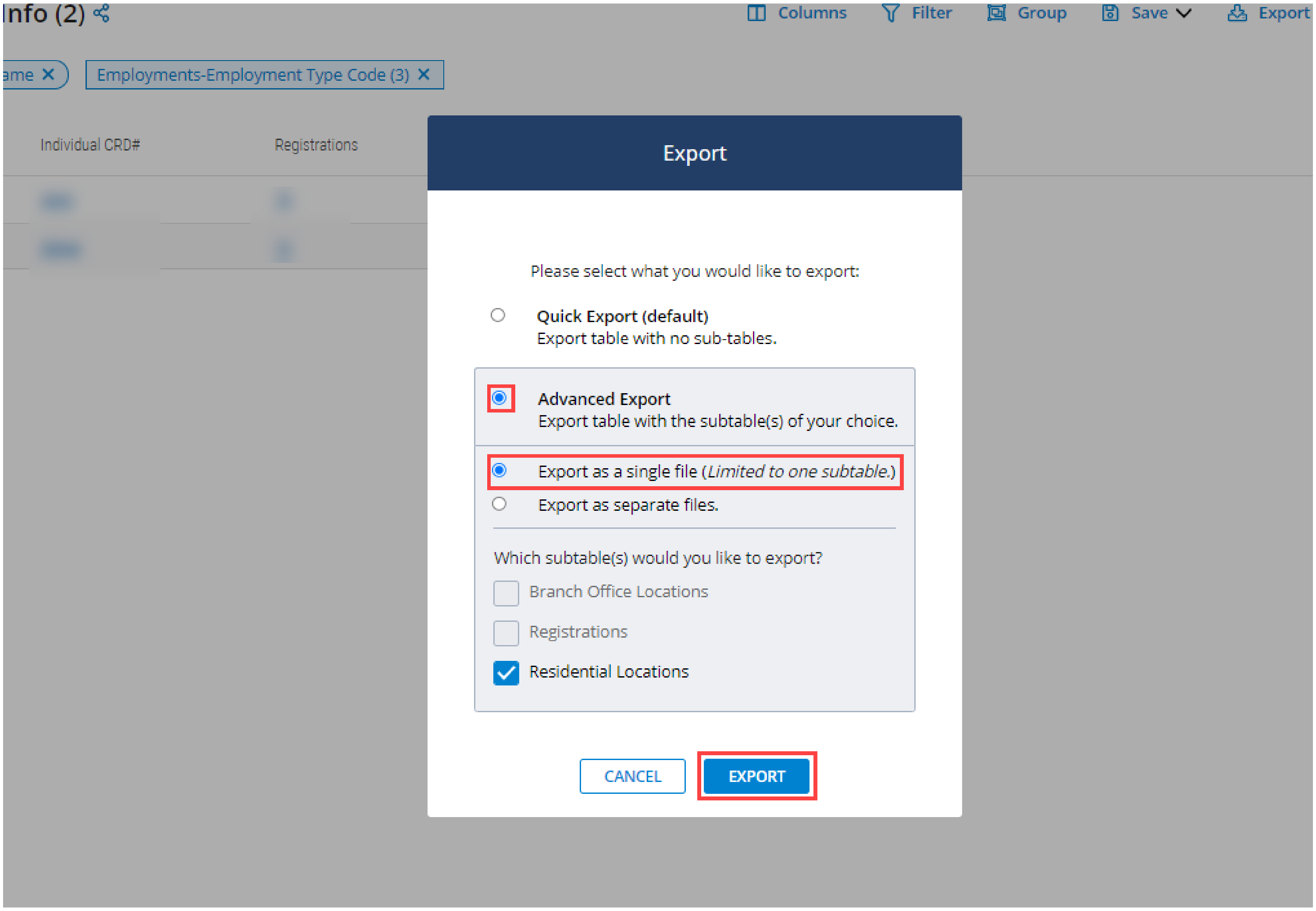


Advanced Export

Choose the **Advanced Export** option to select one or more subtables to include in your export. You can export the main table and one additional table using a single file export option. If you want to export more than the main table and one subtable, use the separate files export option.

Single File Export

After clicking on the **Export** tool, choose the **Advanced Export** option. Within the Advanced Export tool, choose Export as a single file.



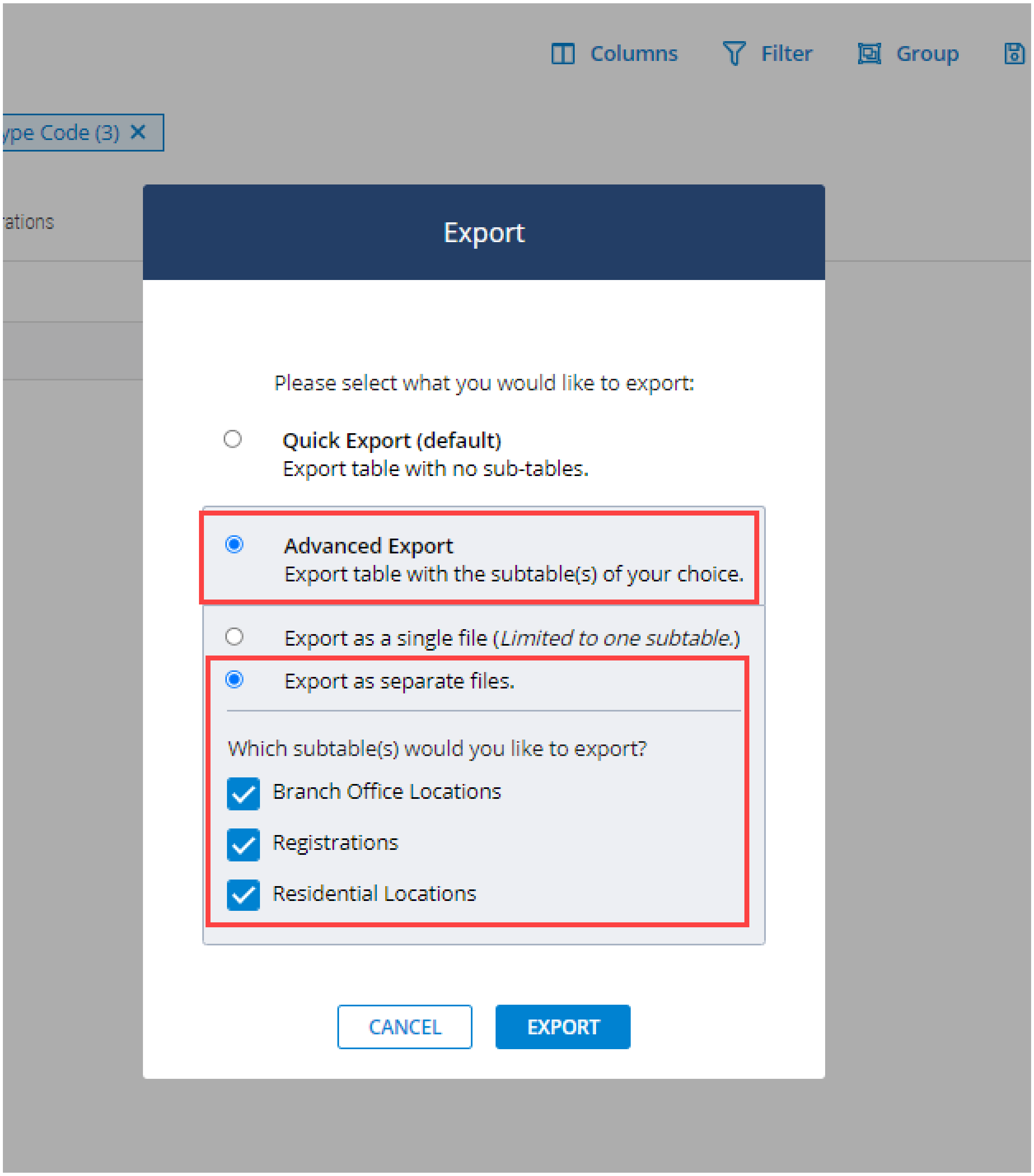
If you choose the option to export as a single file, you can select one subtable to include in your export. Once you choose one subtable, the other subtable options will not be selectable. Once you have selected the subtable you want to include, click the Export button to start the file download. The export process is the same for **Advanced Export** as it was in **Quick Export** in that a confirmation message will appear, the file will be prepared for download, and you have 24 hours to pick up the exported file for download from the **Exports Ready for Download** area of the **Reports** home page.

