FINRA Gateway – Information Requests
Request Manager April 2022

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For assistance with FINRA Gateway for Firm requests, please go to
https://gateway.finra.org/app/support

For assistance by phone, please contact:

The FINRA Call Center

(800) 321-6273
Monday-Friday, 8 A.M.-6 P.M. Eastern Time

Update Summary - 2022

This summary provides an overview of the updates made to Request Manager since the last update of this document in 2020.

Driven by user feedback, we created a better user interface and flow experience for **member firm users** by providing an integrated item response form within the FINRA Gateway. We improved the design of the item response form with a cleaner distinction between a "partial" vs. "complete" submission.

Non-member firm (individual) users will continue to use the Request Manager Portal for individuals, Registered Representatives, Outside Counsels, etc. to respond to Non-Firm Requests.

Sections updated in this version:

- What is Request Manager?
- Member Firm User: FINRA Gateway
- How can I get to my firm's requests in FINRA Gateway
- Responding to an information request item

What is Request Manager?

Request Manager facilitates the electronic exchange of information between firms/individuals and FINRA. External users, firms and individuals can securely respond to and manage requests for information through designated portals:

- **Member Firm users** can respond to FINRA's request for information by using the link provided in the email notification or by logging directly into FINRA Gateway.
- **Non-member firm users** (individuals, Registered Representatives, Outside Counsels, etc.) can respond to Non-member Firm information requests through the Request Manager Portal. Using an individual user account, non-member firm users can respond to the requests by selecting the link provided in the email notification from FINRA Information Requests and logging into Request Manager Portal.

The following FINRA departments may publish requests for information:

Currently Using Request Manager

- **Member Regulation**
- **Market Regulation: TFCE**
- **Market Regulation: Options Regulation**
- **Advertising Regulation**
- **Market Regulation: Quality of Markets**
- **Corporate Finance**
- **Office of Emerging Regulatory Issues**
- **Stock Record and Allocation Data Filing**
- **Membership Application Program (MAP)**
- **Surveillance**
- **Department of Enforcement**
- **NCFCDP**

***TFCE:** *Trading & Financial Compliance Examinations*

FINRA Gateway

Your firm is notified when a new information request is published for your firm via the "New Request" Notification email. All information requests will appear in FINRA Gateway's Requests & Filings. The following are examples of type of requests:

Category	Type
Financial / Operational	Examples: • Custody • OBS • Part IICSE • SSOI • Schedule I • etc.
Forms and Filings	Examples: • Annual Audit • CRGPIR - Preliminary Investigation Request • FORMR1 – Customer Margin Balance Form • REXREGTM - REGT Monthly 2% Report • TAF - Trading Activity Fee Form • TFCE - Trading & Financial Compliance Examinations

	• etc.
Information Requests	Examples: • Algorithmic Trading • Anti-Monday Laundering • BCP • Blueline • Blotter • Blue sheet Request (SEC) • Blue sheet Request (FINRA) • Disclosure Letter • Deficiency Letter • Financing • Inquiry Letter • Sales Practice • etc.
U4	Examples: • U4 Amendment • U4 Initial • U4 Concurrence • etc.
U5	Examples: • U5 Amendment • U5 Full • U5 Partial

Old Information Requests (IR) Cabinet

As of May 2022, all information requests located in Information Requests (IR) Cabinet can also be found in the FINRA Gateway Requests & Filings.

- Here are some of the Information Requests found in IR Cabinet:

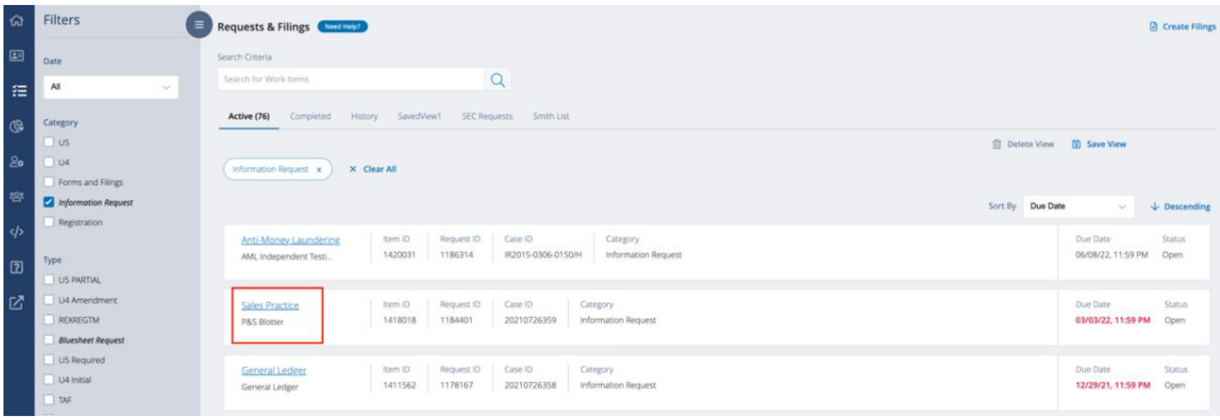
Type
• Capital Reporting (Alternate Method Long Form) • Chronology Request • Conversion Survey / KIOP • Portfolio Margining Data • Supplemental Financial Monthly Reporting • Supplemental Financial Quarterly Reporting • Leverage Report • Reserve Formula

Member Firm User: FINRA Gateway

How can I get to my firm's requests in FINRA Gateway?

There are 2 ways to access the requests: by using the link provided in the email notification or by logging directly into FINRA Gateway.

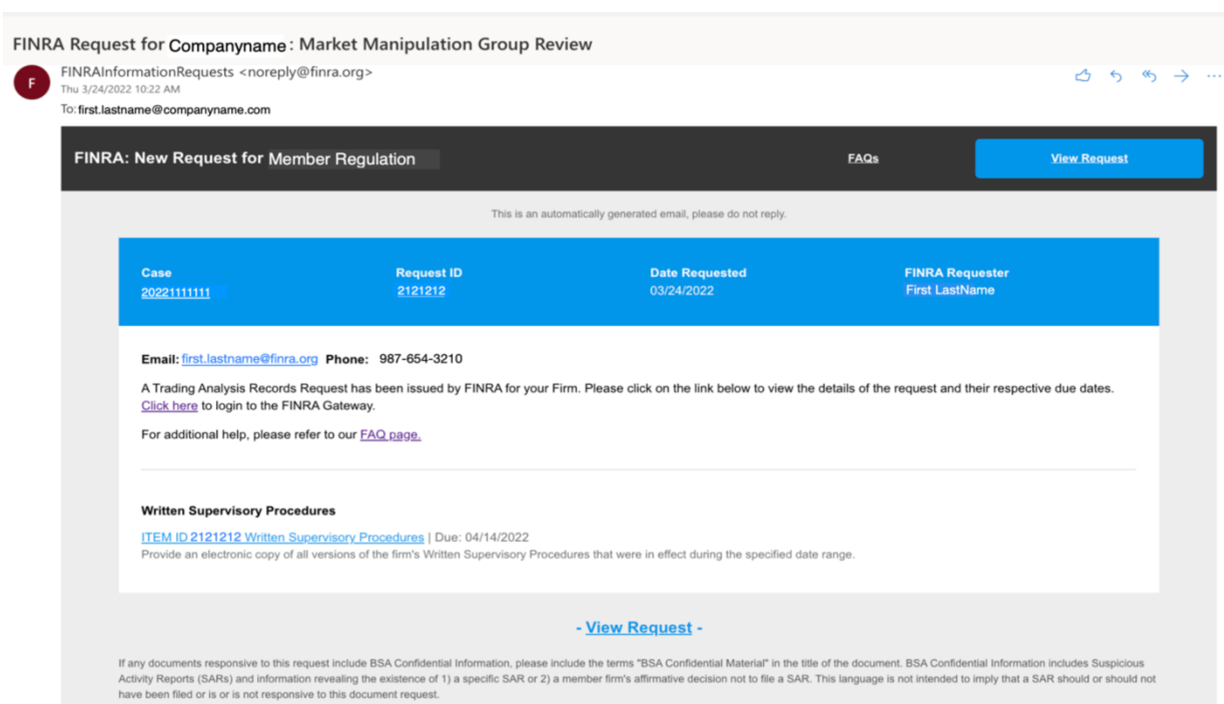
1. You can access requests through FINRA Gateway: https://gateway.finra.org/. Log into FINRA Gateway and choose the *Requests & Filings* on the left-hand navigation bar. To view item request details, select the item request title in screenshot below:



2. You may click the link to the requested item directly from the "FINRA New Request" email notification to get to the request details in FINRA Gateway

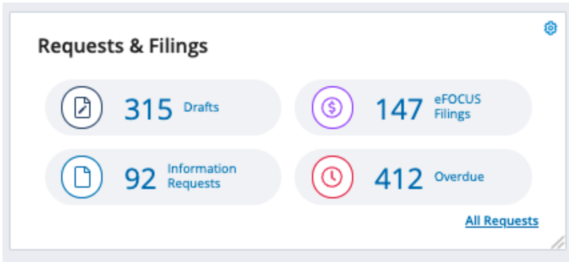
How do I find my firm requests in FINRA Gateway's Requests & Filings?

Requests & Filings is a centralized location where the activities and tasks from various FINRA systems are combined into a singular space to complete work.

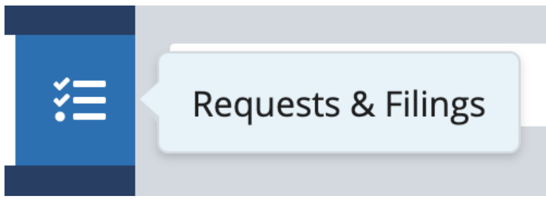


Access Requests & Filings in two ways:

1. Directly from within the FINRA Gateway Dashboard – Requests & Filings widget.

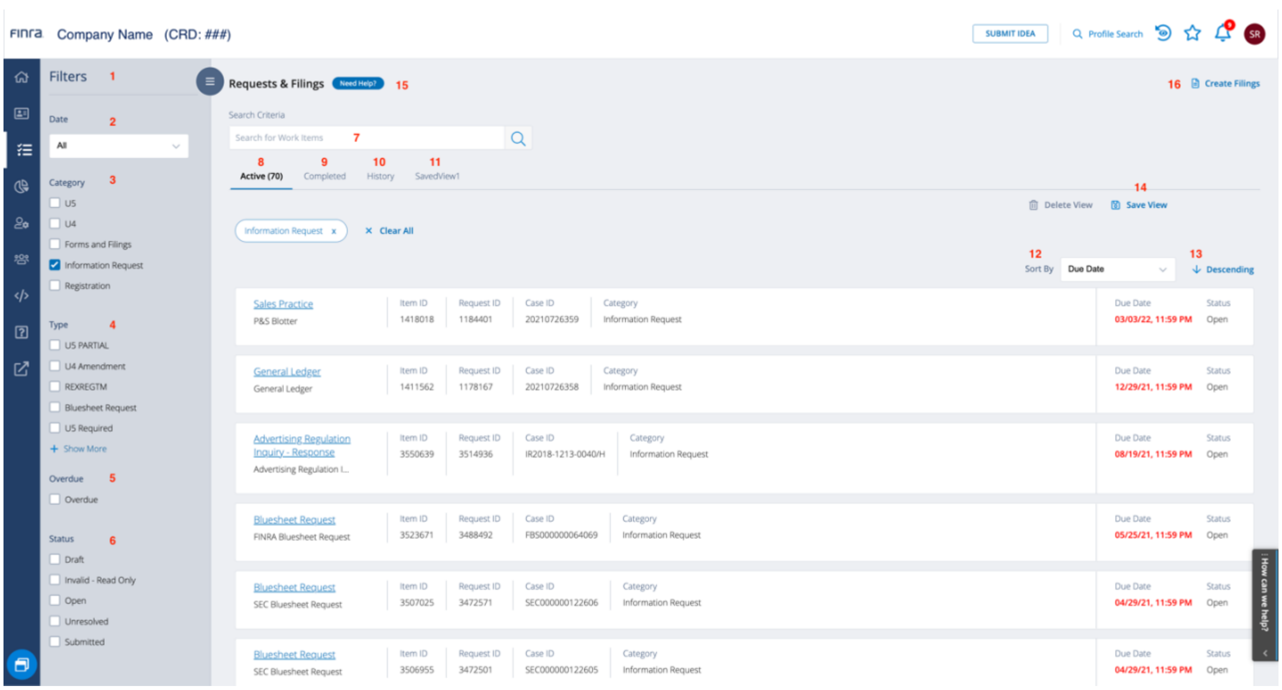


2. Click the icon on the Left Navigation Panel of the FINRA Gateway dashboard.


or


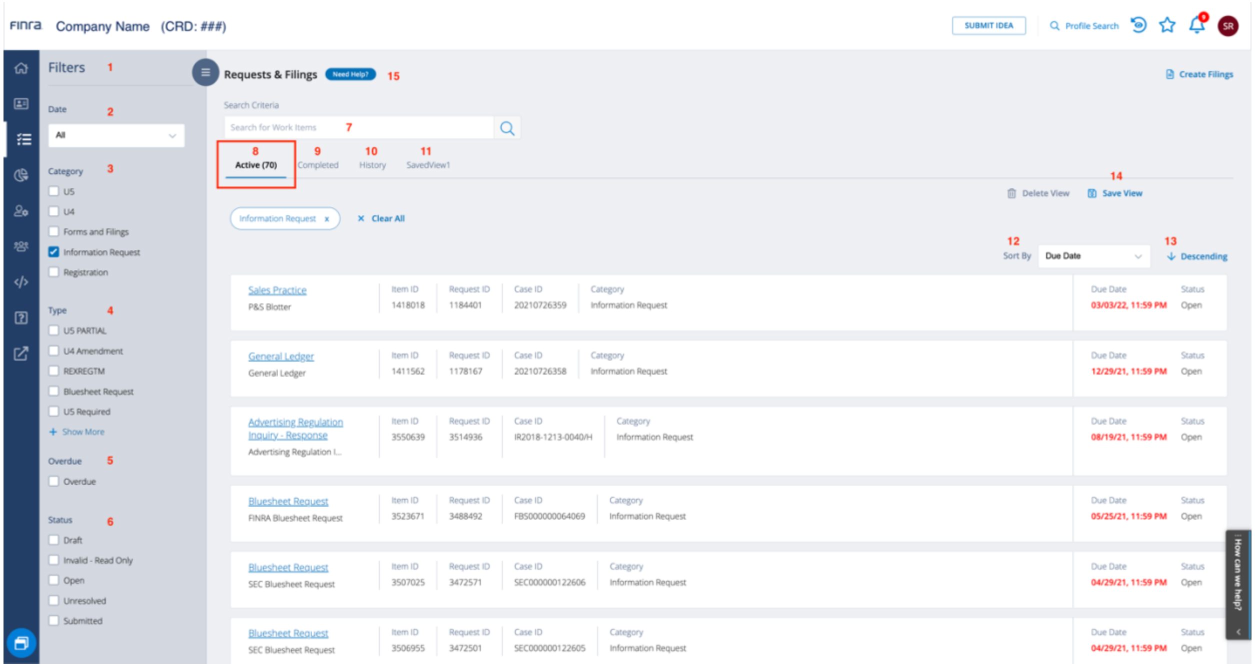
Requests & Filings view explained

Filter	***Item Requests***
You can **filter** item requests in the Active or Completed tab: 1. Filters Section Header: contains all the filter options available 2. Date: contains filter by “Due Date”, “Create Date”, “Submitted Date”, “Last Update Date”, 3. Category – contains all the form categories - Select “Information Requests” for Request Manager items 4. Type – contains all the form types under different categories 5. Overdue – user can filter the items that have due date in the past 6. Status – contains the status of the request – “Open”, “Re-opened”, “Submitted”, etc.	7. Search Criteria – Search your Requests & Filings by entering the request details 8. Active tab – contains open, Re-opened and Draft item requests 9. Completed tab – contains submitted, no response, accepted and withdrawn item requests. 10. History tab – contains link to Forms & Filings to create a new filing and link back to [“Old Information Requests”] 11. SavedView1 – contains the view saved by the user applying the specific filters 12. Sort By – user can sort by different fields for on “Active” and “Completed” tabs – by Category, Create Date, Due Date, Last Update Date, Submitted Date, Type 13. Ascending/Descending – user can sort the date or text string in Descending (Z -> A, most recent -> oldest) or Ascending (A-> Z, oldest -> most recent) 14. Save View – User can save a view with search criteria along with selected filters across Active or Completed tabs and this shortcut will appear next to History tab 15. Need Help – contains information about Requests and Filings, new feature updates and links to tutorials 16. Create Filings – user can create new filings from the list of forms available



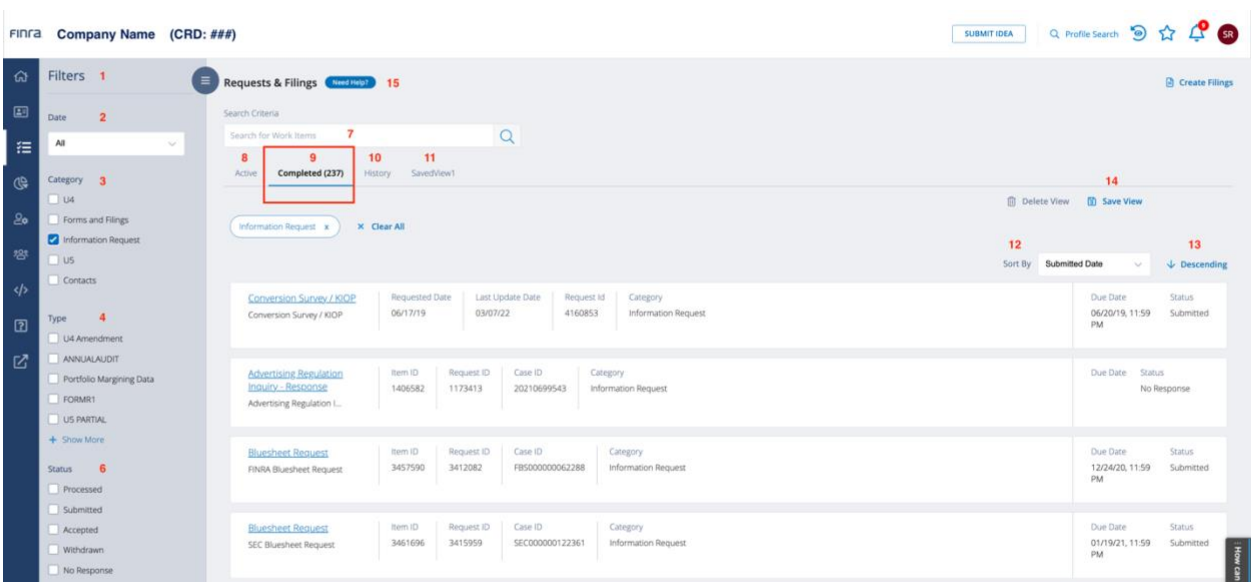
Active Tab

By default, when you first come in, you will see all "Active" requests and filings which contains all your open, Re-opened and Draft item requests.



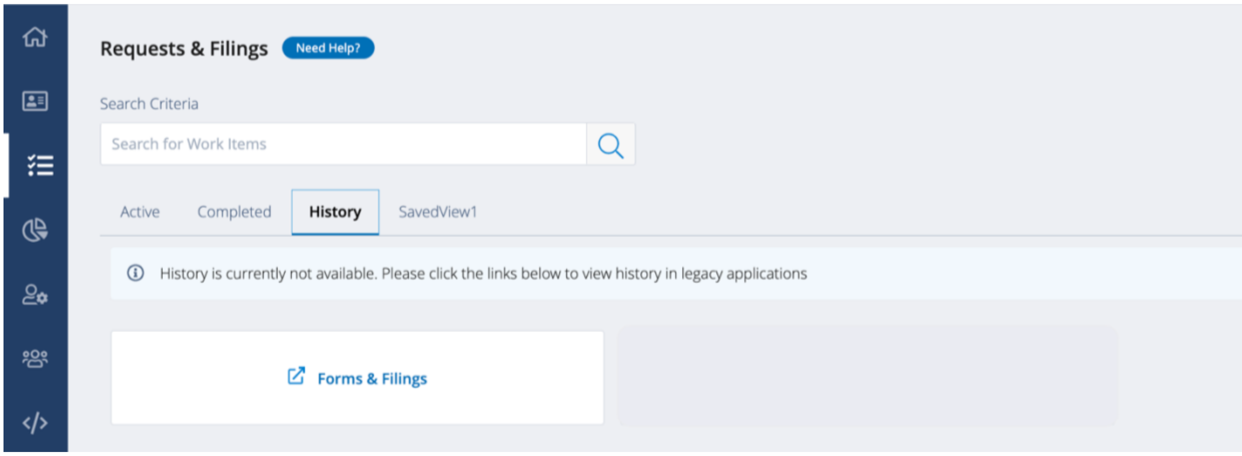
Completed Tab

Completed tab is next to the Active tab and it contains all your submitted, no response, accepted and withdrawn item requests.



History Tab

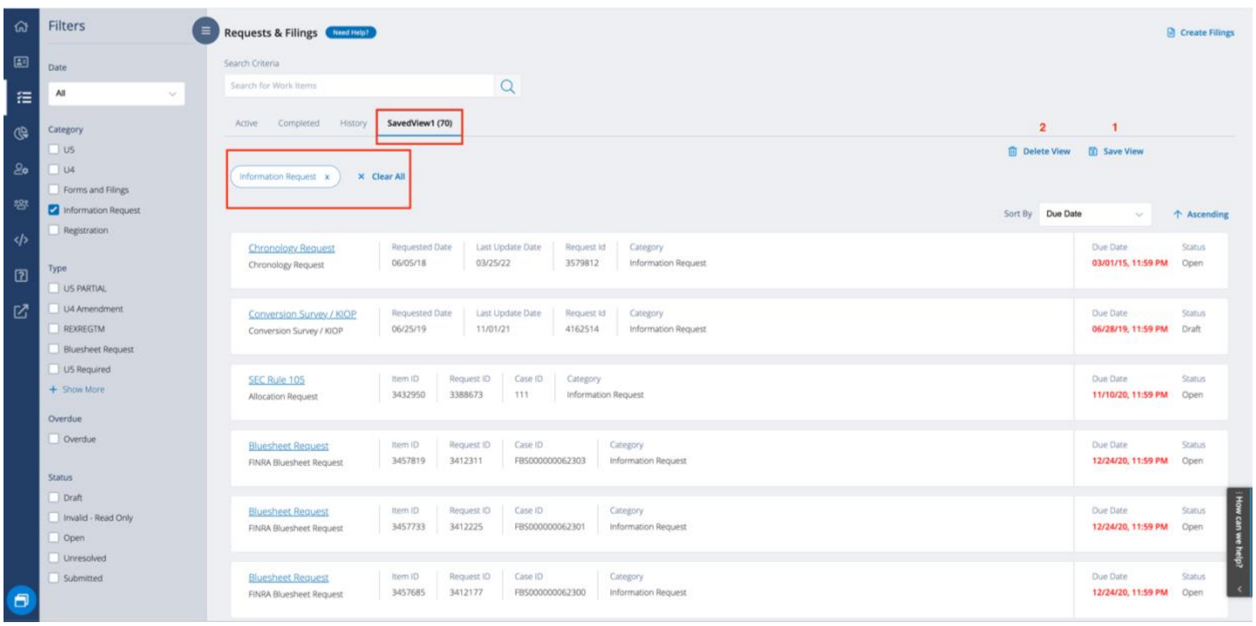
History tab is next to the Completed tab, and it contains link to Forms & Filings to create a new filing



Saved View Tabs

Saved View tabs are displayed next to the History tab. When the user clicks on a saved view tab it executes the search criteria along with selected filters and displays the resulting work items.

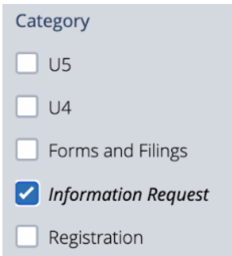
1. **Save View** – User can save a view with search criteria along with selected filters across Active or Completed tabs and this shortcut will appear next to History tab
2. **Delete View** – User can choose to delete a saved view by clicking on the 'SavedView1' tab and then selecting Delete. The user will be asked to confirm the delete action and once confirmed the View will be deleted from the tabs.



Filter your item requests

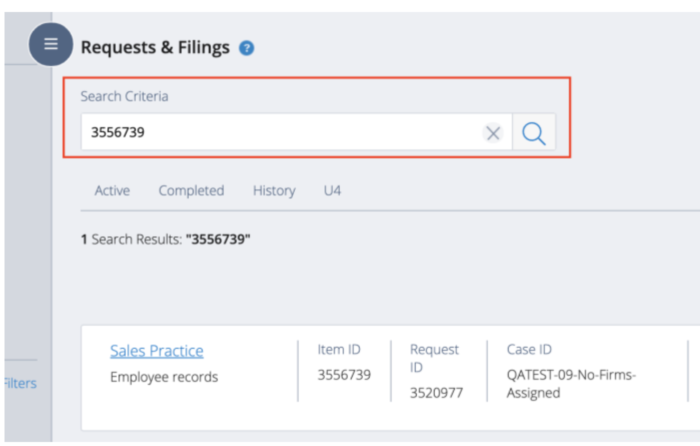
There are 2 ways to find your firm's request.

Option 1: Check the box for "Information Request" filter under Category to show only information requests for your firm on the right side. You can further narrow down your search.



