



# **Issue Management System Web User Guide**

Version 1.3

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## What is the Issue Management System?

The [Issue Management System](#) allows firms to add, view and update issue reference data to comply with FINRA Rules 6760 (Underwriter Obligation to Provide Notice), 6730 (Transaction Reporting), or 6620 (OTC symbol request).

## What's Changing?

Instead of using the Firm Gateway filing platform, you will submit FINRA New Issue Forms via the new Issue Management System.

This system will allow you to:

- ✓ submit new issues;
- ✓ save draft submissions;
- ✓ make changes and updates to previously submitted issues;
- ✓ submit new issues in bulk via a file upload; and
- ✓ View the status of submissions

## Accessing the Site

Access to this secure site requires a FINRA login ID and password. Existing users of the Firm Gateway Filings Platform will automatically have access to the [Issue Management System](#) using their existing log in credentials. Please see your firm's Super Account Administrator (SAA) if a new log in ID is needed. The FINRA Entitlement Group (301) 869-6699 can assist you with determining your SAA or resetting your password.

**Production** Web Address: <https://newissue.finra.org> available 9/28/2020





**Test Environment** Web Address: <https://newissue.ct.finra.org>

Please note supported browsers are Chrome and Edge.

## Viewing the Issue Management Screen

After a successful login, the Issue Management system will open displaying the default Filings screen.

Issue Management features three modules which may be accessed by a side panel menu:



<p>1.  Filings</p>	<ul style="list-style-type: none"> <li>• View a list of your firm's submitted issue filings and track their approval process.</li> <li>• Edit and update existing files.</li> <li>• Print and export issue data.</li> </ul>
<p>2.  Legacy Filings</p>	<ul style="list-style-type: none"> <li>• Provides a link back to legacy filings submitted on the Firm Gateway filing platform.</li> </ul>
<p>3.  Help</p>	<ul style="list-style-type: none"> <li>• Opens the Issue Management System user guide.</li> </ul>
<p>4.  Contact Us</p>	<ul style="list-style-type: none"> <li>• Contact Market Operations at 1-866-776-0800 or <a href="mailto:finraoperations@finra.org">finraoperations@finra.org</a> with questions or feedback.</li> </ul>

## Filings

The Filings screen displays a list of all products/issues submitted by your firm along with the filing status.

### Sorting and Filtering the List

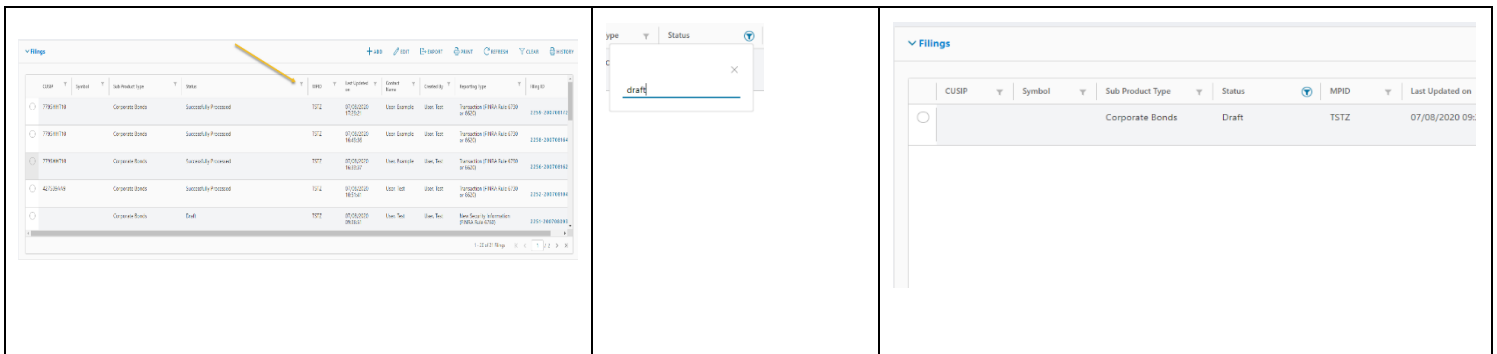
**Sorting:**


The list can be sorted in ascending or descending order by column type. For example, click the **Symbol** column header. The list will sort in ascending alphabetical order (an  arrow will display to the right of the column name.) Click the column header a second time to sort in descending order. To remove the current sort preference and refresh the list, click the clear icon  located at the top right corner of the grid. The list returns to the full display.