When more than one file is on the Reports home page, the newest download will appear at the top of the list.

Separate Files Export

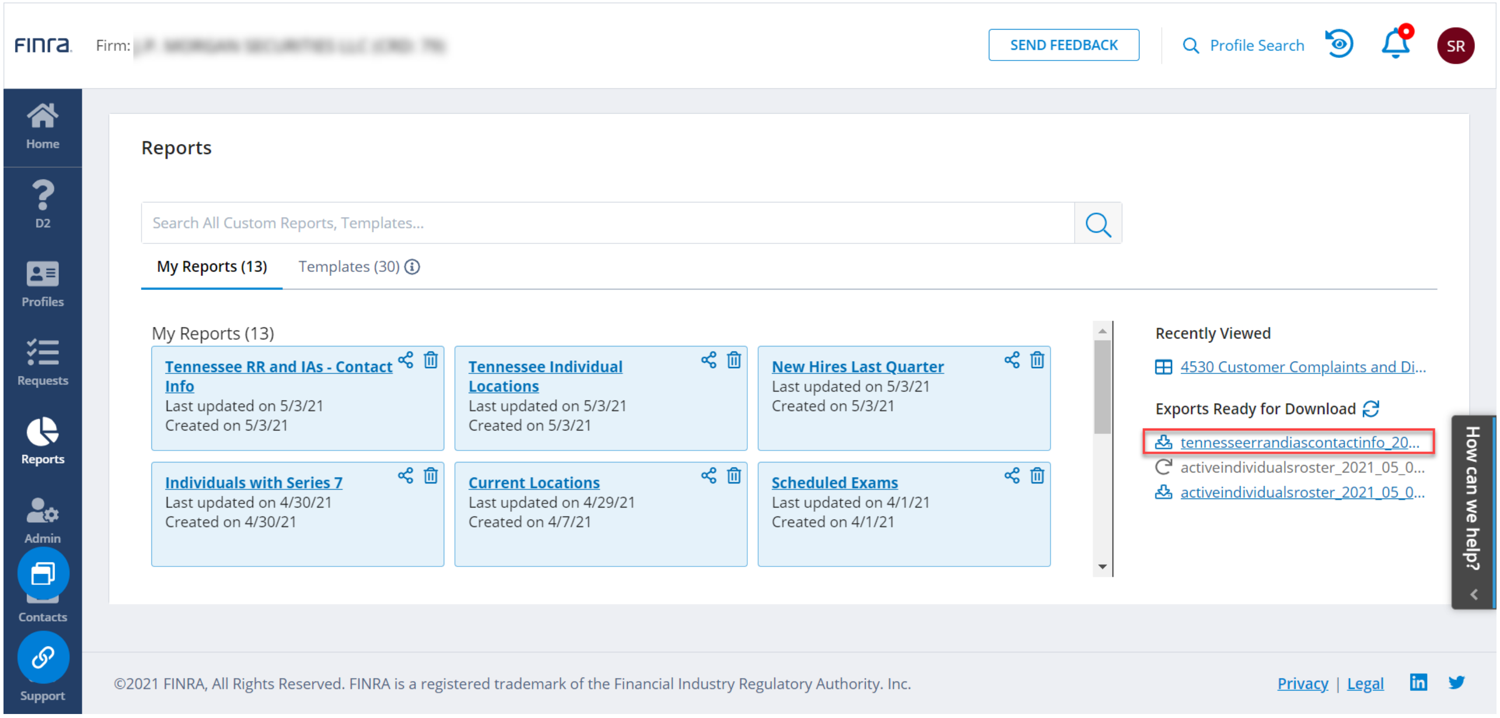
If you want to export the main table and more than one additional subtable, choose the **Export as separate files** option within **Advanced Export**.

Choose the subtables you want to include. You will be able to choose as many subtables as you like.