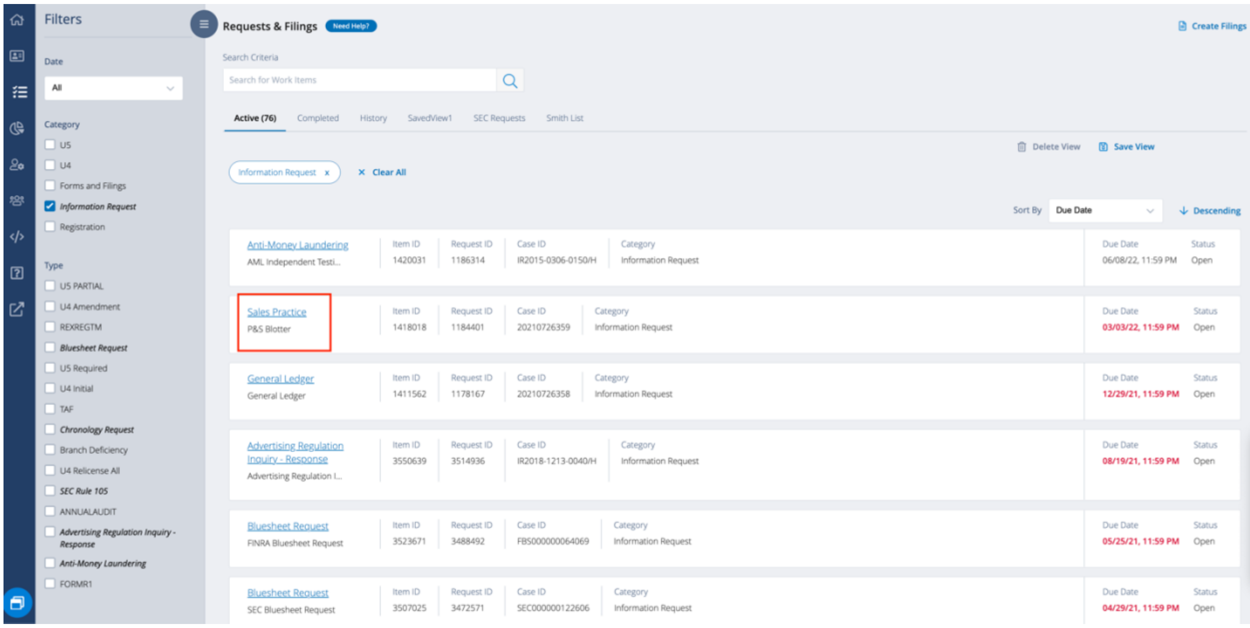
Option 2: Enter search criteria using Item ID, Request ID, Case ID, text, etc.

a. **Enter only characters and numbers.**
b. If you enter a string that contains any special characters, the search logic will break up the string based on the special character. For example, user enters case ID = "IR-4567890". Search logic will look for 2 strings. "IR" and "4567890".



Open an item request

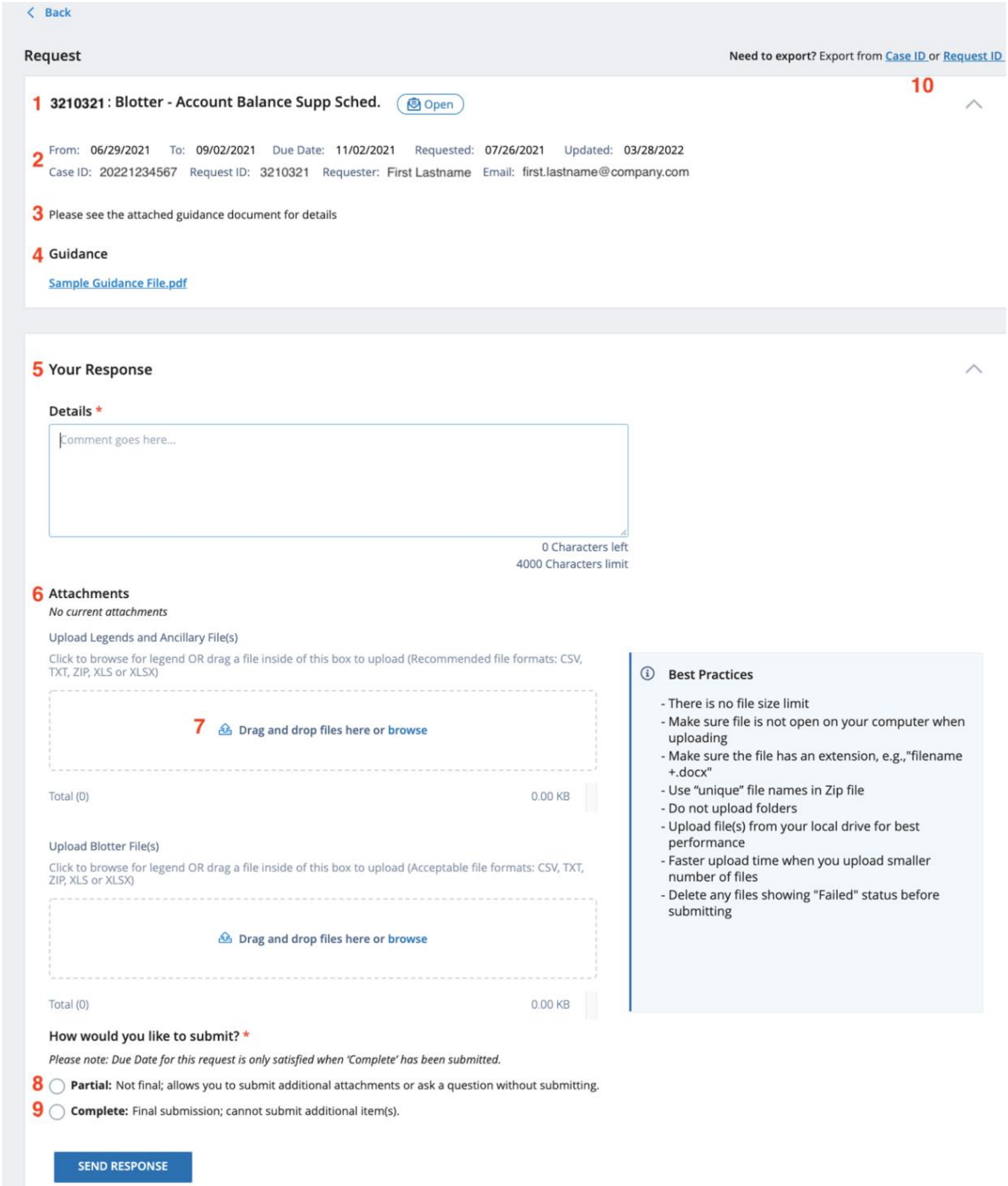
To view item request details, select the item request title in screenshot below:



Responding to an information request item

Select Work item title and FINRA Gateway will render the Item response form.

1 – Item Title This first number is the “Item ID” followed by the title of the request. **2 – Item Summary** Item summary describes details about the request such as Date Range (From -> To) OR Effective Date (as of date), Due Date, Requested Date, Last Updated Date, Case ID, Request ID, FINRA Requestor’s First & Last Name, FINRA Requestor’s Email Address, if any. **3 – Item Details** Details about this item request are listed here if any are provided with it. **4 – Guidance** FINRA guidance document(s) are listed here if any are provided with this request. If none are provided, you will see the text “None”. You can download the Guidance Document by clicking on the document title. **5 – Details** Provide your comments here. 4000-character limit. Do not include any special characters (e.g., *, =, -, etc.)	**6 – Attachments** Attach documents as part of your response to the request. **7 – Drag & Drop or Browse for Files** As part of your response, you can drag and drop your attachments or browse your file system to attach. See best practices below. **8 – Partial Submission** Partial Submission means you are not ready to submit a complete response at this time and providing a partial response. The due date for this request is only satisfied once 'Complete Submission' is selected. **9 – Complete Submission** Complete Submission means 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. **10 – Export Case or Request for this item** You can go back to Request Manager Portal to export the Case details or Request details for this item into a CSV file.


Back
Request
Need to export? Export from Case ID or Request ID
10
1 3210321 : Blotter - Account Balance Supp Sched.
Open
2 From: 06/29/2021 To: 09/02/2021 Due Date: 11/02/2021 Requested: 07/26/2021 Updated: 03/28/2022
Case ID: 20221234567 Request ID: 3210321 Requester: First Lastname Email: first.lastname@company.com
3 Please see the attached guidance document for details
4 Guidance
Sample Guidance File.pdf
5 Your Response
Details *
Comment goes here...
0 Characters left
4000 Characters limit
6 Attachments
No current attachments
Upload Legends and Ancillary File(s)
Click to browse for legend OR drag a file inside of this box to upload (Recommended file formats: CSV, TXT, ZIP, XLS or XLSX)
7 Drag and drop files here or browse
Total (0)
0.00 KB
Upload Blotter File(s)
Click to browse for legend OR drag a file inside of this box to upload (Acceptable file formats: CSV, TXT, ZIP, XLS or XLSX)
Drag and drop files here or browse
Total (0)
0.00 KB
Best Practices
- There is no file size limit
- Make sure file is not open on your computer when uploading
- Make sure the file has an extension, e.g.,"filename +.docx"
- Use "unique" file names in Zip file
- Do not upload folders
- Upload file(s) from your local drive for best performance
- Faster upload time when you upload smaller number of files
- Delete any files showing "Failed" status before submitting
How would you like to submit? *
Please note: Due Date for this request is only satisfied when 'Complete' has been submitted.
8 Partial: Not final; allows you to submit additional attachments or ask a question without submitting.
9 Complete: Final submission; cannot submit additional item(s).
SEND RESPONSE

Blotter type Response form explained

Blotter requests are communications relating to their "business as such," and include trade blotters, asset and liability ledgers, income and expense ledgers, capital account ledgers, customer account ledgers, securities records, order tickets and trade confirmations.

A Blotter request ("P&S Blotter" and "Order Blotter Records Request") is similar to the item request listed above except for this response form there are two attachment sections that require different document types uploaded. Then rest of the process remains the same – users can use partial submission if needed.

Based on the screenshot on the next page the following section explains each part of the form.

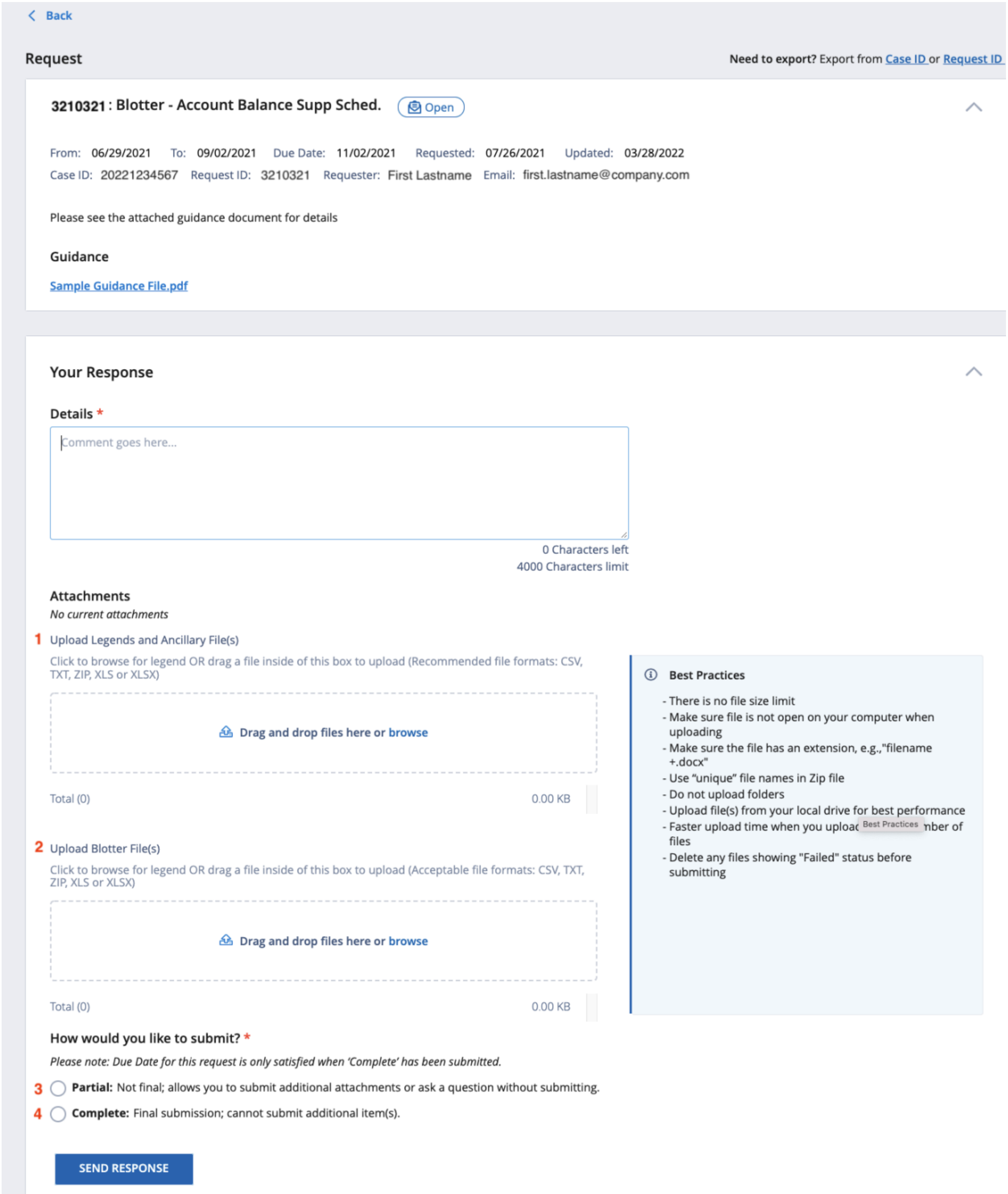
Each Blotter request submission must be specific to an indicated clearing firm.

