

FINra[®]

Disclosure Letters in FINRA Gateway

April 1, 2021

Agenda

- | Changes in FINRA Gateway & Classic CRD
- | Feature Mockups
- | Resources

Changes in FINRA Gateway & Classic CRD

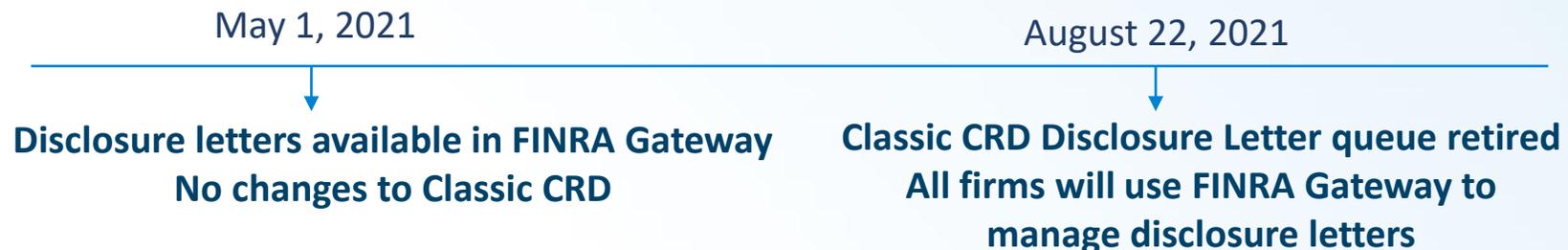
○ FINRA Gateway

- The Requests section of FINRA Gateway already includes outstanding disclosure letters
- Beginning May 1, for disclosure letters related to documentation requests, firms will be able to respond by uploading files directly through FINRA Gateway
- For disclosure letters related to requests for filings, firms will be able to link to the rep's profile to submit the appropriate U4/U5 filings
- The existing CRD → Queues entitlement will provide users access to disclosure letters. No new entitlement will be required

○ Classic CRD

- On May 1st, there will be no change to the Classic CRD Disclosure Letters Queue
- Through August 21st, users will be able to manage outstanding letters both in Classic CRD and FINRA Gateway (however users the upload documents feature will only exist in FINRA Gateway)
- Firms that have subscribed will continue to receive email notifications for outstanding letters as they do today

○ Timeline



FINRA Gateway – Requests

FINRA Firm: FINRA DEMO FIRM (CRD: 3000005)

[SEND FEEDBACK](#)

[Profile Search](#)



- Home
- D2
- Profiles
- Requests
- Reports
- Admin
- Contacts
- Support

Filters

Type

- U4 AMENDMENT
- U4 INITIAL
- Inquiry Letter
- Deficiency Letter
- [+ Show More](#)

Category

- U4
- Disclosure Letters
- Information Requests

Status

- Draft
- Open
- Unresolved
- Invalid - Read Only
- Overdue

Work Management Requests

[Create Filings](#)

Search Criteria

Search for Work Items



Active Completed History

Filters (1)

[Clear Filters](#)

[Delete View](#)

[Save View](#)

Inquiry Letter x

Documentation Request - Documents Incomplete	Rep CRD#	Rep Name	Type	Created Date	Due Date	Status
Disclosure Letter	80000008	Doe, John	Inquiry Letter	03/23/2021	04/22/21	Open

FINRA Gateway – Requests Explained

FINRA Firm: FINRA DEMO FIRM (CRD: 3000005)

SEND FEEDBACK

Profile Search



Filters

Type

- U4 AMENDMENT
- U4 INITIAL
- Inquiry Letter
- Deficiency Letter

[+ Show More](#)

Category

- U4
- Disclosure Letters
- Information Requests

Status

- Draft
- Open
- Unresolved
- Invalid - Read Only
- Overdue

Work Management Requests

Search Criteria

Search for Work Items

Active Completed History

Filters (1)

