

E-Bill User Guide

FINRA's financial system, [E-Bill](#), enables entitled users to view financial details of the FINRA Flex-Funding Account and Renewal statements, review and pay invoices, and view disbursement statements. The system supports electronic bank and card payments, automated payment setup (*i.e.*, AutoPay) and email alerts. Additionally, authorized users can review, export, and save their financial transactions as reports.

E-Bill Availability

E-Bill is available Monday to Friday, 7 a.m. to 10 p.m. ET and Saturday, 8 a.m. to 6 p.m. ET.

Questions about E-Bill?

Call the FINRA Support Center at (301) 590-6500 or submit a support request in FINRA Gateway.

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Access E-Bill

There are several ways to access E-Bill in FINRA Gateway (<https://gateway.finra.org/>).

Access E-Bill

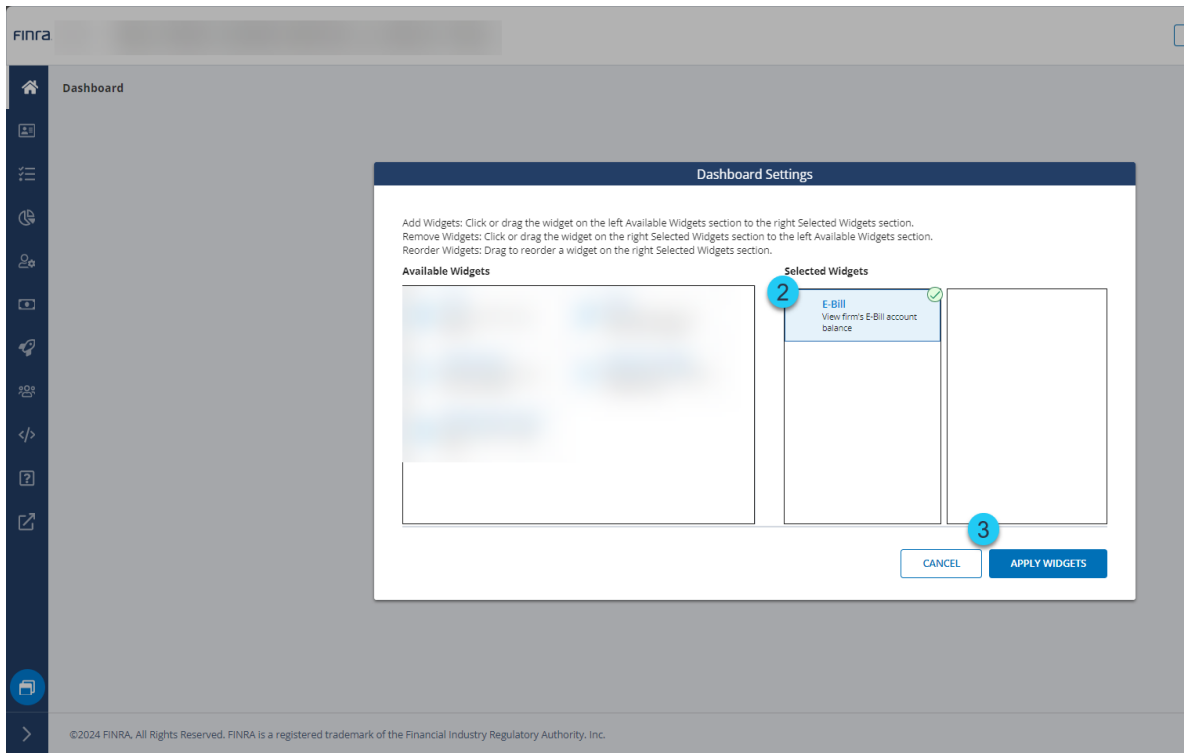
1. Via the **left nav icon**:
 1. Note: This icon appears solely for users with E-Bill entitlement.