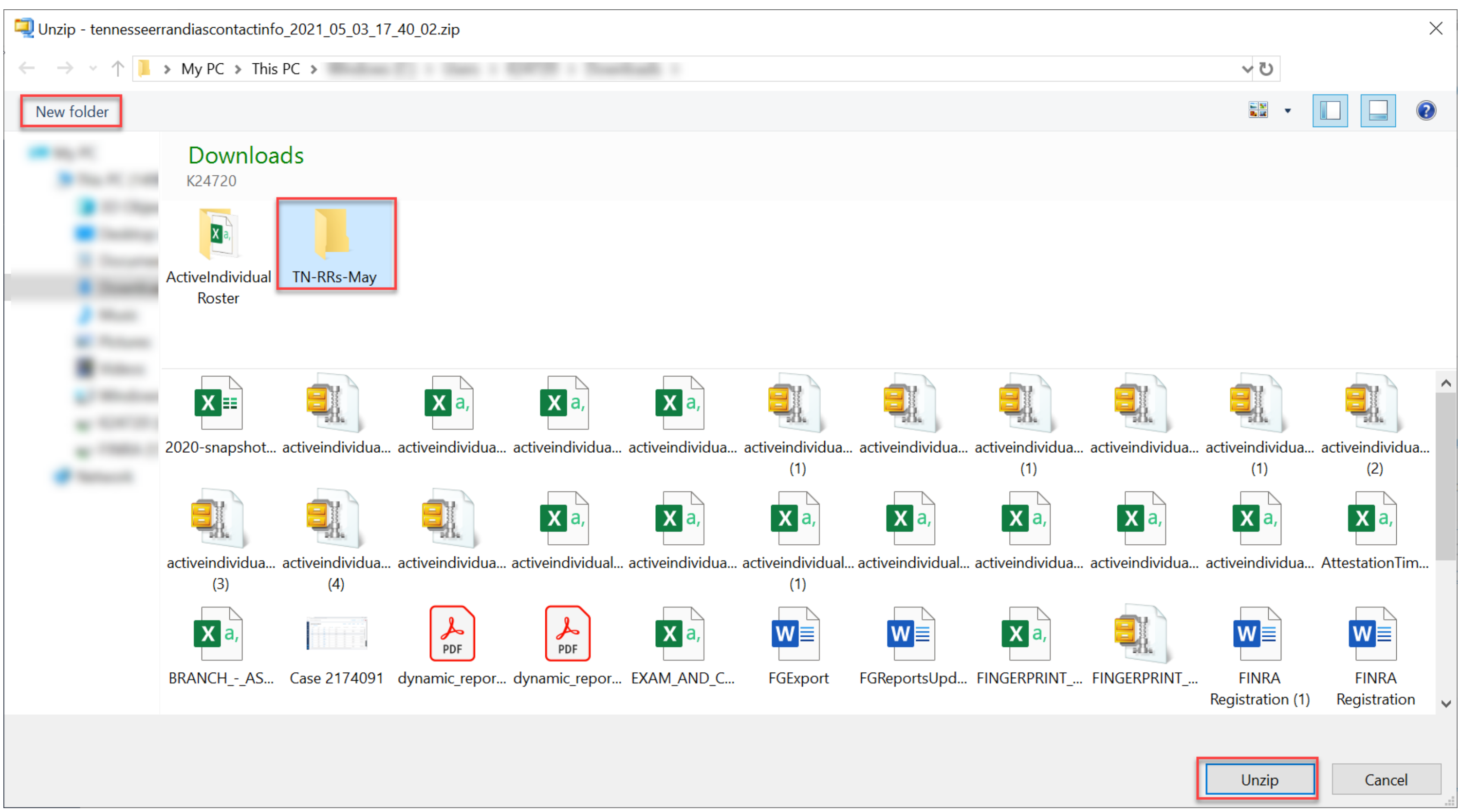


Click **Export**.
The export process is the same for **Advanced Export** as it was in **Quick Export** in that a confirmation message will appear, the file will be prepared for download, and you have 24 hours to pick up the exported file for download from the **Exports Ready for Download** area of the **Reports** home page.

When more than one file is on the Reports home page, the newest download will appear at the top of the list.

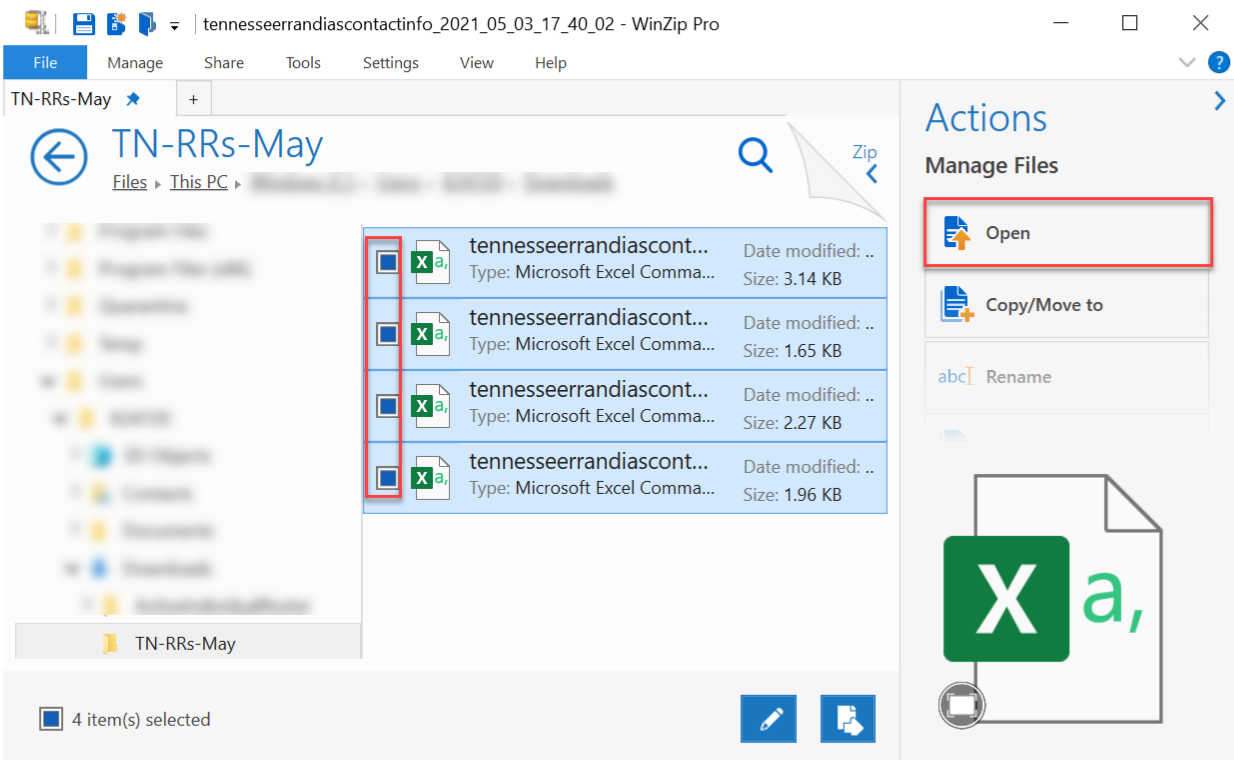


The zip archive will contain one CSV file for each table included in the export. Create a new directory to unzip the archive to keep the files organized.