[Inquiry Letter](#) x [Disclosure Letters](#) x

Documentation Request - Documents Incomplete	Rep CRD#	Category	Type	Created Date	Due Date	Status
Doe, John	80000008	Disclosure Letter	Inquiry Letter	03/23/2021	04/22/21	Open

Can search for requests by individual's CRD#

Use filters to narrow down and find disclosure letters

Click Item name to access disclosure request details and to respond with documents

Click Individual's CRD# to respond with a U4/U5 filing

[Clear Filters](#) [Delete View](#) [Save View](#)

FINRA Gateway – Document Response

Inquiry Letter

Information Requests / Case 80000008 / Request 3460436 / Item 3494489

3494489: Documentation Request - Documents Incomplete

OPEN 

Effective Date: **03/23/2021** Requested: **03/23/2021** Due: **04/22/2021** Updated: **03/23/2021**

Assigned to: **CRED Disclosure Review** Requester: **CRED Disclosure Review**

INSUFFICIENT DOCUMENTS RECEIVED.

*** TIMELY RESPONSE REQUIRED ***

ADDITIONAL DOCUMENTS REGARDING THE ABOVE MATTER ARE REQUIRED. PLEASE SUBMIT ADDITIONAL DOCUMENTS REQUIRED TO DISCLOSUREREVIEWDOCUMENTS@FINRA.ORG IN ORDER TO SUPPLEMENT THE DOCUMENTS PREVIOUSLY SUBMITTED. COURT DOCUMENTS ARE REQUIRED FOR ALL CRIMINAL MATTERS WITHIN THE PAST TEN YEARS. THE ABOVE REQUESTED DOCUMENTS MUST BE SIGNED AND/OR SEALED BY THE COURT AND CLEARLY STATE.

Details

Add a comment...

Characters Remaining: 4000

Submitted Documents

No current attachments

Click to browse for a file OR drag a file inside of this box to upload

Complete Submission: Select this box when you are ready to complete your submission. Please note that once you complete your submission, you will be unable to send additional files for this request.

Send Response

FINRA Gateway – Document Response (cont.)

Information Requests / Case 80000008 / Request 3460436 / Item 3494489

3494489: Documentation Request - Documents Incomplete



Effective Date: **03/23/2021** Requested: **03/23/2021** Due: **04/22/2021** Updated: **03/23/2021**
 Assigned to: **CRED Disclosure Review** Requester: **CRED Disclosure Review**

INSUFFICIENT DOCUMENTS RECEIVED.
***** TIMELY RESPONSE REQUIRED *****
 ADDITIONAL DOCUMENTS REGARDING THE ABOVE MATTER ARE REQUIRED. PLEASE SUBMIT ADDITIONAL DOCUMENTS REQUIRED TO DISCLOSUREREVIEWDOCUMENTS@FINRA.ORG IN ORDER TO SUPPLEMENT THE DOCUMENTS PREVIOUSLY SUBMITTED.
 COURT DOCUMENTS ARE REQUIRED FOR ALL CRIMINAL MATTERS WITHIN THE PAST TEN YEARS. THE ABOVE REQUESTED DOCUMENTS MUST BE SIGNED AND/OR SEALED BY THE COURT AND CLEARLY STATE.

Optionally provide comments (only to communicate additional information other than documents or a filing)

Details

Add a comment...

Characters Remaining: 4000

Submitted Documents

No current attachments

Upload response files here

Click to browse for a file OR drag a file inside of this box to upload

Test Upload.pdf 398 KB

Complete Submission: Select this box when you are ready to complete your submission, you will be unable to send a

Indicate "Complete Submission" and click "Send Response" to send the files

Send Response

FINRA Gateway – Successful Document Submission

Information Requests / Case 80000008 / Request 3460436 / Item 3494489

3494489: Documentation Request - Documents Incomplete

SUBMITTED 

Effective Date: **03/23/2021** Requested: **03/23/2021** Due: **04/22/2021** Updated: **03/26/2021**
Assigned to: **CRED Disclosure Review** Requester: **CRED Disclosure Review** Submitted: **03/26/2021**

INSUFFICIENT DOCUMENTS RECEIVED.