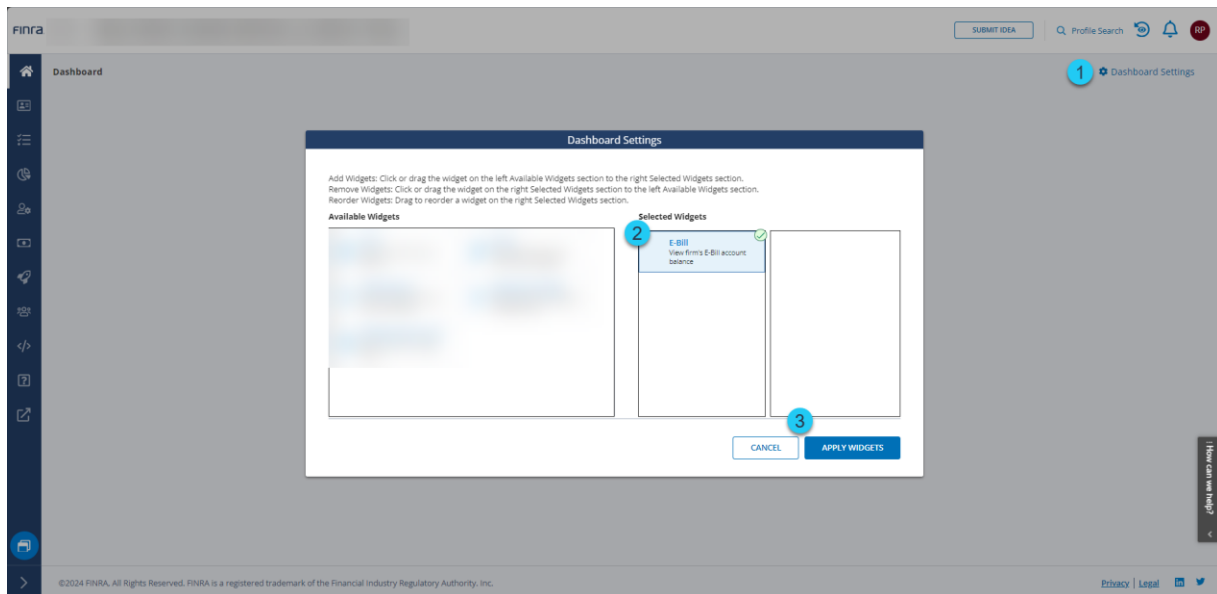
2. Via the **E-Bill Widget**:
 1. Real-time information is provided with the E-Bill widget.
 2. The data points within the widget are contingent on entitlement.

Set Up FINRA Gateway E-Bill Widget

1. Log in to FINRA Gateway and select **Dashboard Settings**.

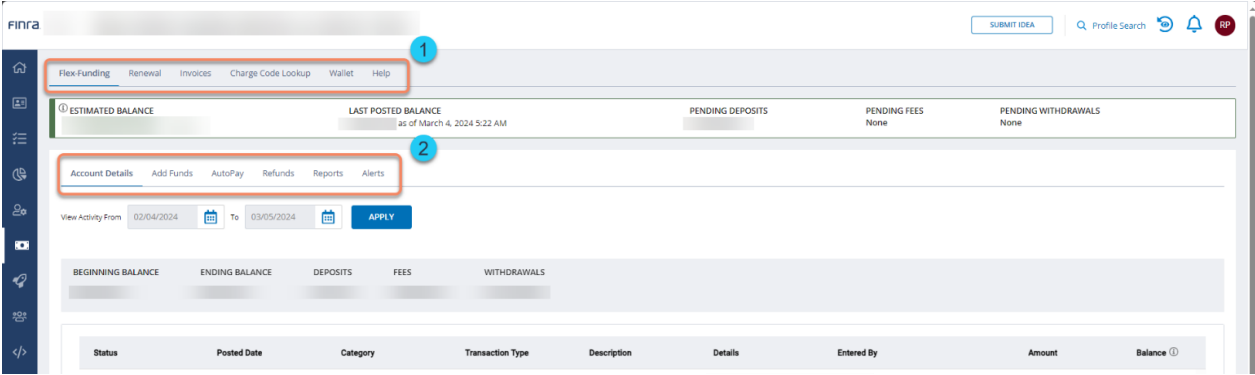


2. Select the **E-Bill Widget**.
3. Click on **Apply Widgets**.



Navigation on E-Bill

- 1. The top-level navigation bar provides access to all E-Bill features.
- 2. The secondary navigation bar provides access to the features available for the top-level navigation selection. For example, in the screenshot below, the secondary navigation bar displays options available for the Flex-Funding Account, which was selected on the top-level navigation bar.



