FINRA Gateway

Queues, Reports and More

June 2020

Introduction

Key Terms

Demonstration Scenarios

Q & A

Enhanced Form U4 Rollout

Resources

Introduction

- FINRA has undertaken an organization-wide initiative to simplify firms' digital experience with FINRA, facilitating more efficient and effective compliance programs.
- The registration tasks and regulatory work are a significant portion of the interactions firms complete.
- Firms will not just notice, but experience change in the manner in which they interact with FINRA and the actions they take to get to get work done.
- Naturally, "new and improved" cannot mean "the same" or "equivalent."

Today's Speakers

- o Aaron Archer: Credentialing, Registration, Education and Disclosure
- o Noah Egorin: Credentialing, Registration, Education and Disclosure
- o LaTricia Henderson: Credentialing, Registration, Education and Disclosure
- o Julia McCafferty: FINRA Technology
- Jerry Gerard: FINRA Technology

Key Terms

- Classic CRD/Web CRD The registration and disclosure system introduced to the industry in 1999.
 Queues A list and reporting feature for key registration-related events found in classic CRD
 Classic Reports The reporting functionality found in Classic CRD.
- Firm Gateway FINRA's current landing page and front door for the regulatory applications (including Web CRD) that you use today.
- New CRD Introduced in late 2018 as the starting point for a new firm registration experience.
 Activities A customizable list of the items found in the queues that was part of new CRD.
- FINRA Gateway Replacing Firm Gateway and other applications, this is FINRA's new location for regulatory work and compliance information.
 - *Requests* FINRA Gateway's new customizable, consolidated list of regulatory actions. Will ultimately centralize all key FINRA regulatory tasks in a single location.
 - *Dynamic Reporting* FINRA's new flexible reporting tool. Initially introduced as part of new CRD, it is now available in the FINRA Gateway.

Demonstration Scenarios

Classic CRD Queues to FINRA Gateway

In classic CRD, queues served two purposes – some let you know about things you need to do, and others simply tell you things of potential interest.

FINRA Gateway offers two distinct experiences for what were queues in CRD:

1 FINRA **Requests** for actions you need to take

2 Flexible, dynamic **Reports** for information

1 Classic CRD Queues to FINRA Requests

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2 Classic CRD Queues to FINRA Reports

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Getting back to Classic CRD

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To ask a question, please email webcrd@finra.org

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Resources

- FINRA Gateway info page: finra.org/finragateway
 - o Webinars
 - o FAQs
 - o Release Notes

• Other webinar recordings: finra.org/webinars

- o Registration System Changes
- o Enhanced Form U4
- o FinPro

• Registration and Licensing email list: tools.finra.org/email_subscriptions

- o Invitations to future webinars
- o CRD program announcements
- Feedback opportunities