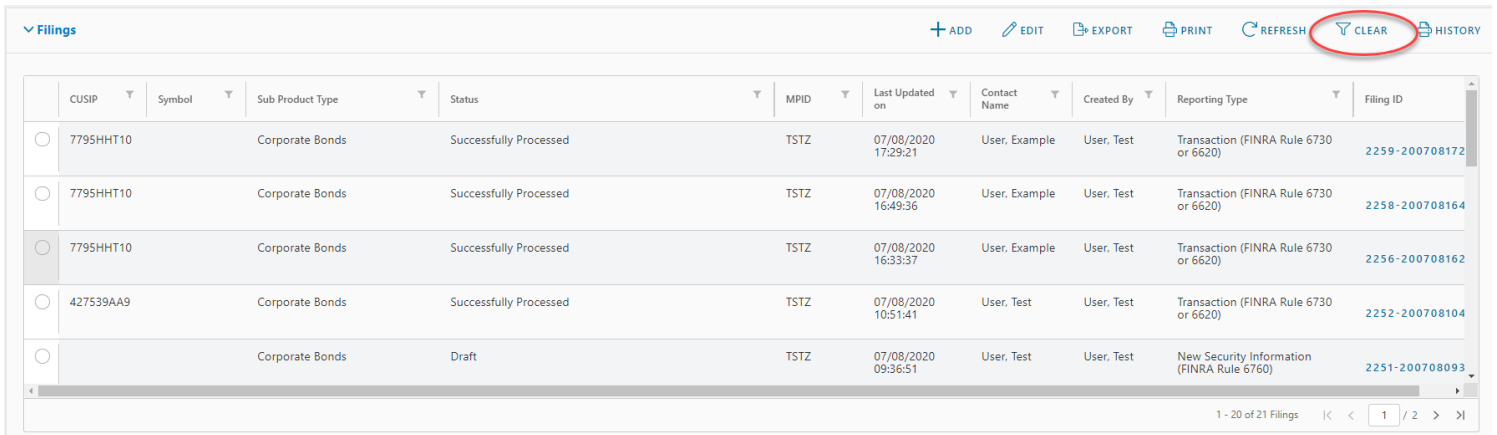
**Filtering:**

The system features a “type ahead search” functionality that allows you to progressively search and filter through the existing text available.

1. Click the **Filter Icon** to the right of the column you wish to filter. A text box displays.
2. Type the first letter of the word in the box. The list will automatically filter based on the number of matches to the search. The more letters you type, the more refined the return list becomes.





To remove the current sort preference and refresh the list, click  **Clear**. The list returns to the full display.



Double click on an issue to see its details. Click **Next** to navigate through the three components of a new issue. Click **Cancel** to return to the Filings main screen.


## Print Filings

From the Main Filing screen, click select the filing you wish to print and click  . A preview of the issues displays.

The  **Show All** feature is selected by default. This will print all fields on the form-both blank and populated. Unclick the check mark to deactivate the feature and only the populated fields on the form will print.


On the Print Preview window, Click  The issue data prints.

## Refresh Grid

From the button bar on the Main Filing screen, click  . This will refresh the grid, including security statuses.

## History

Displays the old and new values for fields on filings that have been updated. Note: This will only show changes made while in draft form and changes to the submission status. If you make an update to a filing, the submission is assigned a new Filing ID and will have its own History.

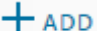
Click to select a filing. From the button bar on the Main Filing screen, click  . Field Name, Old Value and New Value display.

## Create A New Issue

You may create a single new issue or use the Upload File feature to create up to 1,000 issues for the same product type (i.e., CMO, ABSX, MBS, etc.).