Wallet

The E-Bill Wallet is an optional feature that eliminates the need to re-enter payment information for every E-Bill transaction. FINRA does not retain any information regarding your bank account or cards. All information is forwarded and stored with the payment provider.

Wallet – Save New Bank Account

1. Navigate to the **Wallet** section.
2. Select **US Bank Checking Account**.
3. Enter **Bank Account Information**.
4. Accept the **Terms and Conditions** by checking the checkbox next to the FINRA E-Bill Program Agreement and Terms of Use. Declining the Terms and Conditions will prevent you from making your payment.
5. Click **Submit** to submit the request or click the **Cancel** button to cancel the transaction.
 1. Do not close the browser until the transaction has been completed.
 2. The system will display a message after the request has been processed successfully.

The screenshot shows the FINRA E-Bill Wallet interface. The top navigation bar includes 'Flex-Funding', 'Renewal', 'Invoices', 'Charge Code Lookup', 'Wallet', and 'Help'. The 'Wallet' tab is highlighted. The main content area is titled 'Save New Bank Account' and contains the following sections:

- Saved Payment Methods:** Two options are listed: 'Bank Account ending in 3654' and 'Credit Card ending in 7641', each with a 'REMOVE' button.
- Save Payment Methods:** Two radio buttons are present: 'US Bank Checking Account' (selected) and 'Card'.
- Bank Account Information:** A note states 'US Bank Personal Checking Accounts is only accepted at this time.' Below this are five input fields: 'Full Name (on accounts)' with a 'Name on account' field; 'US Bank Routing Number' with a 'Routing number' field; 'US Bank Account Number' with an 'Account number' field; 'District/ Outlying area/ State' with a 'Select' dropdown; and 'Zip Code' with a field containing '12345'.
- Terms and Conditions:** A checkbox is present with the text: 'By checking this box, I certify that I have read and understand all of the terms of the FINRA E-Bill Program Agreement and Terms of Use and intend to form a binding agreement with FINRA on those terms without modification or amendment thereof. If I am accepting this agreement on behalf of an organization, I certify that I have the authority of that organization to enter into this agreement.'
- Buttons:** 'CANCEL' and 'SUBMIT' buttons are located at the bottom of the form.

Numbered callouts (1-5) are overlaid on the screenshot to indicate the steps: 1 points to the 'Wallet' tab; 2 points to the 'US Bank Checking Account' radio button; 3 points to the 'Bank Account Information' section; 4 points to the 'Terms and Conditions' checkbox; and 5 points to the 'SUBMIT' button.

Wallet – Save Card

1. Navigate to the **Wallet** section.
2. Select **Card**.
3. Enter **Card** Information.
4. Accept the **Terms and Conditions** by checking the checkbox next to the FINRA E-Bill Program Agreement and Terms of Use. Declining the Terms and Conditions will prevent you from making your payment.
5. Click **Submit** to save the card information or click the **Cancel** button to cancel the transaction.
 1. Do not close the browser until the transaction has been completed.
 2. The system displays a message after the request has been processed successfully.

FINRA

SUBMIT IDEA Profile Search

Flex Funding Renewal Invoices Charge Code Lookup **Wallet** Help

FINRA does not retain ANY information regarding your credit card, bank account, billing address, etc. All information supplied will be forwarded to the payment network for processing. FINRA retains only a reference to the payment information stored by the payment provider for payment tracking and reconciliation purposes.

Saved Payment Methods

Bank Account ending in 3654 REMOVE

Credit Card ending in 7541 REMOVE

Save Payment Methods

US Bank Checking Account

Card

Card Information

Visa, MasterCard, Amex and Discover Credit and Debit cards are accepted at this time.