*** TIMELY RESPONSE REQUIRED ***

ADDITIONAL DOCUMENTS REGARDING THE ABOVE MATTER ARE REQUIRED. PLEASE SUBMIT ADDITIONAL DOCUMENTS REQUIRED TO DISCLOSUREREVIEWDOCUMENTS@FINRA.ORG IN ORDER TO SUPPLEMENT THE DOCUMENTS PREVIOUSLY SUBMITTED.

COURT DOCUMENTS ARE REQUIRED FOR ALL CRIMINAL MATTERS WITHIN THE PAST TEN YEARS. THE ABOVE REQUESTED DOCUMENTS MUST BE SIGNED AND/OR SEALED BY THE COURT AND CLEARLY STATE.

Details

Thank you! Item was submitted successfully. 

Submitted Documents

[Test Upload.pdf](#) 398 KB

FINRA Gateway – Filing Response

Inquiry Letter

Information Requests / Case 80000008 / Request 3460436 / Item 3494489

3494489: Documentation Request - Documents Incomplete

OPEN 

Effective Date: **03/23/2021** Requested: **03/23/2021** Due: **04/22/2021** Updated: **03/23/2021**

Assigned to: **CRED Disclosure Review** Requester: **CRED Disclosure Review**

INSUFFICIENT DOCUMENTS RECEIVED.

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Send Response

FINRA Gateway – Filing Response (cont.)

FINRA Firm: FINRA DEMO FIRM (CRD: 3000005)

SEND FEEDBACK

Profile Search



Filters

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- U4 AMENDMENT
- U4 INITIAL
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Create Filings

Search Criteria

Search for Work Items

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Filters (1)

Clear Filters Delete View Save View

Inquiry Letter x Disclosure Letters x

Documentation Request - Documents Incomplete	Rep CRD#	Category	Type	Created Date	Due Date	Status
Doe, John	80000008	Disclosure Letter	Inquiry Letter	03/23/2021	04/22/21	Open

Click Individual's CRD# to respond with a U4/U5 filing

FINRA Gateway – Filing Response (cont.)

FINRA Firm: FINRA DEMO FIRM (CRD: 3000005) SEND FEEDBACK Profile Search DT

Individual Profile John Doe CRD# 80000008 < Back

John Doe (CRD# 80000008) Non FinPro User View/Print Individual Profile Download Profile

0 Registrations 4 Disclosures 34 Deficiencies 3 Valid Exams 9 Years in 1 Firms

Summary	
Rep Identifiers	
SSN View SSN
DOB	07/06/1979
Alternate Names	Jon S Doe Jonathan Smith Doe +1 More Alternate Name
Rep Status	
CE Inactive	01/01/2021
Other Business	No
Contact Information	
Residential Address	Mainland, MD 20850
Current Work Information	
Firm	FINRA DEMO FIRM 3000005
Located At	BD Main Office Firm Billing Code: 64284 Reston, VA 20190
Position(s)	R

Drafts
[U4 Drafts \(6\)](#)

Actions
Individual Actions
[Update \(U4 Amendment\)](#)
[Full Termination \(U5 Full \)](#)
[Partial Termination \(U5 Partial \)](#)

[Expand All](#)

Registrations ▼

Disclosures (4) ▼

Qualifications ▼

Navigation: Home, D2, Profiles, Requests, Reports, Admin, Contacts, Support

Resources

FINRA Gateway Rollout: finra.org/finra-gateway

- 2021 timeline
- Release notes
- User research

Form U4 Resources: finra.org/form-u4

- Access requirements
- Filing guidance
- FinPro navigation

Registration and Testing email list: tools.finra.org/email_subscriptions

- Invitations to future webinars
- Registration system announcements
- Feedback opportunities



Please submit questions to feedbackfinragateway@finra.org