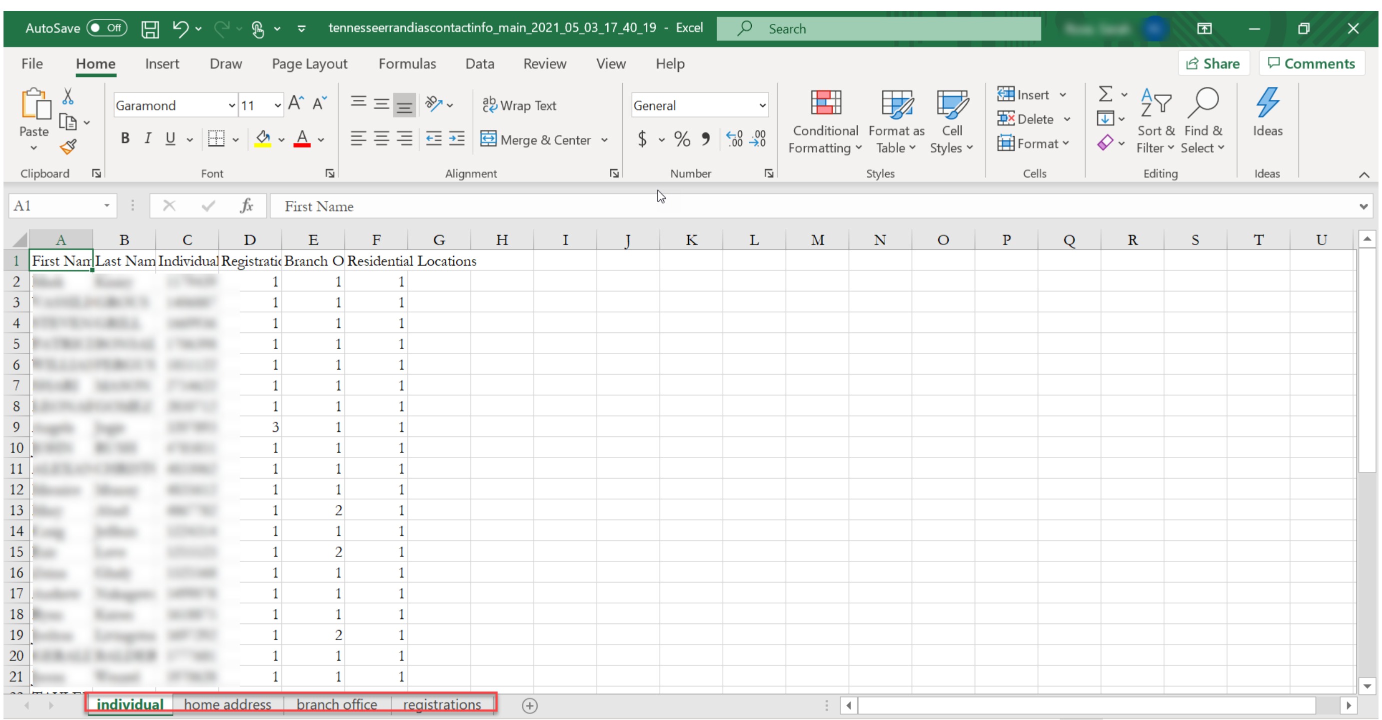


Combining Separate Files in One Workbook in Excel

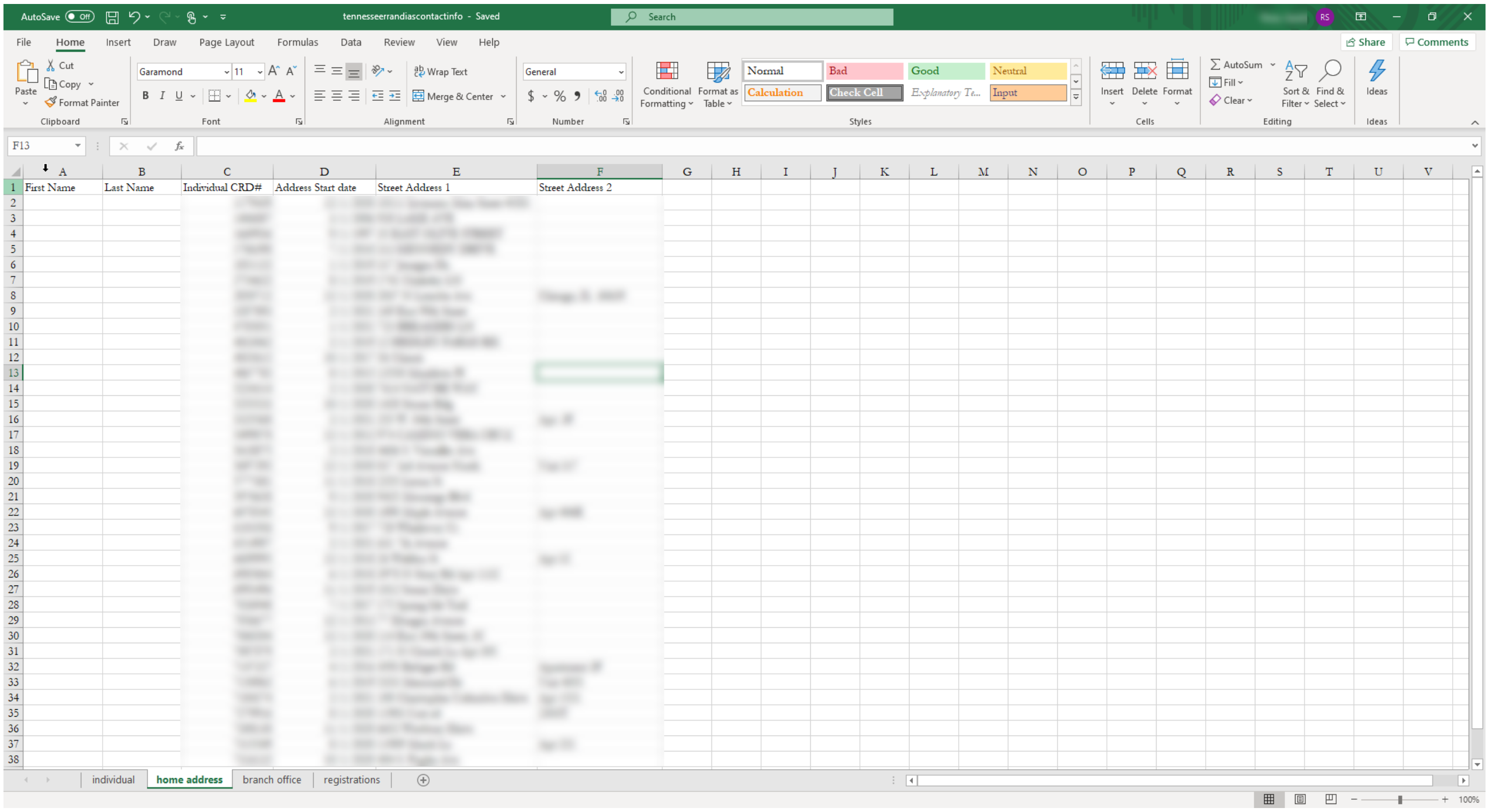
Open the extracted files in Excel.