* Country: United States of America

* Full Name (on card): Name on card

* Card Number: Card number

* Expiration Date: Month: 04 Year: 2024

* State/District/Outlying area: Select

* ZIP code: 12345

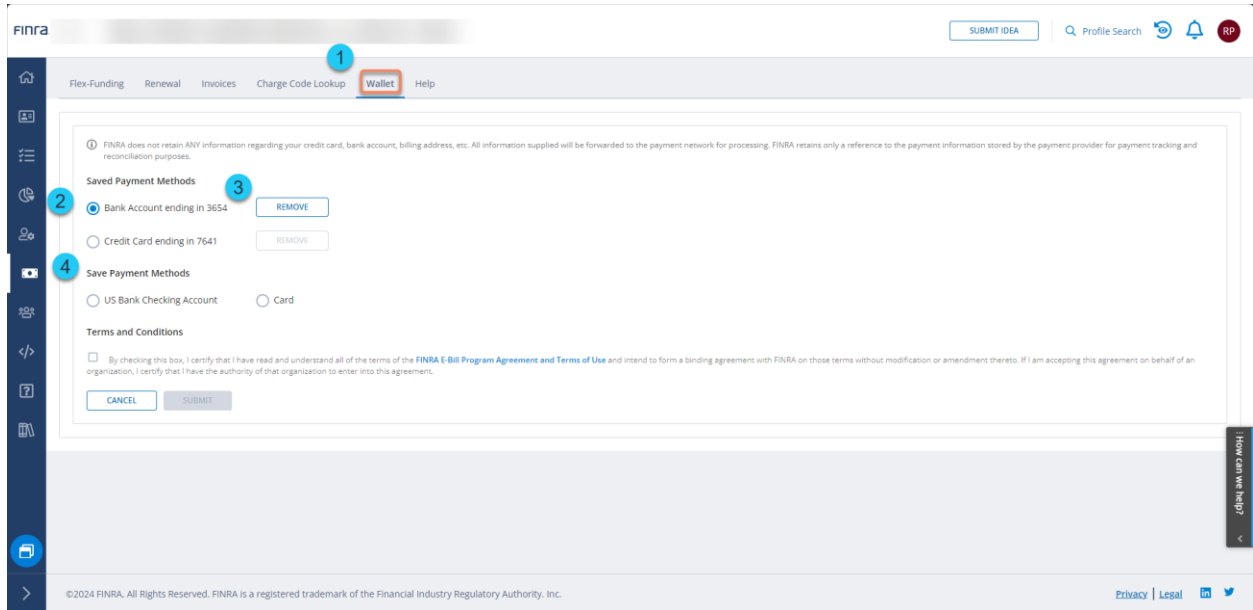
Terms and Conditions

By checking this box, I certify that I have read and understand all of the terms of the **FINRA E-Bill Program Agreement and Terms of Use** and intend to form a binding agreement with FINRA on those terms without modification or amendment thereto. If I am accepting this agreement on behalf of an organization, I certify that I have the authority of that organization to enter into this agreement.

CANCEL SUBMIT

Wallet – Remove Saved Account(s)

1. Navigate to the **Wallet** section.
2. Select the account to manage.
3. Click on **Remove** to remove the saved account.
4. **Save Payment Methods** can be used to add a new account.