1. Upload **Legend and Ancillary file(s)** into the "Legends and Ancillary Files" upload section. The system will accept the following file formats .csv, .doc, .docx, .msg, .pdf, .txt, .xls, .xlsx, .zip. whereas we recommend you use the following file formats are CSV, TXT, ZIP, XLS or XLSX. As part of your response, you can drag and drop your attachments or browse your file system to attach. See best practices below.
2. Upload **Blotter file(s)** into the "Blotter Files" upload section. Acceptable (**Required**) file formats are CSV, TXT, ZIP, XLS or XLSX. As part of your response, you can drag and drop your attachments or browse your file system to attach. See best practices below.

Each Blotter request should satisfy the following rules for partial and complete submission:

3. Partial Submission: User must provide at least a comment or upload an attachment in either Legends/Ancillary files section or Blotter Files section.
4. Complete Submission: User must provide at least a comment or upload an attachment in either Legends/Ancillary files section or Blotter Files section.

Blotter Type Response - screenshot



Blue sheet Response form explained

Blue Sheet Requests are formal regulatory requests sent to clearing firms requesting information related to specific securities or accounts. Electronic Blue Sheet (EBS) data files, which contain both trading and account holder information, provide regulators with the ability to analyze a firm's trading activity. Firms are expected to provide complete, accurate, and timely Blue Sheet data to regulators upon request.

You can receive a Blue Sheet request from either FINRA or the SEC. FINRA and SEC requests for Blue Sheet data are typically made in the context of a specified security during a specified date range. SEC requests for Blue Sheet data may also be made in the context of a specified account number, account number range, or LTID.

Firms are responsible for providing FINRA with the firm's most current Blue Sheet contact information. Firms should promptly inform the Blue Sheet Team of any contact changes by sending an email to bluesheets@finra.org. FINRA recommends that firms use a shared email address or distribution list email address to receive blue sheet requests.

A firm may use any of the following methods to respond to a Blue Sheet request:

- Transmission via the Securities Industry Automation Corporation (SIAC)
    - Firms are responsible for ensuring that FINRA receives submissions they make through SIAC by the due date. SIAC has specific deadlines in the day by which SIAC should receive data for SIAC to package the data and send to FINRA for same-day dissemination. If those deadlines are missed, it could take an additional day for FINRA to receive the data.
- Transmission through fileX – the SFTP file submission format and process allow the data to be sent directly to FINRA at no cost to the firm. For more information on fileX, please see https://www.finra.org/filing-reporting/data-transfer-tools/fileX.
- Transmission through CDIP: https://firms-int.cdip.qa.finra.org/cdip-cabinet/SBS-FINRA
- Transmission via Request Manager: File Upload – The upload may be done using the template attached to the request that can be found under the Download Guidance Files link.

Pursuant to FINRA Rules 8210, 8211 and 8213, firms are required to submit Blue Sheet data in a prescribed format. Please refer to http://www.finra.org/industry/rfa/blue-sheets for additional information about Blue Sheet requests and submissions, including the current Blue Sheet Record Layout.

Continuous Submission and File Processing Feedback

Blue Sheet requests are designated as Continuous Submission requests and will never be marked "Complete" in Request Manager. The Continuous Submission designation is indicated in Request Manager by a green flag.

After a firm provides its response using any of the four transmission methods, the status of the request will be marked "Submitted." As a Continuous Submission request, a Firm may continue to submit additional files against this request even after the status has changed to "Submitted."

Once a submission has been processed, any feedback from the Blue Sheet Processing System will post to the request in Request Manager. FINRA posts the feedback for successfully transmitted files as a means of confirmation of receipt; however, this posting does not represent that the data file FINRA received was complete or accurate. Processing times for posting feedback activity may vary. Firms should use Requests & Filings to monitor the overall request activity.

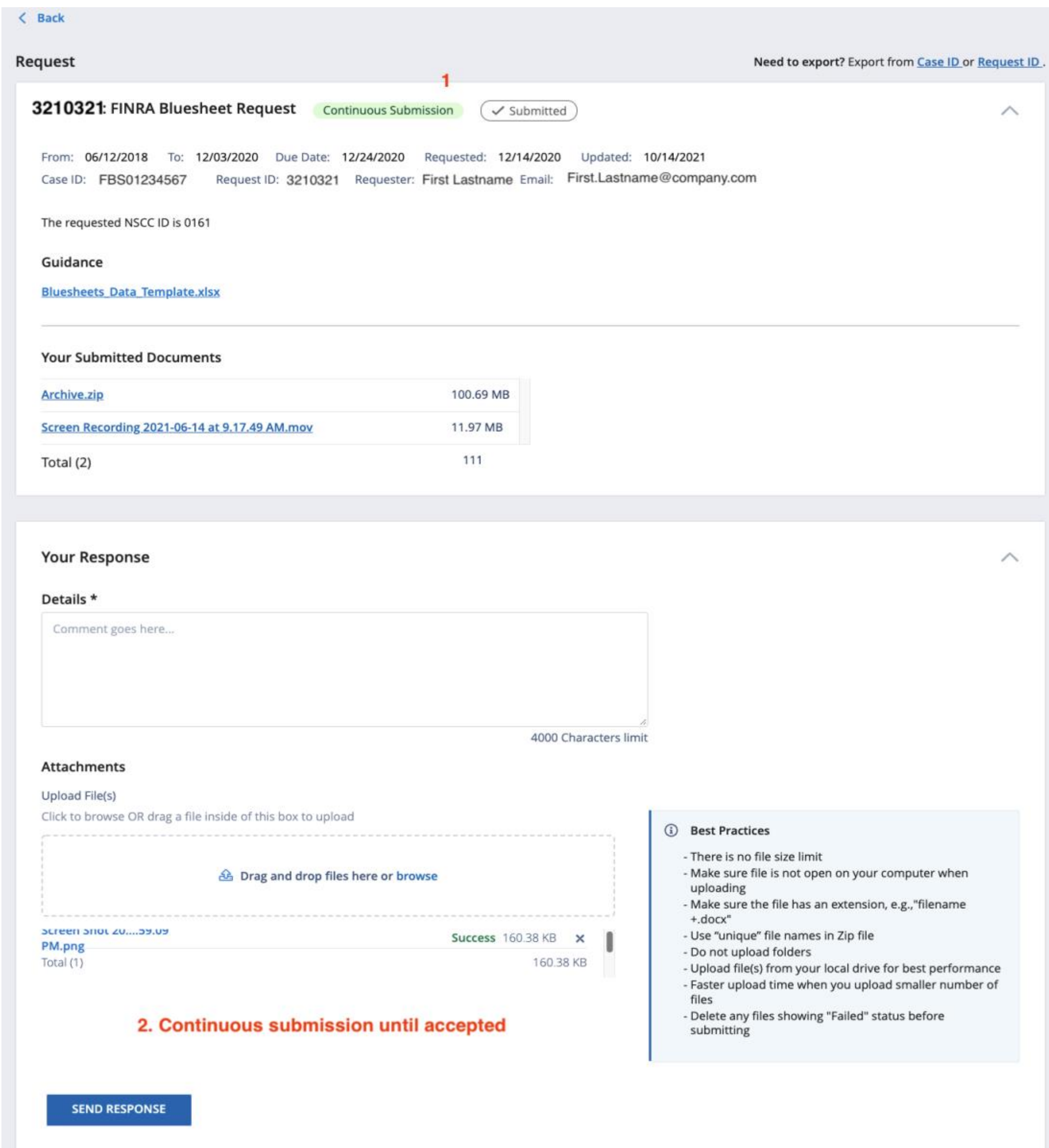
No Trades/Zero Trades Response

A firm may not make a claim of no trades/zero trades through Request Manager. If a firm determines that it does not have any Blue Sheet data to report in response to a request, then the firm must send an email with an affirmative determination (, stating that the firm has reviewed its records and has no Blue Sheet data to submit). A firm should not submit an empty Blue Sheet data file as this will not be considered an affirmative determination nor responsive to the Blue Sheet request.

Incremental Submission or Resubmission of Corrected File

If a firm determines that it needs to make an incremental submission or resubmit a previously submitted file, the firm may upload the incremental or resubmission file using any of the available submission methods. If the firm is using Request Manager to make the incremental submission or resubmission, a firm may select any Blue Sheet request to make the submission. This scenario is common for both FINRA and SEC requests.

**Complete Submission is not applicable for Blue sheet Requests because there is continuous submission.



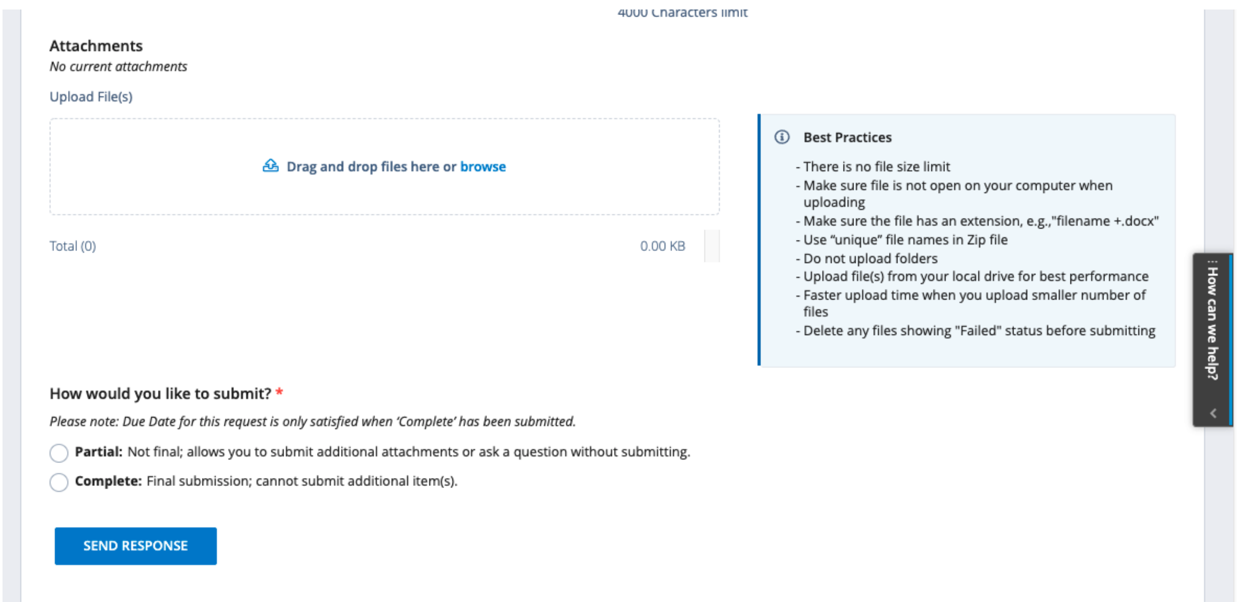
Respond with comments and/or questions in the Details box

1. There is a 4,000-character limit.
2. Cannot accept any images, please upload these in the attachment section.

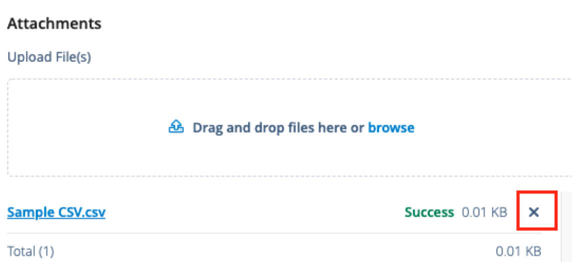
Uploading Files – Best Practices

You can drag and drop one or more files into the Attachments section or select “Browse” to find files from your computer and select for upload.

- There is no file size limit
- Make sure the file is not open on your computer when uploading
- Make sure the file has an extension, e.g., "filename +.docx"
- Use “unique” filenames in Zip file
- Do not upload folders
- Upload file(s) from your local drive for best performance
- Faster upload time when you upload a smaller number of files
- Delete any files showing "Failed" status before submitting

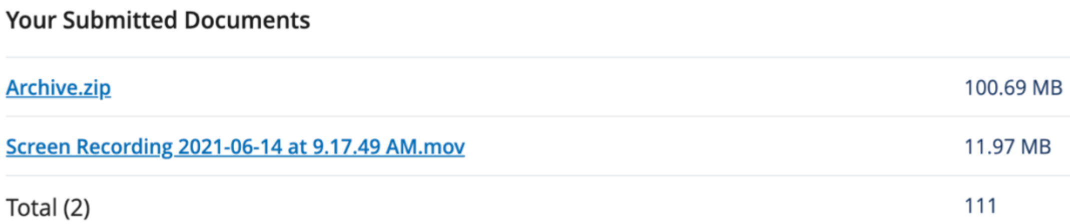


Remove Uploaded File: If you uploaded a file that you do not want to be part of your submission, click the “X” icon to the far right of the filename and it will be removed from the list.



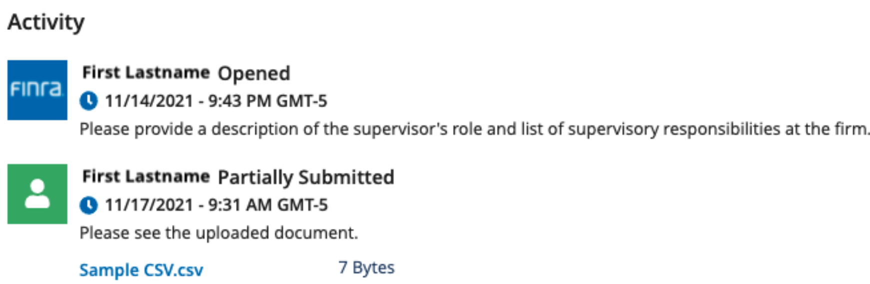
Downloading Files

You can only from submitted documents section of the item request. You can download any of the uploaded files by clicking on the filename from the submitted documents section of the item request and it will open.

