FINRA.

Moving From CRD to the New FINRA Gateway

Queues, Reports and More

June 2020

FINRA.

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Introduction

o FINRA has undertaken an organization-wide initiative to simplify firms' digital experience with FINRA, facilitating more efficient and effective compliance programs.

o The registration tasks and regulatory work are a significant portion of the interactions firms complete.

o 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.

o Naturally, "new and improved" cannot mean "the same" or "equivalent."

o 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
  o Jerry Gerard: FINRA Technology

Key Terms

o **Classic CRD/Web CRD – The registration and disclosure system introduced to the industry in 1999.**
  o *Queues* – A list and reporting feature for key registration-related events found in classic CRD
  o *Classic Reports* – The reporting functionality found in Classic CRD.

o **Firm Gateway – FINRA's current landing page and front door for the regulatory applications (including Web CRD) that you use today.**

o **New CRD – Introduced in late 2018 as the starting point for a new firm registration experience.**
  o *Activities* – A customizable list of the items found in the queues that was part of new CRD.

o **FINRA Gateway – Replacing Firm Gateway and other applications, this is FINRA's new location for regulatory work and compliance information.**
  o *Requests* – FINRA Gateway's new customizable, consolidated list of regulatory actions. Will ultimately centralize all key FINRA regulatory tasks in a single location.
  o *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

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**

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

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

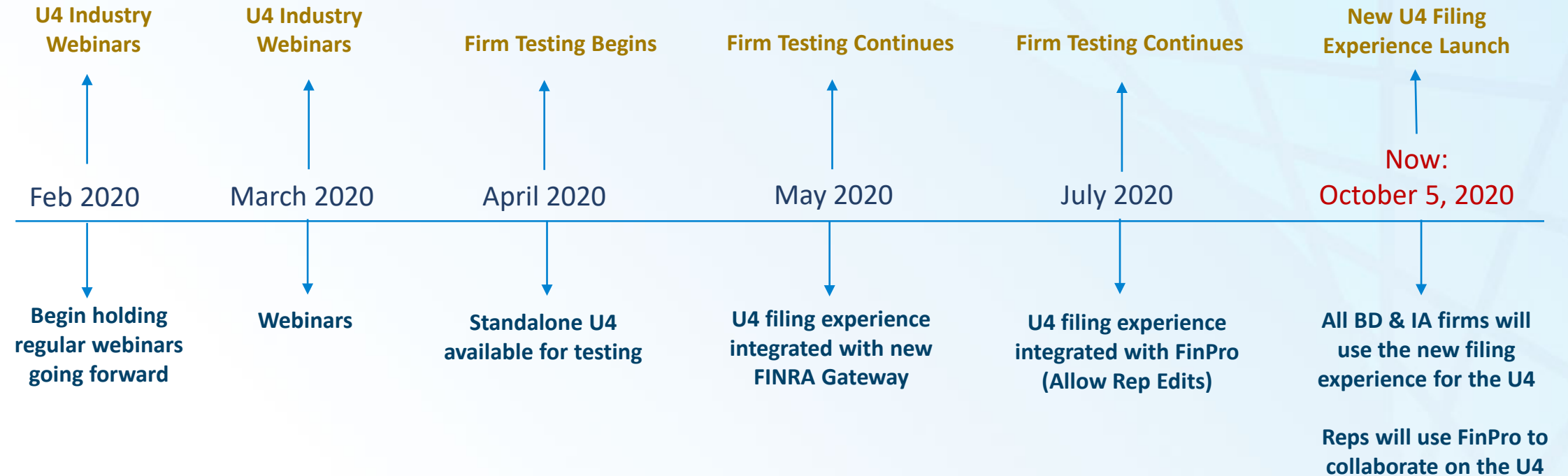For these, getting back to classic CRD is just a click away!

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

Enhanced Form U4 Rollout

FINRA

New U4

U4 Industry Webinars

U4 Industry Webinars

Firm Testing Begins

Firm Testing Continues

Firm Testing Continues

New U4 Filing Experience Launch

Feb 2020   March 2020   April 2020   May 2020   July 2020   Now: October 5, 2020

Begin holding regular webinars going forward

Webinars

Standalone U4 available for testing

U4 filing experience integrated with new FINRA Gateway

U4 filing experience integrated with FinPro (Allow Rep Edits)

All BD & IA firms will use the new filing experience for the U4

Reps will use FinPro to collaborate on the U4

Classic CRD

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

Classic CRD Registered Rep U4 site

Resources

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

o **Other webinar recordings: finra.org/webinars**
  - o Registration System Changes
  - o Enhanced Form U4
  - o FinPro

o **Registration and Licensing email list: tools.finra.org/email_subscriptions**
  - o Invitations to future webinars
  - o CRD program announcements
  - o Feedback opportunities