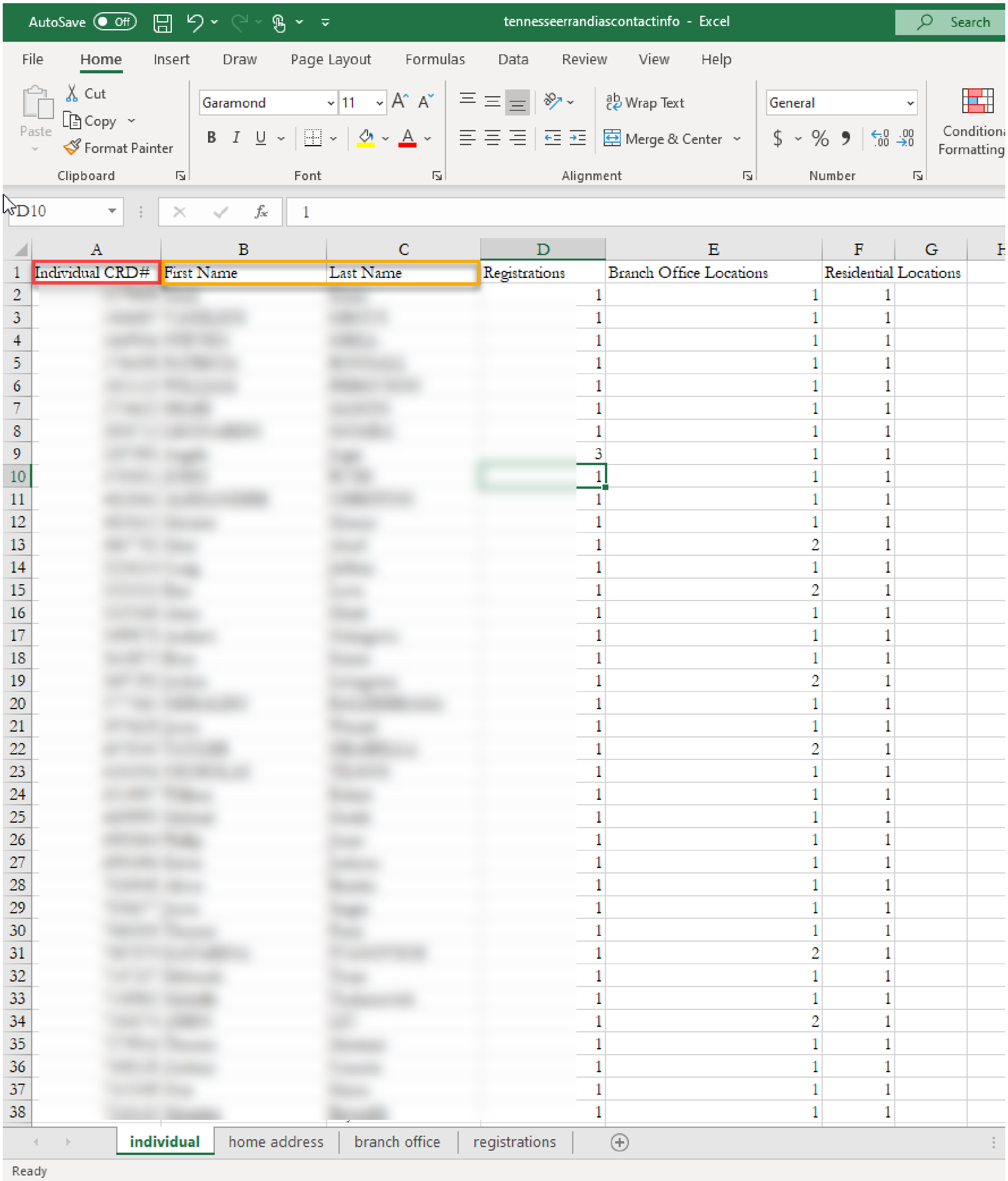
Copy the files as new tables into a single file. The new file you create will have the main table in one tab and all the subtables you exported in subsequent tabs.



Use the individual CRD number to create a [VLOOKUP in Excel](#) add the individual name to all the subtables you exported. To get started creating a VLOOKUP, insert two new columns for first name and last name on the table where you want to add them.



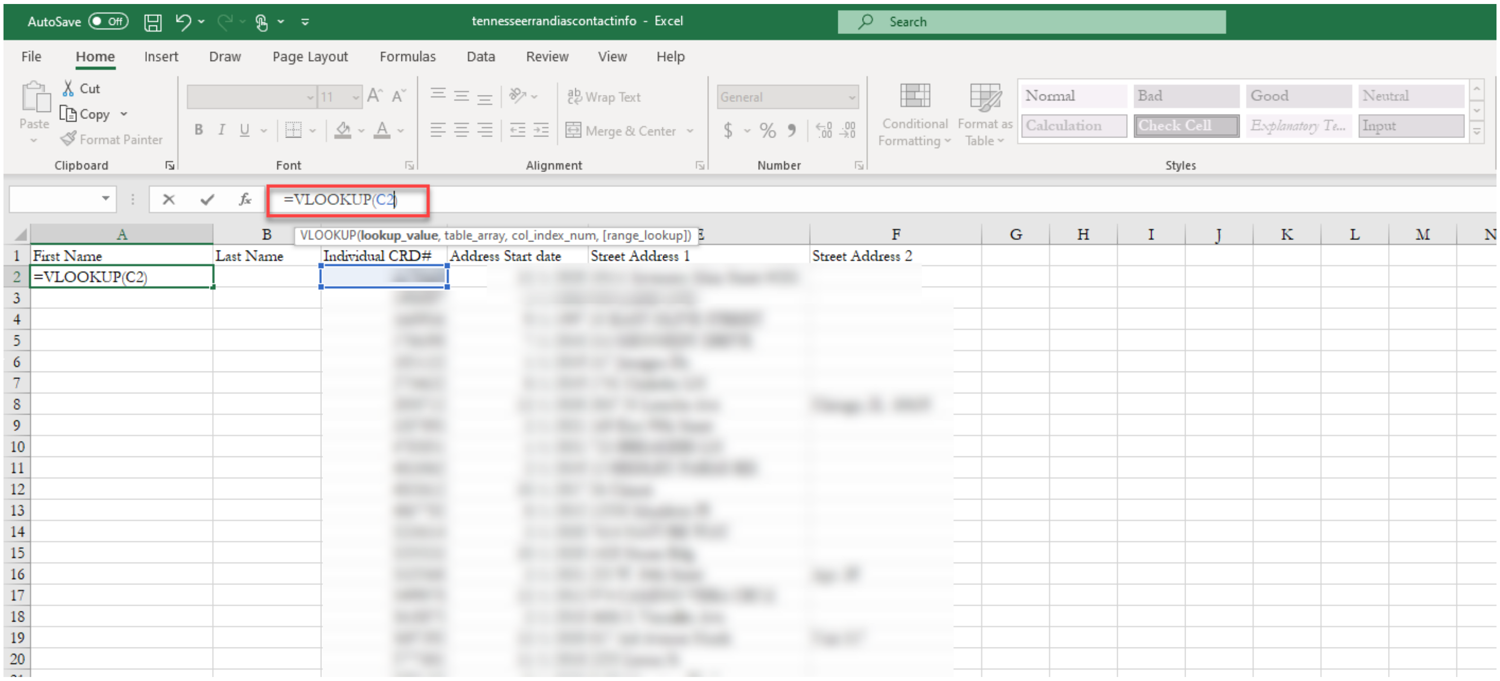
The data point we know (individual CRD ID) must be in a column that appears before the data we do not know (the individual's name) in the area we want to search (individual name and CRD ID on main table). You may need to reorder the Individual CRD ID column to come before first name and last name on the main table for the VLOOKUP function to work.