For more information on the Upload File feature, see the File Upload User Guide.

## Single Issue Creation

Click the  **ADD** button located at the top right of the window. The **FINRA New Issue** wizard opens. This wizard is a three-screen process.

### 1. Firm Information

- Verify Contact data. The Contact Name, Phone and Email will default to the contact details associated with your login ID but may be manually overwritten.
- On the **Product Type** field, click the dropdown arrow to select a product from the list. Based on the product selected, other questions may display. Fields marked with an asterisk (“\*”) are required and must be provided in order to complete the filing submission.
- Once all required fields are completed, click the **Single Entry** button.

FINRA New Issue

1 Firm Information

2 Comments/Attachments

Firm Information

Contact Name: \* User, Test

Phone: \* 18667760800

Email: \* finraoperations@finra.org

Product Type: \* Agency Debt

MPID: \* TSTZ

Why are you submitting?: \*

New Security Information (FINRA Rule 6760, Obligation to provide notice)

Transaction (FINRA Rule 6730 or 6620 Transaction Reporting)

CANCEL UPLOAD FILE SINGLE ENTRY

## 2. Security Information

- Click to type in a free form field or use the drop-down arrows and pop-up calendars to populate all required fields.
- Click **Next** when all the required data is populated.

## 3. Comments/Attachments

- Optional- Click in the **Comments:** field to type any additional information.
- Optional- Click the **Choose File** to add an attachment. Common attachments include Offering Memos or Prospectuses (Note: Files may not be larger than 5MB)
- Click **Submit**.

FINRA New Issue

1 Firm Information

2 Security Information

3 Comments/Attachments

Comments/Attachments

Comments: this is a sample.

Please attach any other documents relevant to this Issue:

CHOOSE FILE

01-02-2020 (1).pdf 333.681 KB

CANCEL BACK SAVE AS DRAFT SUBMIT

Note: The form cannot be submitted until all required fields are populated with valid values. If the **Submit** button is not active, click the **Back** button and confirm all required fields are populated. If an error message appears next to a specific field(s), you must resolve error before proceeding.

A confirmation dialog box presents a **“Submitted Successfully!”** message. The issue displays on the main Filing Screen with a status of Submitted.

CUSIP	Symbol	Sub Product Type	Status	MPID	Last Updated on	Contact Name	Created By	Reporting Type	Filing ID
7795HGD19		Agency Bonds	Submitted	TSTZ	07/09/2020 14:11:01	User, Test	User, Test	Transaction (FINRA Rule 6730 or 6620)	2262-2007091411
7795HHT10		Corporate Bonds	Successfully Processed	TSTZ	07/08/2020 17:29:21	User, Example	User, Test	Transaction (FINRA Rule 6730 or 6620)	2259-2007081725
7795HHT10		Corporate Bonds	Successfully Processed	TSTZ	07/08/2020 16:49:36	User, Example	User, Test	Transaction (FINRA Rule 6730 or 6620)	2258-2007081645

## Upload File

The FINRA Issue Management system supports bulk uploads of the same sub-product. Please also see the File Upload user guide for assistance with formatting and submission of bulk filings.

Click the **Create New Issue** button located at the top right of the window. The **FINRA New Issue** wizard opens. The wizard is a three-screen process.

### 1. Firm Information

- Enter or verify Contact data. The Contact Name, Phone and Email will default to contact details associated with your login ID but may be manually overwritten.
- On the **Product Type** field, click the dropdown arrow to select a product from the list. Based on the product selected, other questions may display.
- Once all required fields are completed, click the **Upload File** button.

### 2. Upload File

Upload File ✕

1. Please review the instructions and download the template to upload securities.  
 2. Select the "Choose File" button below, click your .csv file and click "Open" to upload.  
 3. Your file will validate:

- If successful you are ready for submission, please select "Next"
- If you have validation errors, you may download your errors and review the field guidance in the template. Update the spreadsheet accordingly. Once updated please return to Step 2.