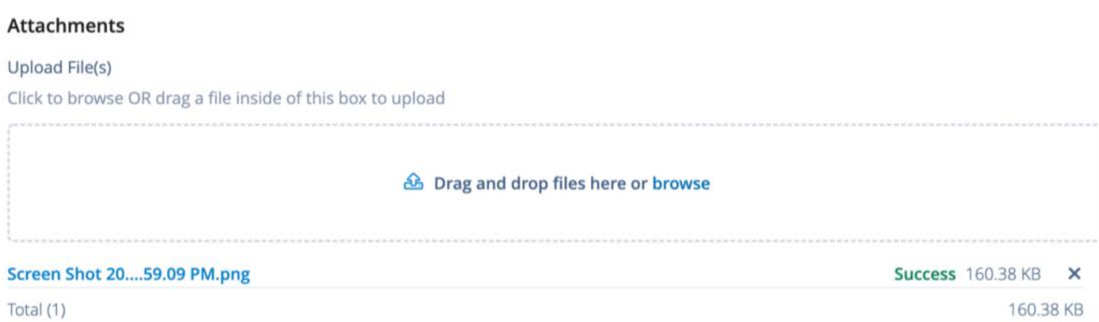


You cannot download files from activity section or attachments section

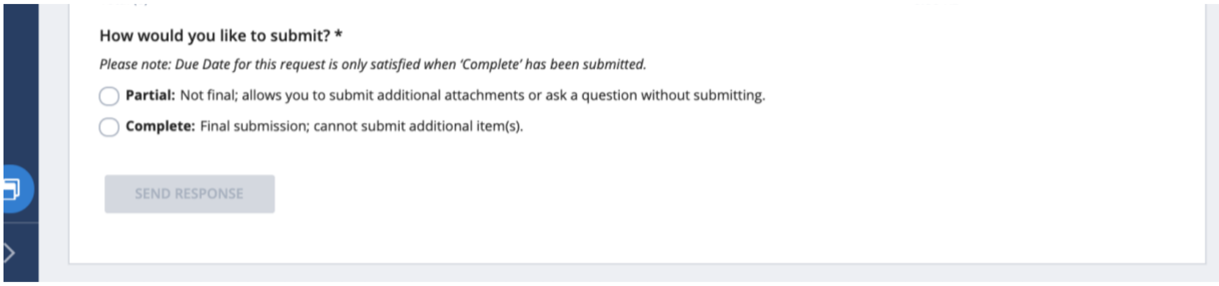
a. Activity section



b. Attachments section



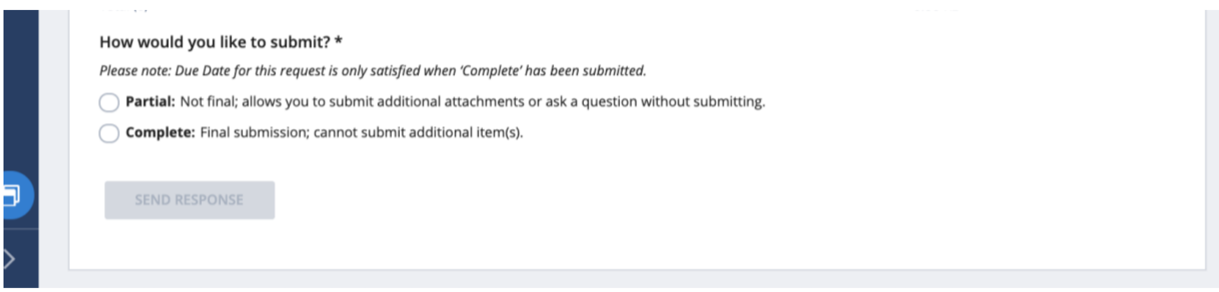
Partial Submission Response



Firm user can partially submit information to FINRA, allowing them to submit additional information until ready to finalize and "Complete Submission". **A Partial Submission does not satisfy the due date.**

- To submit a partial submission, firm **must add comments or upload your files**, select "Partial" radio button and then click the "Send Response" button. The submission will not be allowed without adding comments or attachments.
- The partially submitted item is flagged as "Partially Submitted" to FINRA and remains in the Open status within FINRA Gateway.
- The item response is in Open status so firm can add more comments, upload additional files and send as partial response while the item remains in Open status.
- *A Partial Submission does not satisfy the due date.*
- ***Applicable** to all request types except Blue sheet. Refer to Blue sheet item response explained.*
- If you get a "general" technical error pop up after submitting your response, try refreshing the browser page and resubmit.

Complete Submission Response



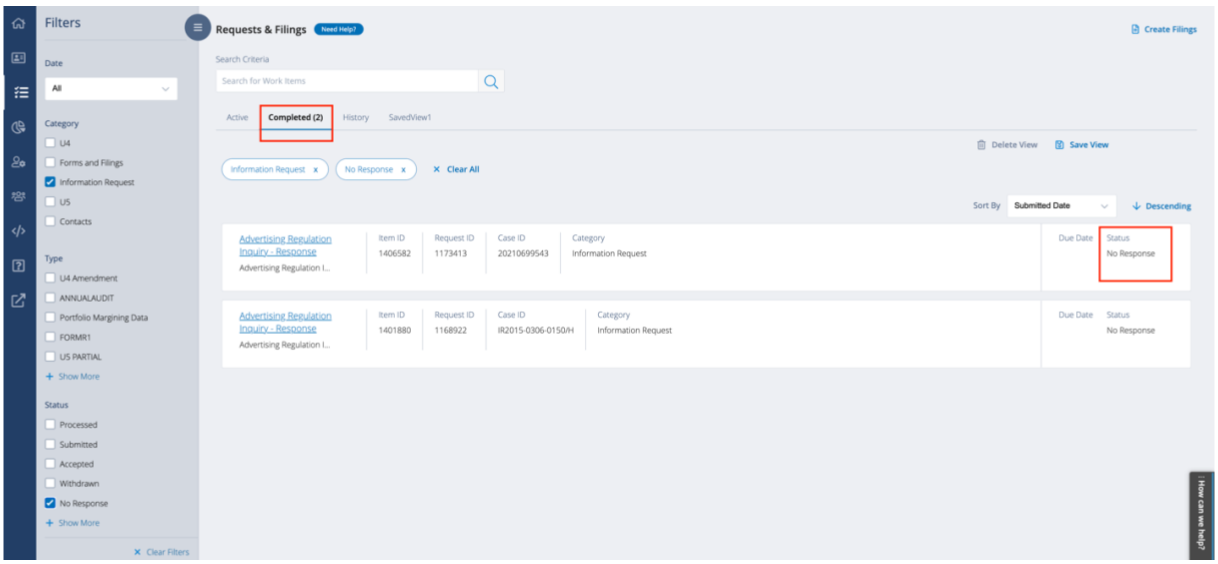
- To satisfy the due date, firm **must add comments or upload your files**, select "Complete" radio button and then click the "Send Response" button. The submission will not be allowed without adding comments or attachments.
- Once a Complete Submission has been sent, the status changes to "Submitted" and firm can no longer make any further changes or additions. If you need to make further changes or additions, please reach out to the Requestor at provided email address at top of the Item's information summary.
- If you get a "general" technical error pop up after submitting your response, try refreshing the browser page and resubmit.

What is a "No-Response" Request?

The "No Response" status allows FINRA to send information to a firm in those situations where FINRA does not expect or want a response. Here are some examples of requested items that *might* not require a response from the firm:

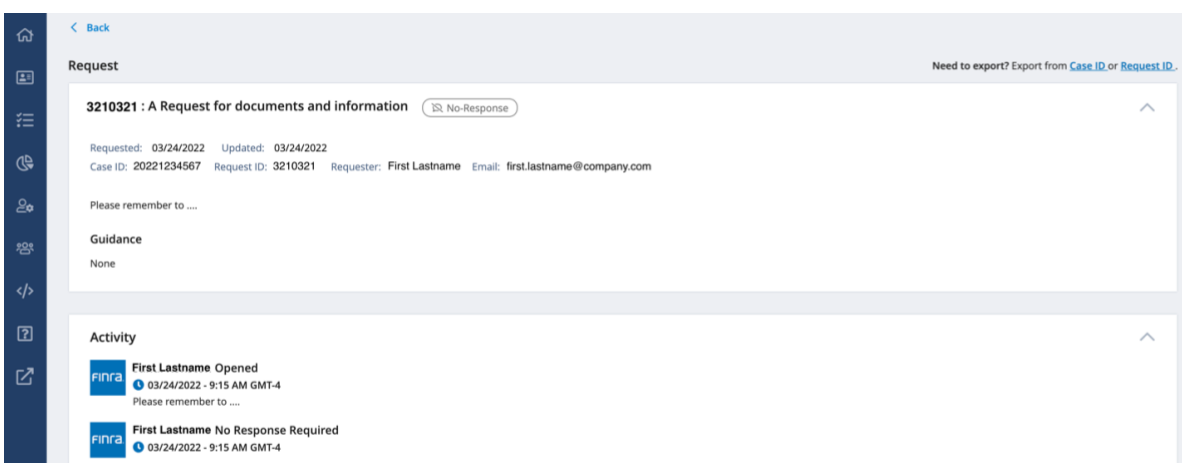
- Examination Cover Letter
- Examination Report
- No Further Action Letter
- Disposition Letter

Where can I find "No-Response" Items?
In FINRA Gateway's Requests & Filings, you can find "No-Response" requests, if any exist, in the Completed tab as shown in screenshot below. Requested Items that leverage the "No Response" status do not have a due date and do not require any action on your part.



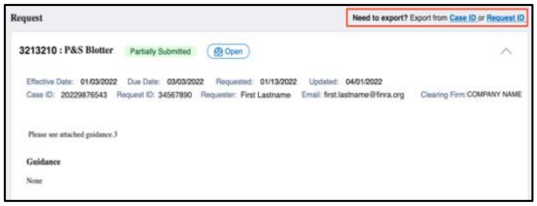
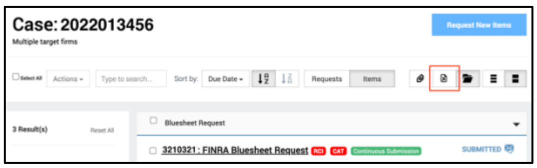
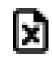
"No-Response" Item Response form

- The "No-Response" status is displayed on the Item Response form in FINRA Gateway's Requests & Filings, within Completed tab.
- The Due Date field is blank for "No Response" Requests
- A firm will not be able to perform any actions on "No Response" items – e.g., firm will not be able to upload any files in response to a "No Response" item.
- The Activity section for "No Response" items will include two events (**Open** and **No Response Required**)



Export Case or Request from Item Response on FINRA Gateway

As a member firm, you can export item details from FINRA Gateway's Requests & Filings

<u>Action</u>	**<u>Notes</u>**
From FINRA Gateway's Requests & Filings, open an Information Request and you can export the item's case information or request information.   	• By selecting the Case ID or Request ID, you will go to Request Manager Portal where you can select the export icon which is an image of a document with an "x"  • The Export feature downloads the list of items you have whether at the Case or Request level at the time you request the Export. For example: ○ If you filter the list to only Submitted items, then only these items will be included in the Export. • The Export will create a .CSV file that you can choose to open in a spreadsheet application or save.

Export File fields explained (Case and Request):

Name	Description	Type
1. Item Name	Descriptive name of the requested item	Text
2. Item Category	Category in which the requested item fits	Text
3. Item Type	Tag for type of information requested by FINRA.	Possible Values: • Document • Question
4. As-of Date	Point-in-time date specified for the information requested by FINRA	MM/DD/YYYY
5. Start Date	Starting date in a date range for which information is requested by FINRA	MM/DD/YYYY
6. End Date	Ending date in a date range for which information is requested by FINRA	MM/DD/YYYY
7. Due Date	Date by which the item must be submitted	MM/DD/YYYY
8. Item Notes	FINRA-provided notes for the requested item	Text

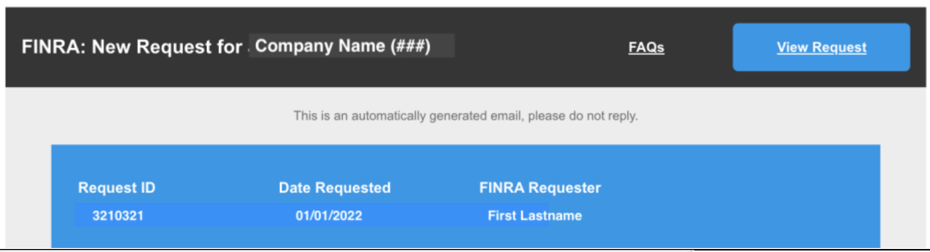
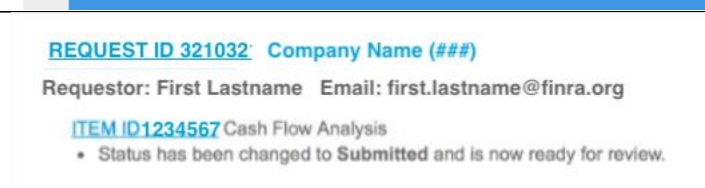
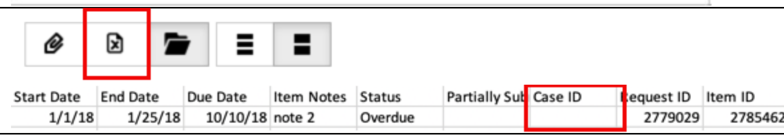
Name	Description	Type
9. Status	State of the requested item (see Statuses in Request Manager section for details)	Possible Values: • Open • Overdue • Received • Re-Opened • Submitted • Withdrawn
10. Partially Submitted	This field indicates if the submission is in the Partially Submitted State.	Possible Values: • Blank field • Y
11. Case ID	Unique identifier for the FINRA Case/Matter number to which this request pertains	9 numeric digits
12. Request ID	Unique identifier for each Request published by FINRA	6 numeric digits
13. Item ID	Unique identifier for each item requested	6 numeric digits
14. Requested	Date item was requested by FINRA	MM/DD/YYYY
15. Latest Submitted Date	The latest date on which something was submitted to FINRA.	MM/DD/YYYY
16. Received Date	Date the submitted item was received by FINRA	MM/DD/YYYY
17. Requestor	Name of the FINRA Staff member who made the request	Text
18. Link	This is a url to the request within FINRA Gateway's Requests & Filings.	Text *(Url must be copied and pasted into a browser.)*

Risk Monitoring Analyst Requests

Request Manager includes Information Request type – Regulatory Coordinator Requests. Regulatory Coordinators are responsible for requesting information related to the firm's financial performance, and risks associated with the firm's activities.

