Registration Filing in FINRA Gateway - Enhanced Form BR Filing Experience Summary of Changes

Important Information

- The purpose of this document is to provide a useful reference for how the enhanced Form BR filing experience in FINRA Gateway differs from the Form BR filing experience in Classic CRD.
- This reference document is not a substitute for the official Form BR or any other FINRA guidance.
- This document does not represent all completeness checks, validations or logic that are utilized when completing the Form BR online.
- This document does not represent all specific changes to the enhanced Form BR data entry experience that have been introduced or that will be introduced.

TABLE OF CONTENTS

Introduction

As part of FINRA's registration transformation and overall digital transformation, FINRA is adding registration filings to FINRA Gateway. As of April 30, 2022, the Classic CRD BR filing process has been retired and all BR filings must be submitted through FINRA Gateway.

Changes made to the online filing process were driven by goals that included more logical grouping of information, refining completeness checks and data validations, and making support materials more accessible. These improvements should reduce any necessary training for new compliance and registration staff, improve the quality of data provided and decrease the volume of filings requiring corrections.

This document is intended to provide a high-level overview of the changes to the enhanced Form BR data entry experience. It describes both the changes to the way filers interact with the system and the enhancements to the data entry experience.

For questions or feedback regarding this documentation, please email feedbackfinragateway@finra.org or open an online self-service ticket through FINRA Gateway.

Access

Item	Classic CRD Experience	FINRA Gateway Experience
Accessing Form BR	Firms accessed CRD directly or through Firm Gateway to create or resume a Form BR filing.	Firms create and resume Form BR within FINRA Gateway.
Entitlement	CRD → Form BR	The same classic entitlement controls access to the filing experience in FINRA Gateway. No new entitlements are required for the enhanced Form BR filing process.

System Functionality

Task	Classic CRD Experience (Retired)	FINRA Gateway Experience
How to Create and Resume a BR		
Creating a New Filing	User began the filing process by first selecting the appropriate Form BR filing type and then searching for the desired individual.	User begins the filing process from the appropriate profile page: • To open a new branch, navigate to the main Firm profile • To amend or close an existing branch, search for the desired branch When viewing the respective profile, an option to create the appropriate Form BR filing type will display in the Actions card.
Resuming a Draft BR	Draft filings were stored in the Pending BR Filings queue in Classic CRD.	Draft filings can be accessed from two places in FINRA Gateway: • Requests & Filings (filter by BR or filing type) • Filings card on either the Firm or Branch profile
Completing the BR		
Completeness Check	Completeness Check errors were displayed on a separate page.	Completeness Checks are available in any section while completing the form.
Help/Guidance	This was not available within the Classic BR filing. Users either linked to an external definitions document or searched for additional guidance on FINRA.org.	Defined terms can be accessed within the form as a pop up.

Printing	Users could print individual sections or entire official Form BR using Print Preview link.	Able to print individual sections or entire official Form BR using Form View link.
Viewing Changes	Changes were viewed in redline mode via Print Preview.	Changes can be highlighted using the "Compare With Previous Filing" option in Form View.
Submitting the BR		
Submit Filing	Submission occurred after passing the Completeness Check.	Submission occurs after passing the Completeness Check.
Filing History	Submitted filings were available in the Filing History section of Classic CRD.	Filers should continue to view branch Filing History in Classic CRD.

Visual Data Layout

Data Element	Classic CRD Experience	FINRA Gateway Experience
Branch Information	Contained in one section: • (1) General Information	One "Branch Information" section.
Registration Information	Contained in one section: • (2) Registration/Notice Filing/Type of Office/Activities	One "Registration/Notice Filing/Type of Office/Activities" section.
Other Business Activities	Contained in one section: • (3) Other Business Activities/Names/Websites	One "Other Business Activities/Names/Websites" section.
Branch Office Arrangements	Contained in one section: • (4) Branch Office Arrangements	One "Branch Office Arrangements" section.
Associated Individuals	Contained in one section: • (5) Associated Individuals (Only available on BR Initial.)	One "Associated Individuals" section. (Only available on BR Initial.)
Branch Office Closing/Withdrawal	Contained in two sections, one of which will display based on the branch status: • (6) Branch Office Closing • (7) Branch Office Withdrawal	Two sections, one of which will display based on the branch status: • "Branch Office Closing" • "Branch Office Withdrawal"
Signatures	Contained in one section: • (8) Signatures	One "Signatures" section.