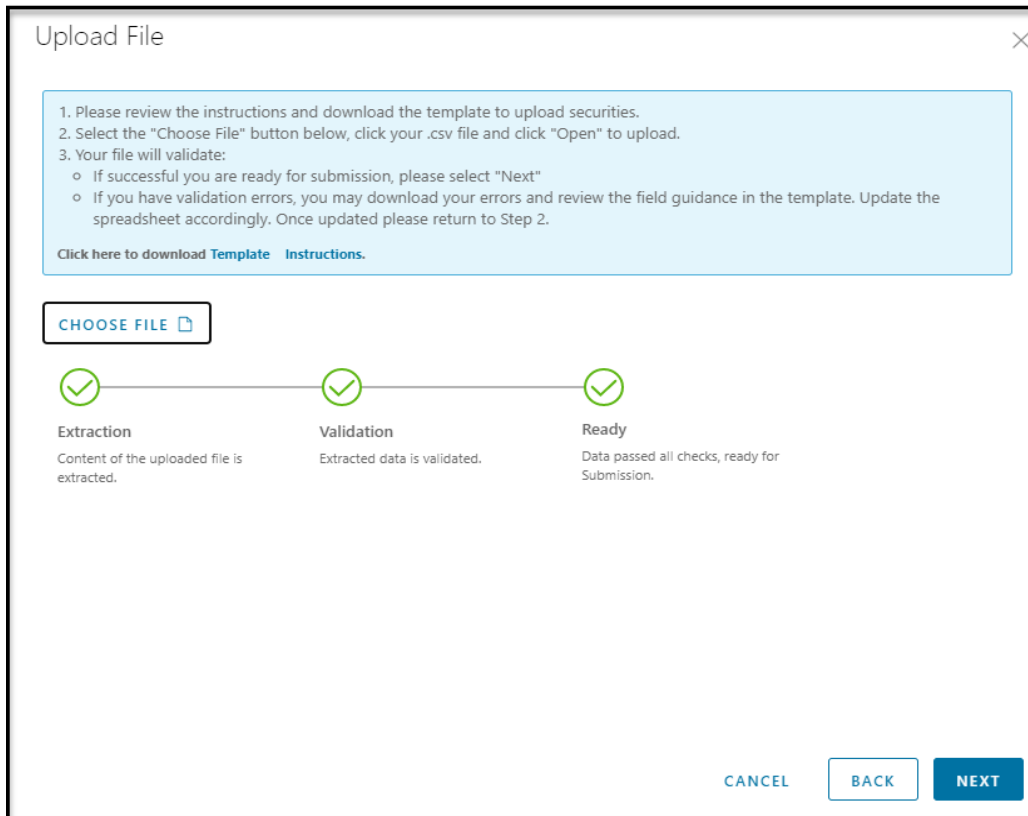
[Click here to download Template](#) [Instructions](#).

CHOOSE FILE

CANCEL BACK NEXT

- Click the **Template** link. A file will open in Microsoft Excel or a similar default editor.
- Enter one issue per row. Click to open the **Instructions** file for additional guidance regarding the type of security you are uploading.

- Once the issues have been added to all the rows, the file must be saved as a CSV file. Please note, a CSV file removes all formatting and tabs.
  - On the file menu, click **Save as**.
  - Choose the location where you wish to save the file.
  - Rename the file and choose **file type .csv**.
  - Click **Save**.
- You **must exit** Microsoft Excel or similar editor in order to proceed or the file will not upload properly.
- Click the **Choose File** button.
- Select and open your file. The system will extract and validate the data in the file. An error free upload displays three green arrows. If the file is not formatted correctly, an error message will display on this screen. The formatting must be corrected in order to proceed. Please see File Upload user guide for help with formatting.
- Click the **Next** button to display the **Comments/Attachments** screen.



If the file does not meet validations the following screen will display.



- If an error is received during validation,



**DOWNLOAD ERRORS**

- Click **DOWNLOAD ERRORS** to download “fileupload\_errors.csv”, this file provides the row number, validation, and column name for each error on the csv.
- Review the field guidance below and make sure all required fields are populated and all fields are formatted correctly.
- Update your saved CSV spreadsheet.
- Upload the file again.
- Once the upload is validated successfully and indicates Ready, click **Next**.