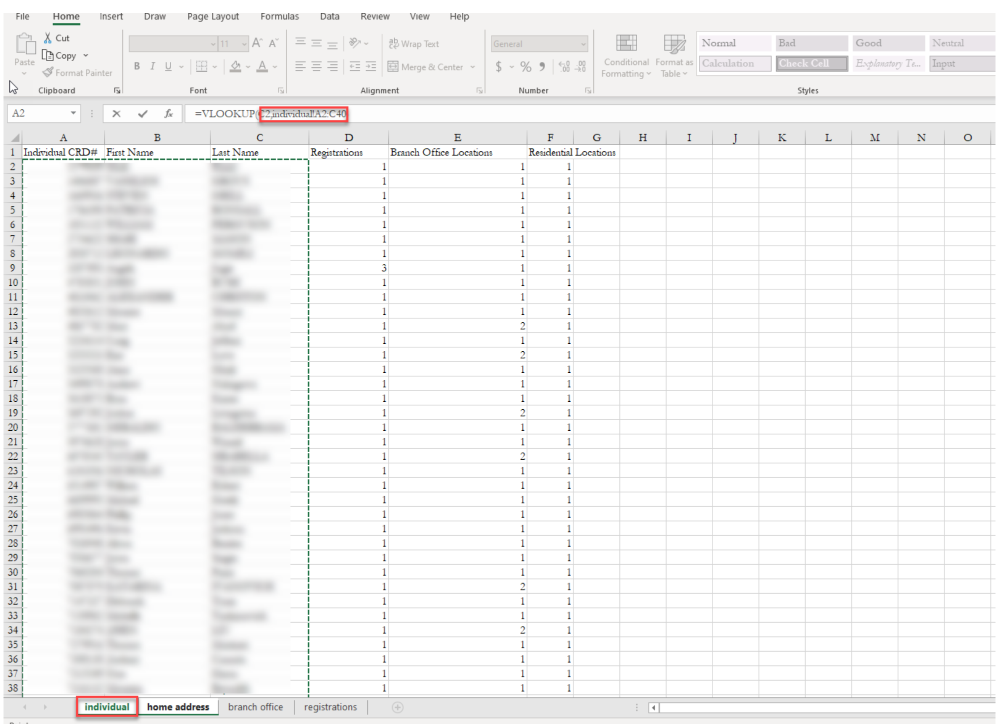
With your columns set up, put your cursor on the tab and cell where you want to add the first name. With that cell selected, type =VLOOKUP() in the function bar.

Within the parentheses we will type the formula.

The first piece of the formula is the cell location of the value we know. In this example, we know the individual's CRD ID, located in cell C2 on the tab where we want to add the individual's first name and last name.

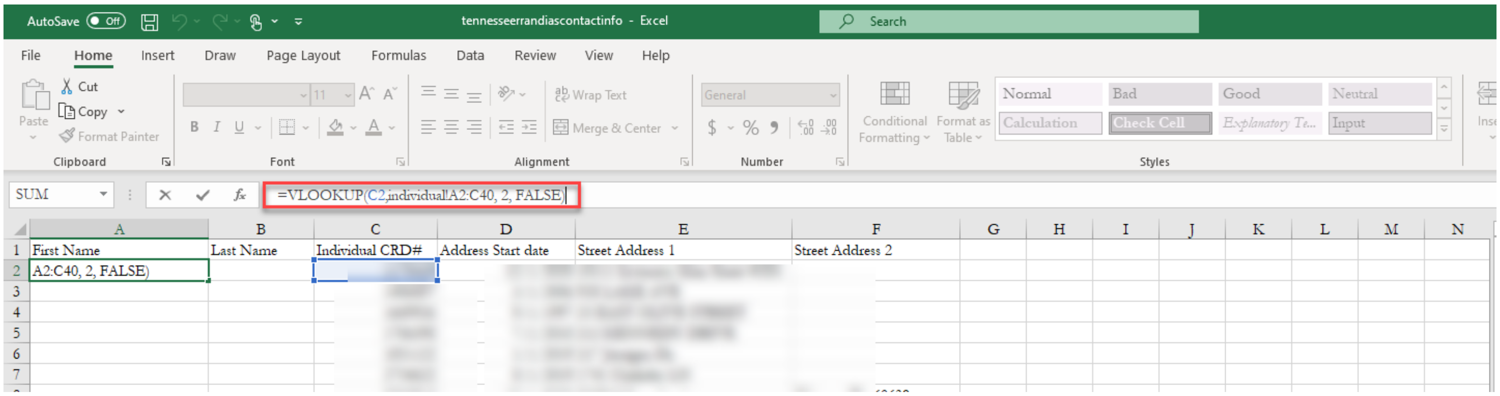


Next, we will add an apostrophe and enter the range of cells we want to search for the value we want to add. In this case, we want to search the CRD ID, first name and last name on the Individual tab, or main table. Add that information by navigating to the tab and selecting the cells you want to add.



Next, add a comma and the order number of the column in the search area that you want to get the value from. In this example, we want to get the value for first name. The column that holds the value for first name is the second column in the search area we specified. So, we add a comma and the number 2 to our formula

To finish the formula we need to indicate if we want a partial or exact match. We want an exact match, which we indicated in Excel by adding a comma and the word FALSE to the end of our formula.

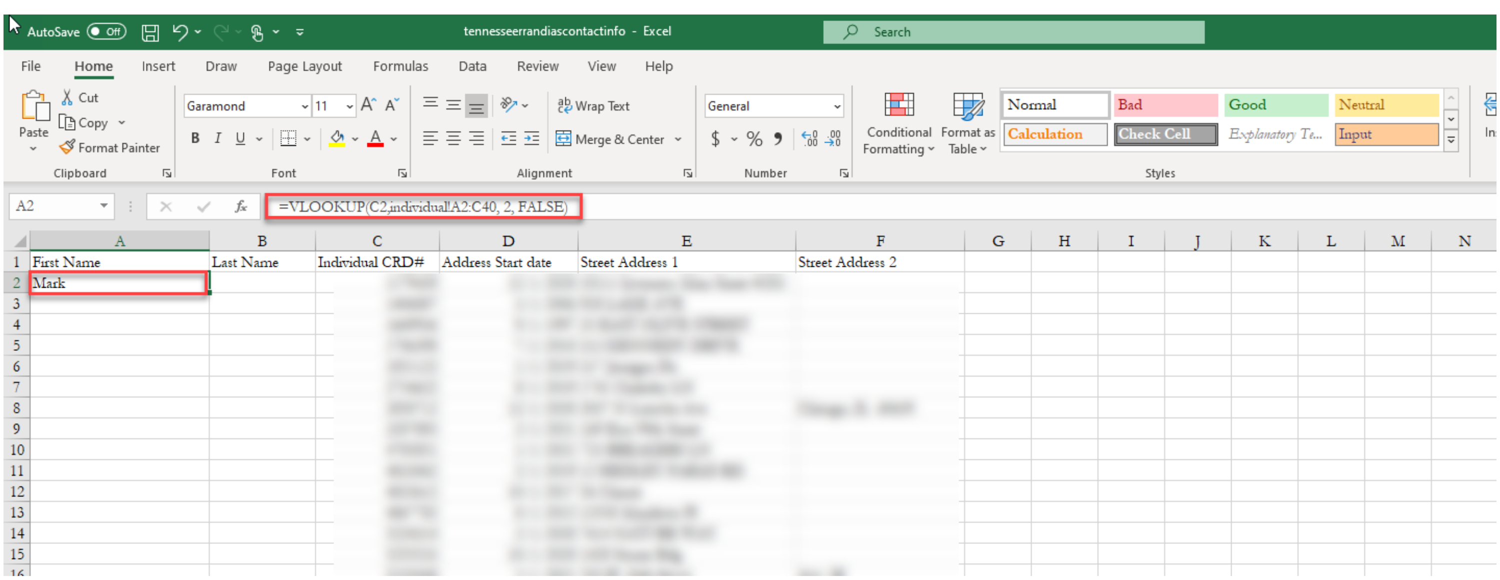


The final formula in this example is =VLOOKUP (C2,individual!A2:C40, 2, FALSE).

