

FINra[®]

Moving From CRD to the New FINRA Gateway

Queues, Reports and More

June 2020

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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**
 - Aaron Archer: Credentialing, Registration, Education and Disclosure
 - Noah Egorin: Credentialing, Registration, Education and Disclosure
 - LaTricia Henderson: Credentialing, Registration, Education and Disclosure
 - 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

Outstanding Disclosure Letters Notice Queue Search Criteria

Outstanding Disclosure Letters Notice Queue

Individual CRD#	Individual Name	Billing Code	Letter Type	Alert: Inactive DR
7	Johnson, Catherine April	80619	INQUIRY	No

Disclosure Letter

Individual CRD#: [redacted] Individual Name: John [redacted]

Sent Date: 04/14/2020
 Letter Status: Unresolved
 Letter Type: Inquiry
 Occurrence ID: [redacted]
 Disclosure Type: [redacted]
 Sent To: Resolve Firm: FINRA DEMO FIRM (311432)
 Resolution Reason: [redacted]
 Resolution Details: [redacted]
 Subject: INQUIRY RE: FORM U4 QUESTIONS 14A AND/OR 14B *** TIMELY RESPONSE REQUIRED ***
 Reason Sent: New Information
 Alert: Inactive DR May Apply: No

Requests

Details	Created	Due	Category
MARKUS, MARVIN	05/06/2020		U4
Submission of a US is required	05/06/2020	06/05/2020	Registration
Request New Record Request: 3313957	04/15/2020	04/22/2020	Information Request
Request New Record Request: 3313956	04/15/2020	04/22/2020	Information Request
Request New Record Request: 3313955	04/15/2020	04/22/2020	Information Request
Individual Disclosure Letter	Disclosure request - Inquiry	04/14/2020	Registration
Firm Disclosure	Disclosure Letter # 9797	04/14/2020	Registration

In FINRA Gateway, see all regulatory requests (not just CRD-related items)

For example: clicking on the disclosure letter brings up the details

2 Classic CRD Queues to FINRA Reports

The screenshot shows the FINRA Web CRD interface. The top navigation bar includes 'CRD Main', 'IARD Main', 'PFRD Main', 'Forms', 'Individual', 'Organization', 'E-Bill', and 'Reports'. A red box highlights the 'Form CRD' section in the left-hand navigation menu, which includes options like 'Continuing Education', 'Approaching CE Requirement', 'CE 2-Year Termed', 'CE Inactive', 'CE Satisfied', and 'Currently CE Required'.

The screenshot shows the FINRA Gateway interface for 'FINRA DEMO FIRM (CRD: 311432)'. It features a 'Dynamic Report Templates (16)' section with a table of templates. A red box highlights the 'Individuals By CE Status' template, which has the following description: 'See individuals at your firm grouped by their CE status. Start here to find individuals who have upcoming CE, are CE inactive, or to find those at risk of becoming CE 2 Year termed. Use this template in lieu of the CRD Continuing Education queue.'

Title	Creation Date	Last Updated	
CE Status Required Report	May 14, 2020	May 14, 2020	
My Branch Atlanta	Apr 15, 2020	May 12, 2020	
Smith Report	Apr 16, 2020	May 12, 2020	
Johnson Report	Apr 23, 2020	May 12, 2020	

Individual CRD#	First Name	Last Name	Registrations	Disclosures	Exams	Defici
7232507	Jessica	Davis	5		4	3
7232508	Brett	Johnson	5		4	4
7232509	Mary	Johnson	5		4	4
7232510	John	Smith	6		4	
7232517	Catherine	Johnson	9	1	5	
no ce status (4)						
7232513	Isabella	Davis	5		4	
7232514	Michael	Johnson	5		4	
7232515	Olivia	Smith	5		4	15
7236301	SANDY	JOHN				

Instead of clicking on five CRD queues to find out CE status, FINRA Gateway offers a comprehensive CE report template!