The firm experience for responding to Regulatory Coordinator (RC) requests is very similar to the firm experience for responding to other Information Requests. The primary difference is centered around the fact that RC's are not sending requests in the context of an exam, so there are no unique case identifiers (like STAR case ID) that can be displayed to the firm's users. Instead, the Request IDs for these Regulatory Coordinator requests will serve as unique identifiers.

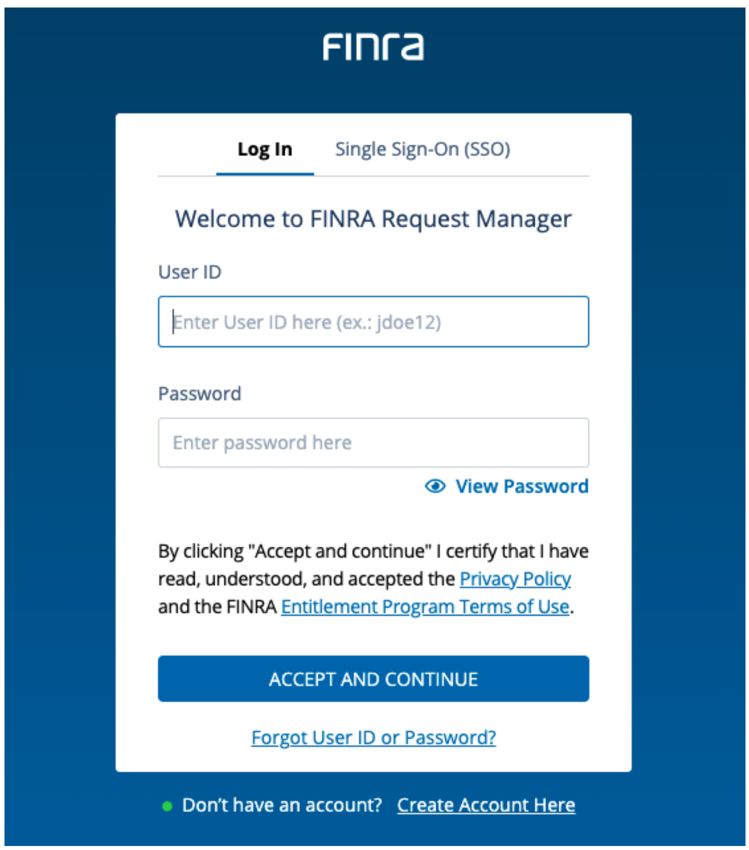
Please see the examples below for those places in the process where the Case ID is omitted from view for firm users.

Request Published Email Notification	
Daily Digest Email Notification	
Export Requested Items to Excel	

Non-Member Firm Individual User: Request Manager Portal

As a non-member firm individual user

1. You can access Request Manager portal to respond to FINRA requested items by clicking on the link to the requested item directly from the email notification. Non-member firm individual users can be individuals, Registered Representatives, Outside Counsels, etc.
2. Once you have received an Email Notification from FINRA indicating that the request is published to you, you will be able to reach the authentication page with header indicating - Welcome to FINRA Request Manager.
    - If you have already created a FINRA Self-Registered account associated with the email address that you received the email notification from, you can start logging in to the Request Manager Portal.
    - Otherwise, by clicking on the “Create Account Here” link on the Request Manager Portal sign in page, you will be able to create a FINRA Self-Registered user account to access the Request Manager Portal.
    - **Note that in order to access the requests that were published to you, you must register your account using the email address you received the email notification from FINRA Information Requests in order to complete the registration process. You cannot use any existing FINRA Member Firm account to access.**

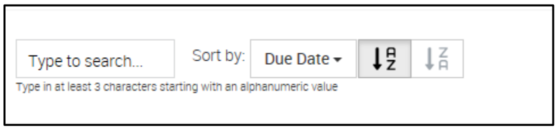


Finding Items in Request Manager

Action

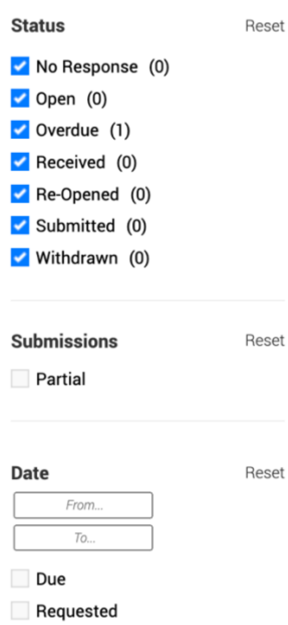
Once you are in a Case or Request page, the features available are seen below:

Searching/Sorting:

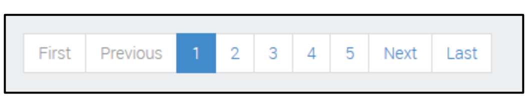


Letter Attachments, Categories, Export, List Display

Filtering:



Navigating Pages:



Notes

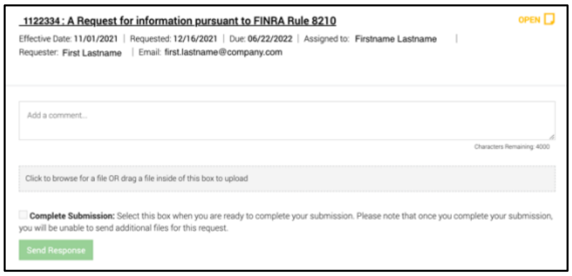
- **Searching/Sorting at the top of the screen**
  a. You can use the 'Type to Search' box to search for criteria such as Item Number, Item Name and Requester Name.
  b. You can sort by a variety of fields including Due Date, Status and Item Name.
- **Paper clip** – shows the letter attachment(s) included as part of this request or case.
- **X Icon** – Exports a list of items (based on your search, sort and filter) to a spreadsheet.
- **File Folder Icon** – Removes the categories from the list (useful when you want to sort the entire list without regard to category).
- Expand/Collapse list display icons.

- The Filters on the left of the screen will immediately limit your list to the selections chosen for:
  a. Status
  b. Submissions - Partial
  c. Date (due, requested)
  d. Item type – Document/Question

- Each page will display 20 items.
- You can go to the next page, or any page of results, by using the pagination feature at the bottom of the screen.

Responding to an Information Request Item

<table>
<tr><th><u>Action</u></th><th><u>Notes</u></th></tr>
<tr><td>
There are two views in which you can send response to items

The Case/Request Page


The Item Details Page


Next and Back arrows in the Item Details Page

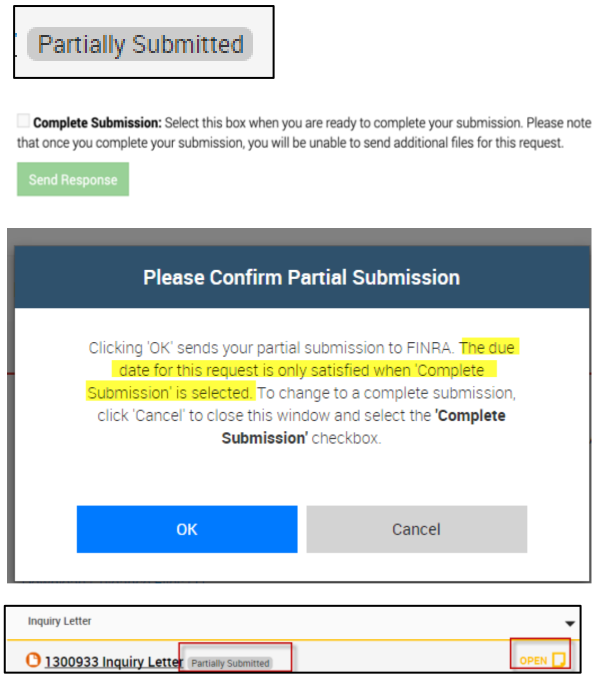

</td><td>
• You can work directly from the Case/Request page to respond to requests:
a. You can review FINRA guidance notes and file(s).
b. You can upload attachments.
c. You can send a partial submission.
d. You can send a complete submission.
e. You can include a comment with your submission.
f. You can send the response to FINRA.
g. For a previously submitted item, you can download all attachments you sent to FINRA.

• If you click on an item name from the Case/Request page you can view Item Details, from which you can:
a. Perform all tasks outlined above for the Case/Request page.
b. Also, you can view all Activity for this item such as: who at FINRA created the request, each action your firm and FINRA have taken on the request, including comments and attachments sent.

• You can use the ‘next’ and ‘back’ arrows to navigate across items on the Item Details page.
</td></tr>
</table>

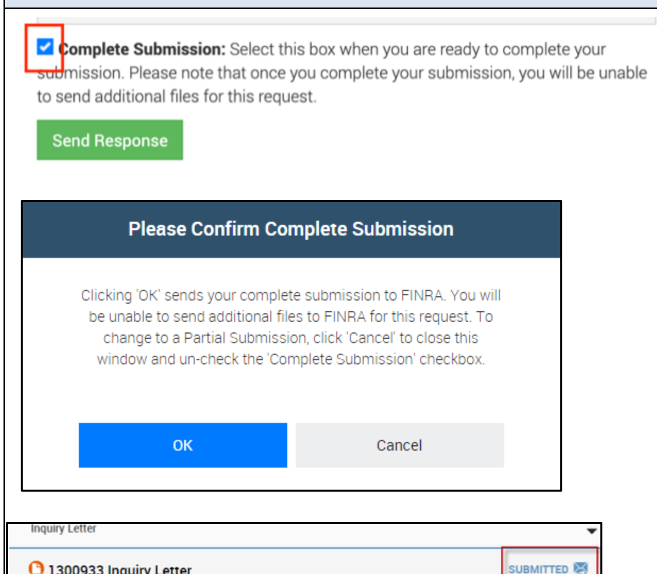
Partial Submission

Applicable to all request types except Blue sheet. Refer to Blue sheet submission section for Blue sheet Requests.

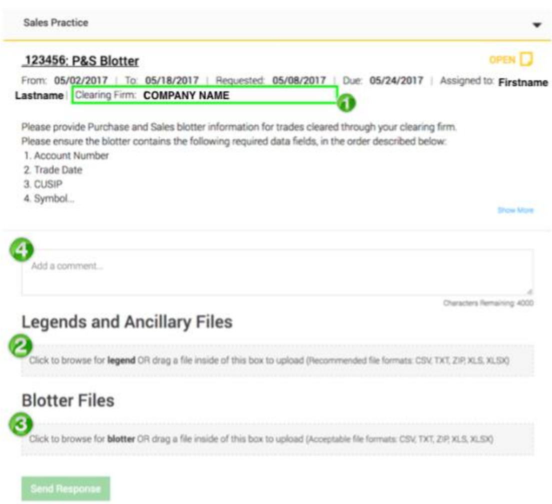
<u>**Action**</u>	<u>**Notes**</u>
Partially Submitted 	Firms can partially submit information to FINRA, allowing them to submit additional information until the "Complete Submission" checkbox has been checked. • **A Partial Submission does not satisfy the due date.** • To submit a partial submission, upload your files and click the green "Send Response" button. • You will receive a Partial Submission confirmation pop up. Click OK. • The partially submitted item is flagged as "Partially Submitted" and remains in the Open status. *A Partial Submission does not satisfy the due date.* • Partial Submissions are not applicable for Blue sheet Requests

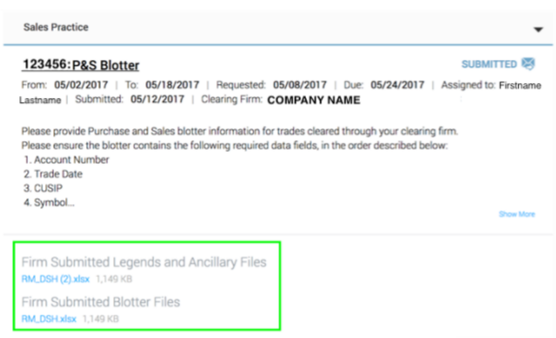
Complete Submission

Applicable to all request types except Blue sheet. Refer to Blue sheet submission section for Blue sheet Requests.