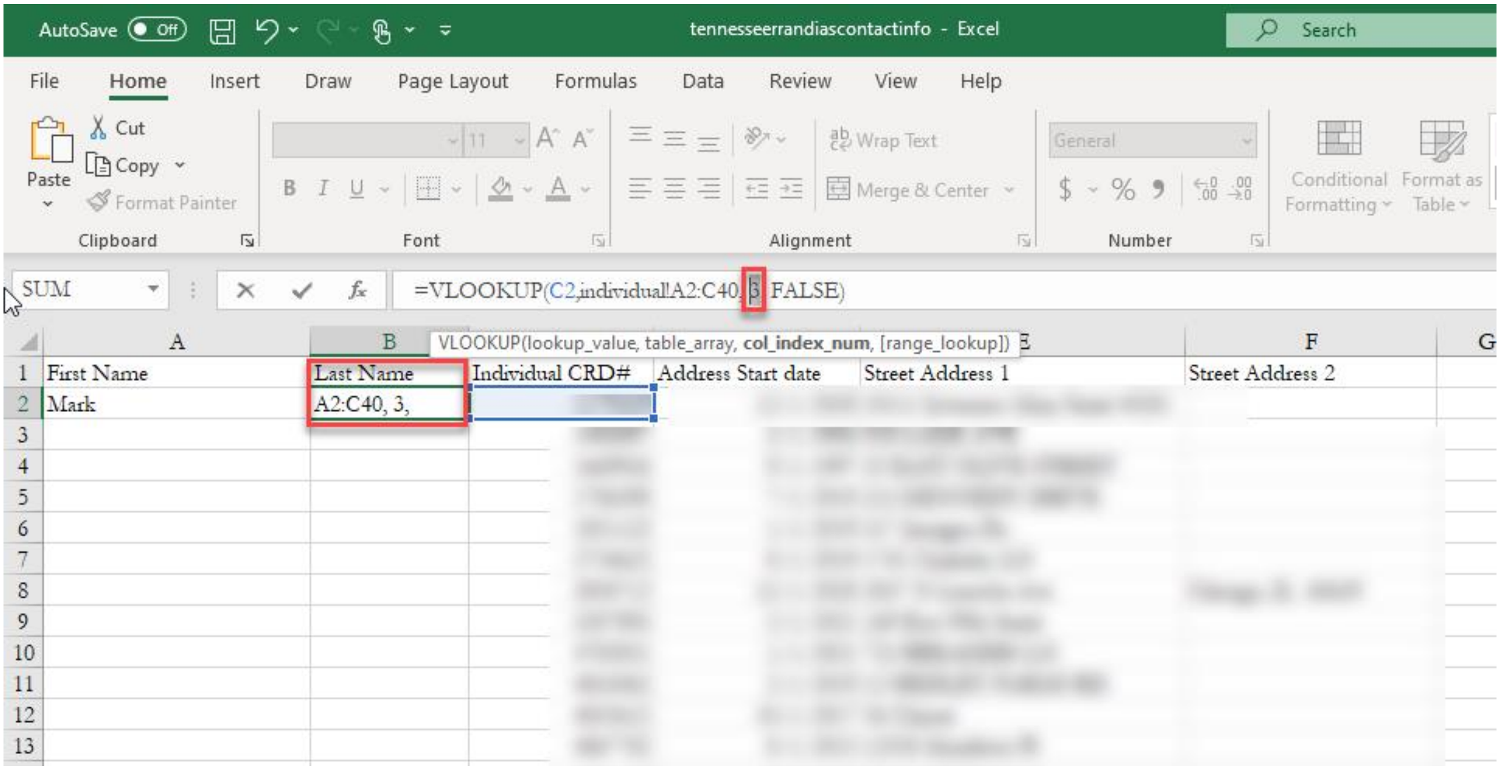
Let's review the pieced of this formula.

- =VLOOKUP – let's excel know we are entering a formula
- () – container for the formula
- C2 – location of the data we know, such as individual CRD ID
- Individual! – name of the tab that contains the area we want to search
- A2:C40 – range of cells we want to search
- 2 – order of the column in the search area that we want the value from (the thing we want to know)
- FALSE – we want an exact match to the CRD ID

When I hit enter, I will get the first name of the individual for the CRD ID on that row.



Now that we have a working formula, we can copy it from cell A2 into cell B2. To pull in the individual's last name, we change the column order from 2 to 3. Remember that number indicates the order of the column in the search area for the value you want.



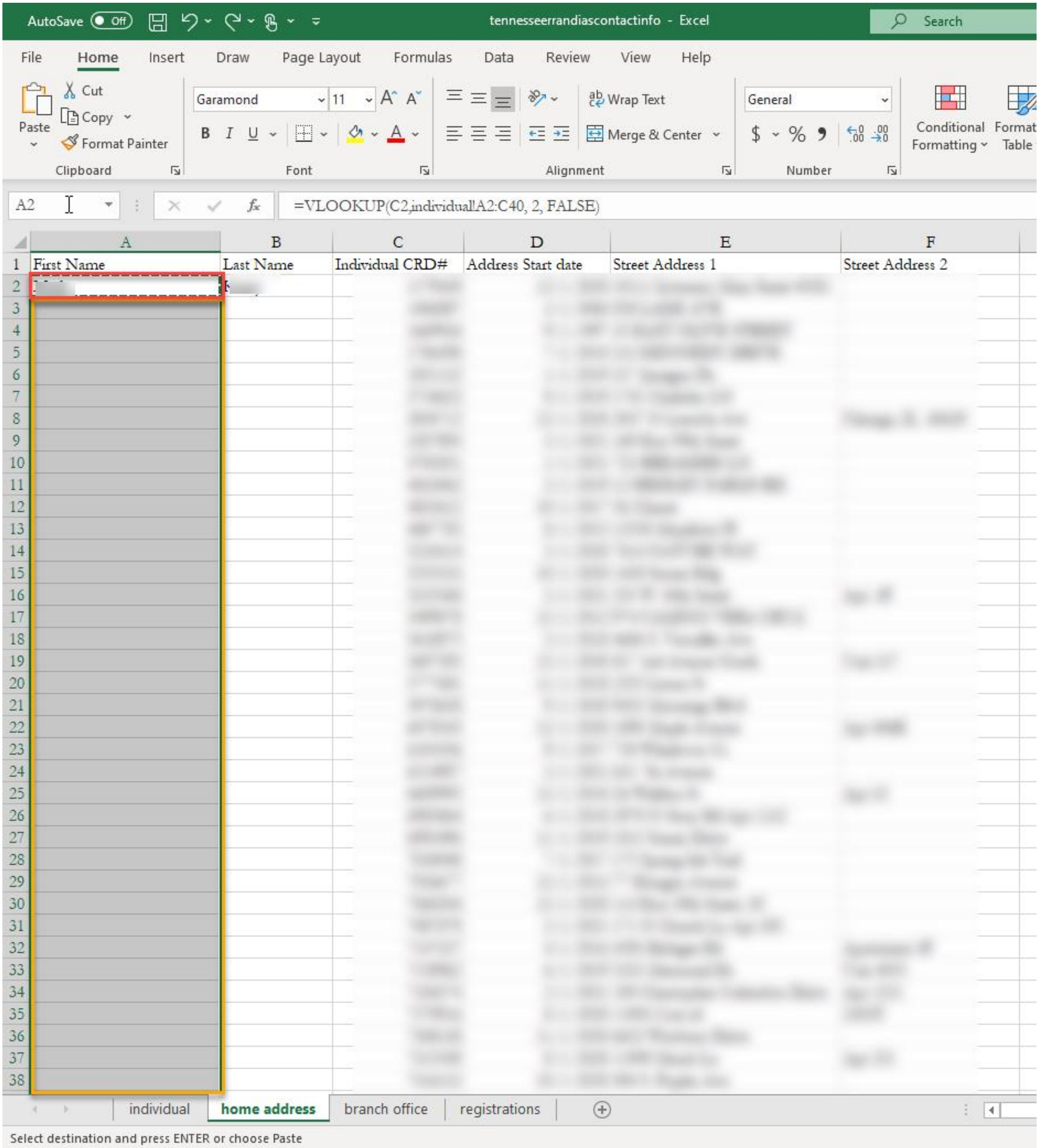
To fill in first name and last name for all rows, I can copy the formula. First, I want to anchor the array so it always looks for the data I want in the search area I specified, no matter where I paste the formula. I anchor the array by putting a dollar sign $ before the column and row locations in the search array. So I change this:

=VLOOKUP (C2,individual!A2:C40, 2, FALSE).

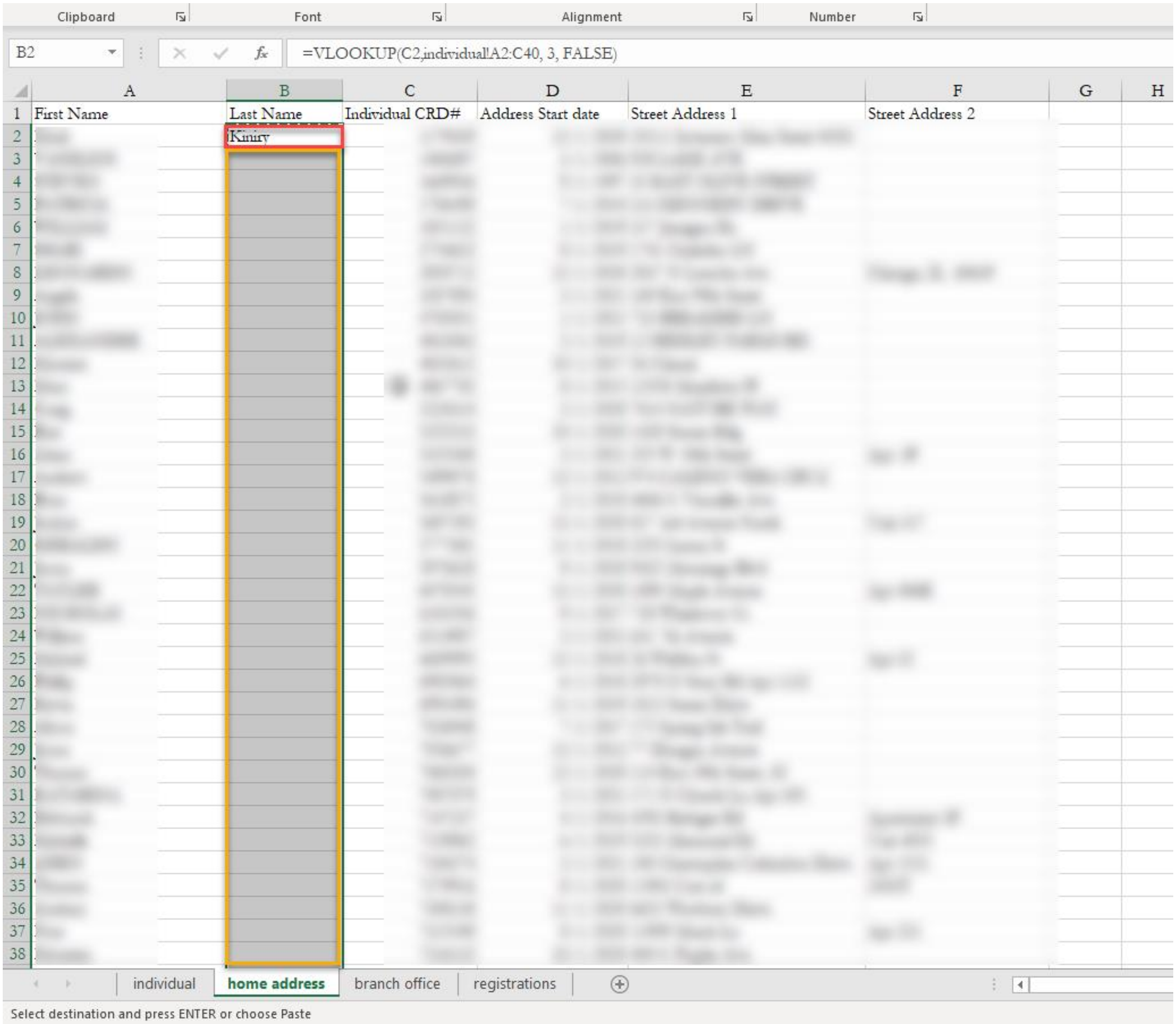
to this:

=VLOOKUP (C2,individual!$A$2:$C$40, 2, FALSE).

After anchoring the array, put the cursor on the first name (A2) cell, select control + C or use the copy function from the menu, then select the range of rows where I want to paste the formula, and lastly hit control + P or past from the menu to paste the formula into the remaining rows.



I can repeat the copy and paste process for the last name.



I can repeat the process to add the individual name to all tabs by inserting columns for first and last name and copying and pasting the formula in the subsequent rows.

VLOOKUP Trouble-Shooting Tips:

- Make sure your column order is correct. The value you know (in this case, the CRD ID) must come before the value you want to find in your search area.
- Keep the order of first name, last name and CRD ID consistent across the tabs to make copying and pasting the formula simple.
- Anchor your search area by putting a dollar sign $ before the column ($A) and row ($2) of the search area array you specify.
- When you copy and paste the formula into multiple rows, start by copying from the cell where the value is printed (A2), not from the formula window.

Printing your Report

To print a report, click Ctrl+P (Windows) or Command+P (Mac) on your keyboard. Print screen will pop-up in your browser. Choose your settings and click Print using system dialog and click Print button.