Getting back to Classic CRD

The screenshot shows the FINRA Gateway interface for a firm named 'FINRA DEMO FIRM (CRD: 311432)'. The top navigation bar includes a 'SEND FEEDBACK' button, a search bar for 'Profile Search', and a user profile icon for 'JD'. A yellow alert banner at the top reads 'Test for WM View Alert'. The main content area is titled 'Workspace: Default' and features a search bar. On the left sidebar, the 'Support' icon is highlighted with a red box. The 'Quick Links' menu is open, and the 'CLASSIC CRD' button is highlighted with a red box. Below the quick links, there is a table of CRD forms.

	Created	Due
	05/12/2020	
	05/08/2020	
	05/08/2020	U4
	05/08/2020	U4

There are a few classic CRD queues which are not yet available in FINRA Gateway. We'll have them for you soon.

For these, getting back to classic CRD is just a click away!

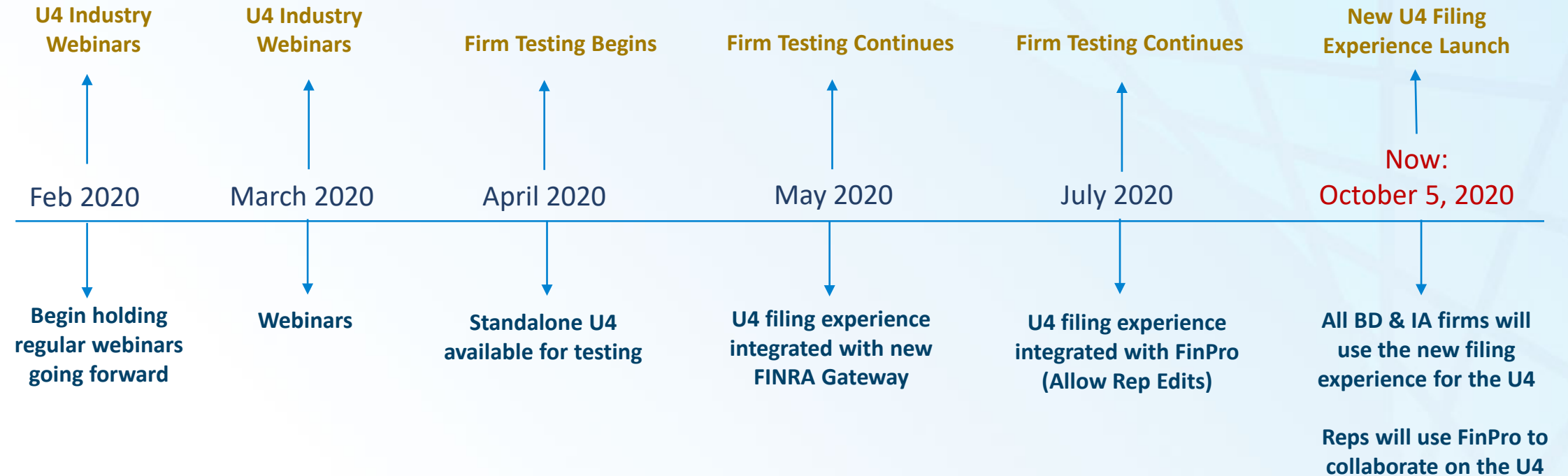


To ask a question, please email webcrd@finra.org

Enhanced Form U4 Rollout

New U4

Classic CRD



Classic CRD U4 Data Entry Experience (for BDs and IAs)

Classic CRD Registered Rep U4 site

Resources

- **FINRA Gateway info page:** finra.org/finragateway
 - Webinars
 - FAQs
 - Release Notes
- **Other webinar recordings:** finra.org/webinars
 - Registration System Changes
 - Enhanced Form U4
 - FinPro
- **Registration and Licensing email list:** tools.finra.org/email_subscriptions
 - Invitations to future webinars
 - CRD program announcements
 - Feedback opportunities