**Note:** The uploaded file must always be a CSV.


**3. Comments/Attachments**

- Optional- Click in the **Comments:** field to type any additional information.
- Optional- Click the **Choose File** to add an attachment.
- Click **Submit**. A confirmation dialog box presents a “**Submitted Successfully!**” message. The issues display on the main Filing Screen with a status of Submitted.

Note: If 20 issues are uploaded, 20 new individual entries will display on the Main Filings screen. To see the status of all entries in a single filing, click on **Filing ID**, this will load a **Print Summary** and provide details of how the submissions were processed.

**Edit a Filing**

If any information needs to be updated on a submitted filing, you may do so by editing the filing (Note: MPID and CUSIP may not be edited, please contact FINRA Market Operations if there is an error on CUSIP or MPID). From a submitted filing:

1. Double click a filing to open the submission or select a filing and click the **Edit** button .
2. Update fields as needed
3. Proceed to Step 3 and select **Submit**

Note: Documents attached to the initial submission will not appear on subsequent submitted updates but will be retained on the original submission record. It is not necessary to re-attach documents to subsequent filings.

**Save a Draft**

You may save the issue information as a draft at any time in the creation process. From an open issue:

1. Click the **Save as Draft**. A confirmation dialog box presents a “**Draft Saved Successfully!**” message.
2. Click the **Close** button to exit the confirmation box. The Issue displays on the main Filing Screen with a status of Draft. Double click the issue to resume working on it.

Filings									
CUSIP	Symbol	Sub Product Type	Status	MPID	Last Updated on	Contact Name	Created By	Reporting Type	Filing ID
		Corporate Bonds	Draft	TSTZ	07/08/2020 09:36:51	User, Test	User, Test	New Security Information (FINRA Rule 6760)	2251-2007080936

**Delete A Draft**

1. On the Main Filing screen, double click the draft you wish to delete. The draft issue opens.
2. From the Firm Information screen, click the **Next** button to display the Security Information screen.
3. Click the **Delete Draft** button. A confirmation dialog box presents a “**Draft Deleted Successfully!**” message.
4. Click the **Close** button to exit the confirmation box. The draft has been removed from the main screen.

## Filings Status Types

The system provides several statuses to help identify where an issue is in the submission life cycle. Please note that while filings are generally accepted 24/7, statuses are only returned during system processing hours, business days from 4am-630pm ET.

Draft	Partially completed and saved but NOT submitted.
Submitted	All required fields populated and sent for processing.
Successfully Processed	Accepted by FINRA.
Security Cannot Be Added	The Filing has been reviewed by FINRA and determined that the security cannot be added at this time
Not Processed: Security currently active	Security is currently active in the system.
Not Processed: Security cannot be updated	Updates not accepted for the security.

## FAQS

### **What if I don't know my Login?**

Please contact your Super Account Administrator (SAA) or FINRA Entitlement at (301)869-6699.

### **Can I test the changes?**

Yes, you may test the changes at any time in the test environment at <https://newissue.ct.finra.org/>.

Users should be prepared to enter valid security information, as filing submissions in the test environment will be transmitted to the NTF region of TRACE/TRAQS. Note: This environment is not actively monitored, if you have questions on your submissions please contact [finraoperations@finra.org](mailto:finraoperations@finra.org).

### **What if I submitted an incorrect filing?**

If the CUSIP or sub-product entered is incorrect and the system processed your filing, please contact Market Operations at (866)776-0800 Opt. 2 or [finraoperations@finra.org](mailto:finraoperations@finra.org). All other fields may be edited on your original filing and resubmitted.

### **How can I tell a filing has been updated?**

Filings are tied by CUSIP, you can use the grid to filter and see all filings associated with the CUSIP.

### **Who can I contact if I have questions or feedback?**

Please reach out to Market Operations at 1-866-776-0800 or [finraoperations@finra.org](mailto:finraoperations@finra.org) with questions or feedback.