<u>**Action**</u>	<u>**Notes**</u>
	• To satisfy the due date, firms must click the "Complete Submission" checkbox and submit documentation or add a comment in the Comment box. • After "Send Response" is clicked, the Complete Submission pop up appears. Click "OK." • Once a Complete Submission has been sent, the status changes to "Submitted." • Complete Submission is not applicable for Blue sheet Requests.

Blotter Requests and Submissions

<table>
<tr><th><u>Action</u></th><th><u>Notes</u></th></tr>
<tr><td>




</td><td>

- FINRA has made changes to the submission process for "P&S Blotter" and "Order Blotter Records Request". Here are the steps that a firm needs to make to submit a response for one of the blotter requests:

1. For "P&S Blotter" each submission must be specific to an indicated clearing firm.
2. Upload Legend and Ancillary file(s) into the "Legends and Ancillary Files" upload section. Note that only files of the following types are allowed: .csv, .doc, .docx, .msg, .pdf, .txt, .xls, .xlsx, .zip.
3. Upload Blotter file(s) into the "Blotter Files" upload section. Note that only files of the following types are allowed: .csv, .txt, .xls, .xlsx, .zip.
4. Optionally provide a comment.
5. Then rest of the process remains the same – users can use partial submission if needed.

- Submitted files will appear in their respective sections with the requested item and on the Item Details page.

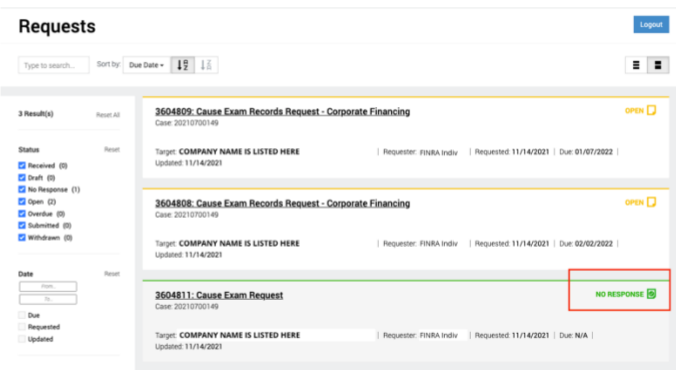
</td></tr>
</table>

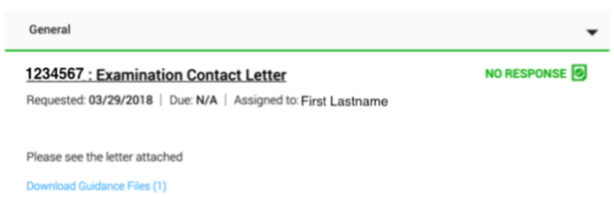
No Response Request Status

"No Response" status allows FINRA to send information to a firm in those situations where FINRA does not expect or want a response. Here are some examples of requested items that *might* not require a response from the firm:

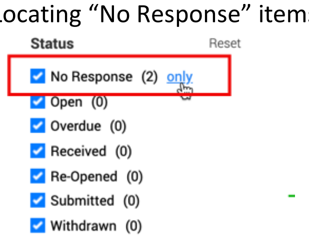
- Examination Cover Letter
- Examination Report
- No Further Action Letter
- Disposition Letter

Requested Items that leverage the "No Response" status do not have a due date, and there are no filing reminders created for such requests in the FINRA Gateway or old Information Request Cabinet. Please note that a Request is considered to be in the "No Response" state when all the Items enclosed in that Request are in the "No Response" state.

<table>
<tr><th><u>Action</u></th><th><u>Notes</u></th></tr>
<tr><td>Request Manager Portal:


Viewing "No Response" item in the list of items


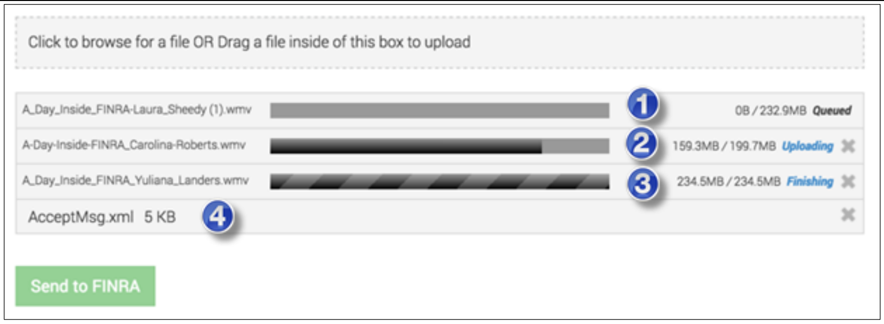
Viewing "No Response item details"


Locating "No Response" items


</td><td>
A Request will show up as "No Response" in the Information Requests tab only if all of the underlying Items are of "No Request" type. If any of the Items underlying a request DO require a firm response, then the Request itself will appear in one of the following statuses: Open, Submitted, Received, or Withdrawn.
The Due Date field is blank for "No Response" Requests
The Due Date field is displayed as not applicable "N/A" for "No Response" Items
A firm will not be able to perform any actions on "No Response" items – e.g., firm will not be able to upload any files in response to a "No Response" item.
The Activity section for "No Response" items will include two events (Open and No Response Required)
The new "No Response" status allows a user to easily locate "No Response" items inside of a Case or a Request

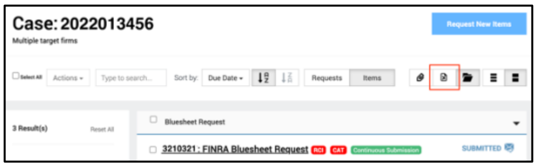
</td></tr>
</table>

File Upload Widget

Action	**Notes**
The file upload widget provides information about the status of files being uploaded. Note: The user experience with the new file uploader is optimized for modern browsers. We strongly recommend users avoid using older browsers including Internet Explorer®(IE) 7, IE8, and IE9 for performance and security reasons. These browsers are no longer supported by Microsoft.	 To lay the way for Request Manager to accommodate larger files in the future, our new File Upload is leveraging Amazon S3 storage and a dual Key Management System to ensure security of the files as they are uploaded. As a result, we have enhanced the File Upload Widget to share more information about the status of files as they go through the upload process: Files have four major states with upload progress indicators: 1. **Queued** - This occurs immediately after a file was added to the list of uploads. 2. **Uploading** - The active stage of copying the files from the firm's machine to FINRA's storage. 3. **Finishing** - The stage when a file is being moved from an initial storage to a permanent one. This procedure is done to add an additional layer of security. The time that a file remains in the Finishing state will vary greatly depending on the file size. This will be much slower in older browsers. 4. **Completed** – This confirms that the file has been saved to permanent storage and the upload has been completed successfully. Note: Only the filename is displayed in this status. **Note**: When uploading more than six files at a time, only six will be displayed until one or more is in the Completed state. Then, additional files that were selected for upload will be displayed. This process will continue, six at a time, until all selected files have been uploaded.

Exporting a List of Items

If you are a non-member firm (individual) user, you can export item details from Request Manager Portal.

Action	**Notes**
From a Request or Case page you can select the Export icon at the top right of the page:  	• The Export feature downloads the list of items you have filtered/sorted at the time you request the Export. For example: ○ If you filter the list to only Submitted items, then only these items will be included in the Export. • The Export will create a .CSV file that you can choose to open in a spreadsheet application or save.

Export File fields explained (Case and Request):

Name	Description	Type
1. Item Name	Descriptive name of the requested item	Text
2. Item Category	Category in which the requested item fits	Text
3. Item Type	Tag for type of information requested by FINRA.	Possible Values: • Document • Question
4. As-of Date	Point-in-time date specified for the information requested by FINRA	MM/DD/YYYY
5. Start Date	Starting date in a date range for which information is requested by FINRA	MM/DD/YYYY
6. End Date	Ending date in a date range for which information is requested by FINRA	MM/DD/YYYY
7. Due Date	Date by which the item must be submitted	MM/DD/YYYY
8. Item Notes	FINRA-provided notes for the requested item	Text
9. Status	State of the requested item (see Statuses in Request Manager section for details)	Possible Values: • Open • Overdue • Received • Re-Opened • Submitted • Withdrawn

Name	Description	Type
10. Partially Submitted	This field indicates if the submission is in the Partially Submitted State.	Possible Values: • Blank field • Y
11. Case ID	Unique identifier for the FINRA Case/Matter number to which this request pertains	9 numeric digits
12. Request ID	Unique identifier for each Request published by FINRA	6 numeric digits
13. Item ID	Unique identifier for each item requested	6 numeric digits
14. Requested	Date item was requested by FINRA	MM/DD/YYYY
15. Latest Submitted Date	The latest date on which something was submitted to FINRA.	MM/DD/YYYY
16. Received Date	Date the submitted item was received by FINRA	MM/DD/YYYY
17. Requestor	Name of the FINRA Staff member who made the request	Text
18. Link	This is a url to the request within FINRA Gateway's Requests & Filings.	Text *(Url must be copied and pasted into a browser.)*

Statuses – FINRA Gateway & Request Manager Portal

Status	Description and Options
Open/Overdue	• This is an item that FINRA has requested and for which your firm has not yet submitted a response. • An "Overdue" item is an open item for which your firm has not submitted a response prior to the expiration of the due date.
Submitted	• This is an item for which your firm has submitted a response to FINRA's request, but receipt of the submission has not been acknowledged by FINRA. • The receipt of your firm's submission does not mean that the file has been deemed to be complete and/or accurate.
Re-Opened	• This is an item for which your firm submitted a response and the FINRA staff member re-opened because the submission was not satisfactory. • FINRA staff are required to provide a comment when re-opening a submitted request so that firms may respond accordingly.
Received	• This is an item for which FINRA has acknowledged receipt of your firm's submission. • Once the status for an item is "Received" there is no further action required by the firm for this item request. If FINRA needs additional information, another information request will be issued. • This is not applicable for Blue sheet Submission(s)
Withdrawn	• This is an item for which FINRA withdrew the request. • Once the status for an item is "Withdrawn" there is no further action required by the firm for this item request. If FINRA needs additional information, another information request will be issued.
No Response	• Items in the "No Response" status are intended to deliver information from FINRA to firms where FINRA does not expect or want the firm to respond.

Email Notifications

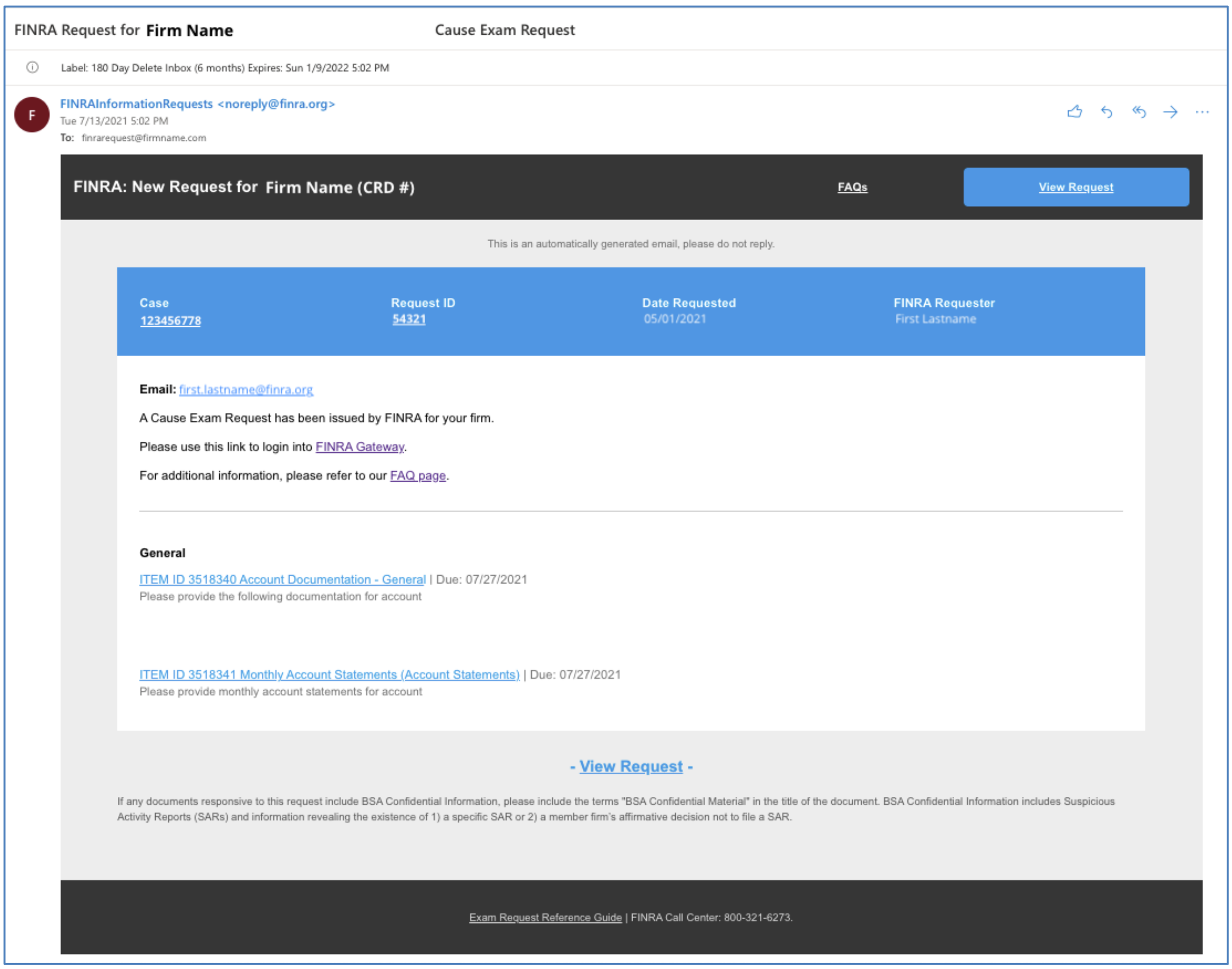
Notification	When sent
New Records Request	• Immediately when the request is published by FINRA staff member.
Your Daily Information Requests Digest	• Published once daily in the morning for each open Request/Case that includes open FINRA information requests. • This email highlights items for which changes have been made for each Request/Case.

