

FINra[®]

Enhanced BR Filing Process

December 16, 2021

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BR Modernization Overview

- **A cleaner, more user-friendly experience**
- **Fully integrated into the FINRA Gateway**
- **Smart form features:**
 - Initial branch filings start from the firm profile
 - Amendments and closings will be started from the branch profile
 - System will automatically present relevant filing options
 - Revised individual look-up within the form
- **Draft filings will be managed from the FINRA Gateway Requests page, as well as firm and branch profiles (similar to Forms U4 & U5)**
- **No impacts to automated Web EFT submissions**

Key Dates and Milestones

○ **Go-Live**

- Go-live date is currently scheduled for January 22, 2022
- Retirement of Classic BR will be no earlier than April 21, 2022

○ **User Testing**

- User testing will be available January 3-14, 2022
- Participants must have current entitlement to submit BR filings in CRD
- Sign-up via the post-webinar survey

Demo



Future Capabilities

- **Quick Edits**
 - In-line changes via the branch profile
- **Bulk Actions**
 - Move individuals
 - Update supervisory information
 - Close branches

Resources

Webinar recordings: finra.org/webinars

- FINRA Gateway
- Financial Professional Gateway (FinPro)
- Disclosure Reporting

FINRA Gateway rollout: finra.org/finra-gateway

- Key Dates
- Release Notes
- User Research

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

- Registration system changes
- Feedback opportunities
- Other important announcements

Questions?

For questions or feedback regarding FINRA Gateway,
please email feedbackfinragateway@finra.org