Sample New Record Request Notification email

As a firm user

As a Firm User you will receive an email notification where in it will have the links to the requests.

- Explain where the links take us



FINRA Request for **Firm Name** Cause Exam Request

Label: 180 Day Delete Inbox (6 months) Expires: Sun 1/9/2022 5:02 PM

FINRAInformationRequests <noreply@finra.org>
Tue 7/13/2021 5:02 PM
To: finrarequest@firmname.com

FINRA: New Request for Firm Name (CRD #) FAQs View Request

This is an automatically generated email, please do not reply.

Case	Request ID	Date Requested	FINRA Requester
123456778	54321	05/01/2021	First Lastname

Email: first.lastname@finra.org

A Cause Exam Request has been issued by FINRA for your firm.

Please use this link to login into FINRA Gateway.

For additional information, please refer to our FAQ page.

General

ITEM ID 3518340 Account Documentation - General | Due: 07/27/2021
Please provide the following documentation for account

ITEM ID 3518341 Monthly Account Statements (Account Statements) | Due: 07/27/2021
Please provide monthly account statements for account

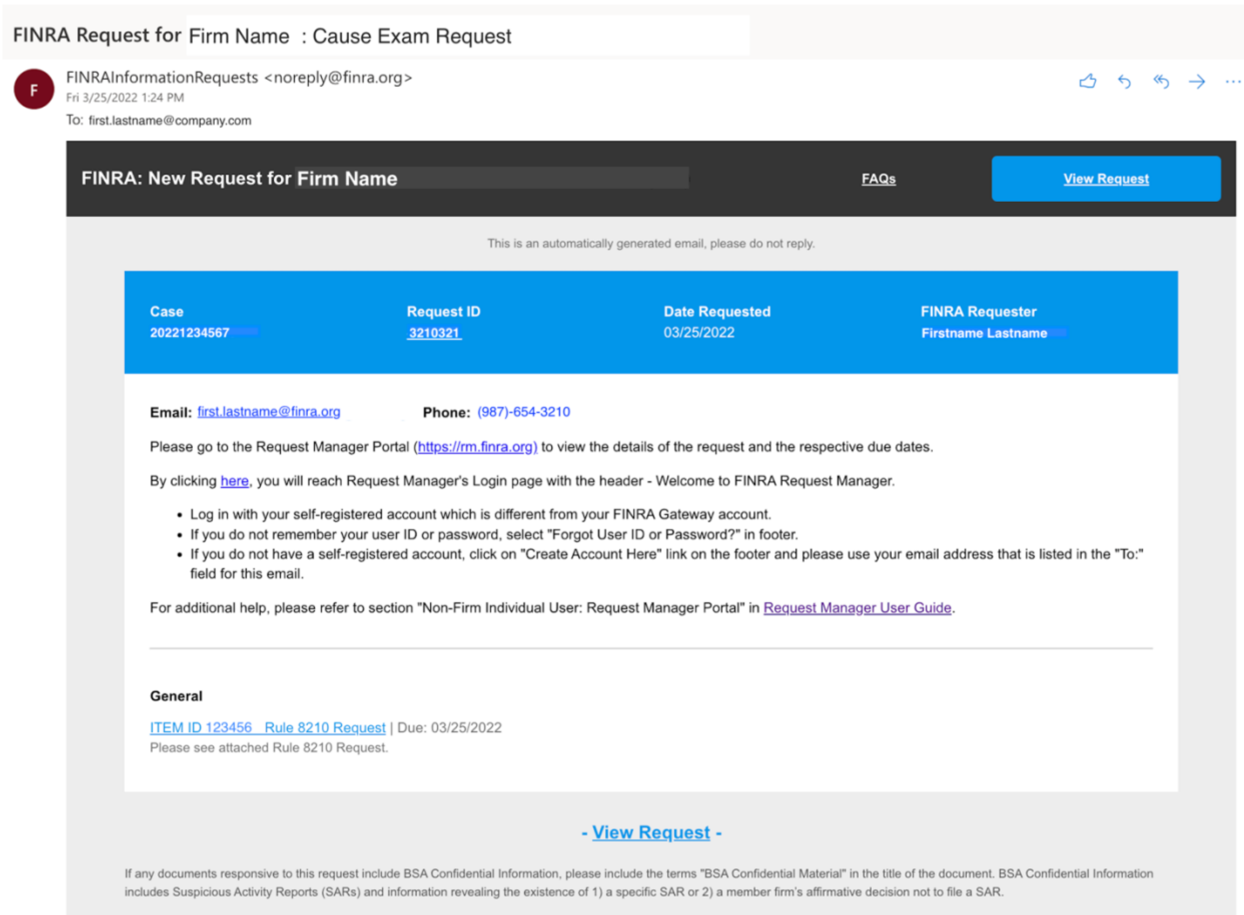
- View Request -

If any documents responsive to this request include BSA Confidential Information, please include the terms "BSA Confidential Material" in the title of the document. BSA Confidential Information includes Suspicious Activity Reports (SARs) and information revealing the existence of 1) a specific SAR or 2) a member firm's affirmative decision not to file a SAR.

Exam Request Reference Guide | FINRA Call Center: 800-321-6273.

As an individual user

To access the request in Request Manager Portal, you will need to self-register. See details in section: *As a non-member firm individual* user



FINRA Request for Firm Name : Cause Exam Request

F FINRAInformationRequests <noreply@finra.org>
Fri 3/25/2022 1:24 PM
To: first.lastname@company.com

FINRA: New Request for Firm Name FAQs View Request

This is an automatically generated email, please do not reply.

Case	Request ID	Date Requested	FINRA Requester
20221234567	3210321	03/25/2022	Firstname Lastname

Email: first.lastname@finra.org **Phone:** (987)-654-3210

Please go to the Request Manager Portal (https://rm.finra.org) to view the details of the request and the respective due dates.

By clicking here, you will reach Request Manager's Login page with the header - Welcome to FINRA Request Manager.

- Log in with your self-registered account which is different from your FINRA Gateway account.
- If you do not remember your user ID or password, select "Forgot User ID or Password?" in footer.
- If you do not have a self-registered account, click on "Create Account Here" link on the footer and please use your email address that is listed in the "To:" field for this email.

For additional help, please refer to section "Non-Firm Individual User: Request Manager Portal" in Request Manager User Guide.

General

ITEM ID 123456 Rule 8210 Request | Due: 03/25/2022
Please see attached Rule 8210 Request.

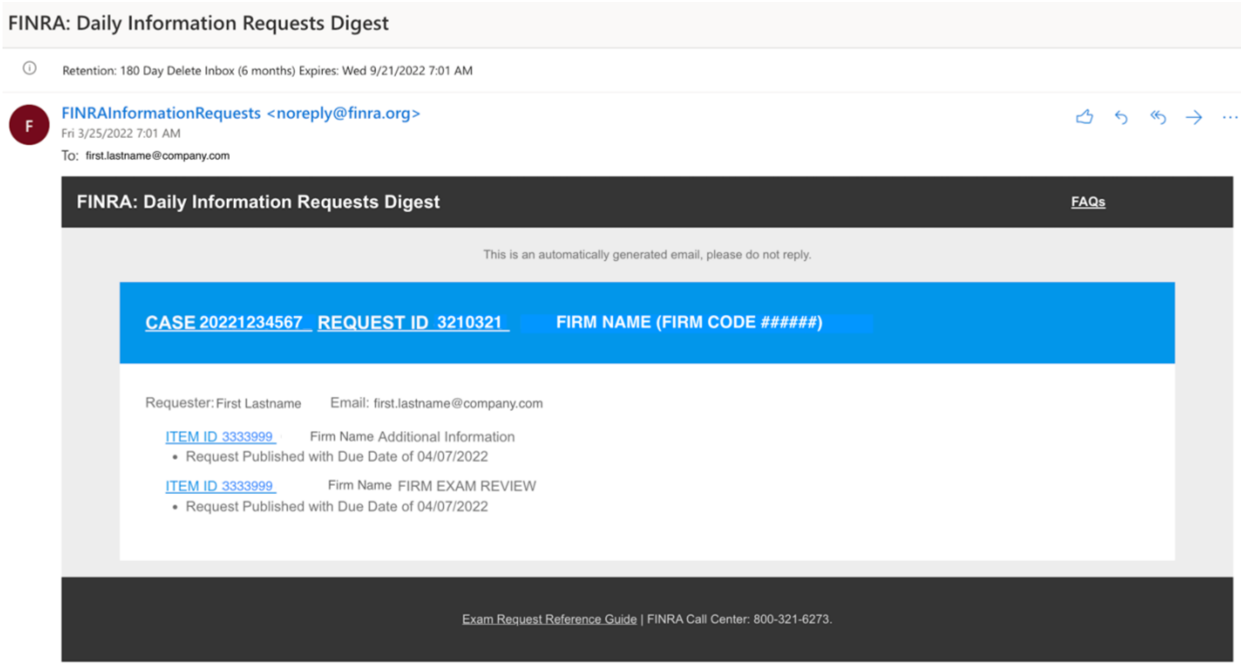
- View Request -

If any documents responsive to this request include BSA Confidential Information, please include the terms "BSA Confidential Material" in the title of the document. BSA Confidential Information includes Suspicious Activity Reports (SARs) and information revealing the existence of 1) a specific SAR or 2) a member firm's affirmative decision not to file a SAR.

Note: You must register your account using the exact email address you received this email notification.

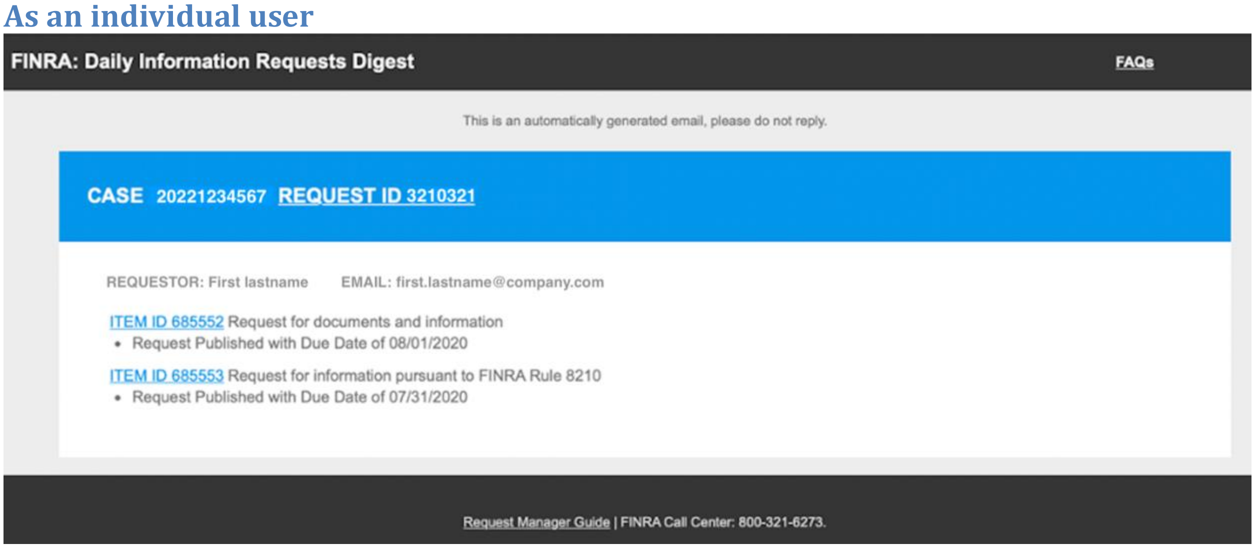
Sample Daily Information Request Digest email

As a firm user



Note: You may contact your FINRA Risk Monitoring Analyst or the 'Assigned To' FINRA staff member on any item to discuss adding or removing notification contacts for your firm on a request.

As an individual user



For assistance with FINRA Gateway for Firm requests, please go to
https://gateway.finra.org/app/support

For assistance by phone, please contact:
The FINRA Call Center
(800) 321-6273
Monday-Friday, 8 A.M.-6 P.M. Eastern Time