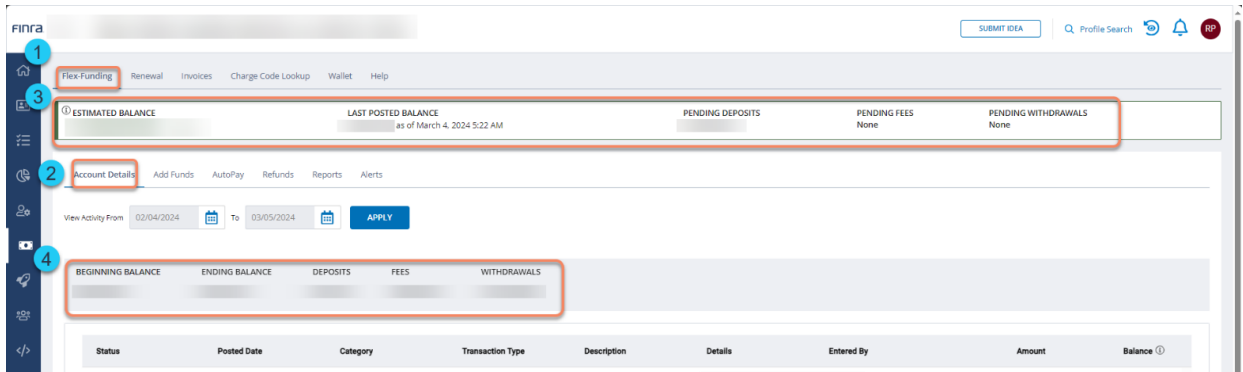


Flex-Funding Account

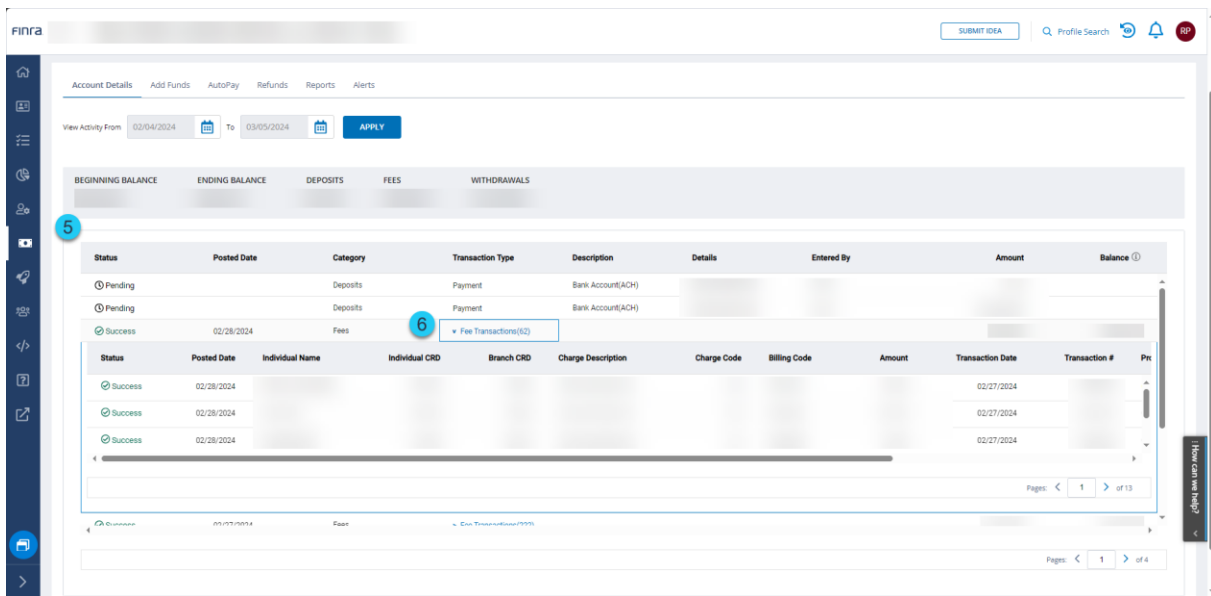
Flex-Funding Account – Account Details

E-Bill users can use the Account Details page to view account activity.

1. Navigate to the **Flex-Funding** section.
2. Navigate to **Account Details** section.
3. **Current Status:** This displays the real-time status of the Flex-Funding Account.
 1. **Estimated Balance:** This balance may be subject to additional transactions that are not reflected due to overnight processing. The estimated balance reflects the net of last posted balance, any funds deficient transactions, and pending transactions.
 2. **Last Posted Balance:** This balance includes transactions posted to the account. Transactions are posted during overnight processing; please refer to www.finra.org/filing-reporting/e-bill for the processing schedule.
 3. **Funds Deficient Transactions:** Registration/exam requests are held until there are sufficient funds in the Last Posted Balance to pay for all funds deficient transactions.
 4. **Pending Transactions:** Transactions submitted via E-Bill and CRD/IARD that have not yet been posted to the account will display as pending transactions. Pending checks and wires are not included. Pending transactions are generally posted during the next overnight processing cycle and then reflected in the Posted Balance. Click the **Account Details** button to show additional account information, fee transactions and payments, access filters and create views with custom date ranges.
4. **Historical Activity:** You can review account activity in this section. The feature defaults to displaying the last 30 days, but there is an option to choose a custom date range.



5. **Activity:** The Activity tab contains transaction detail information about CRD/IARD fees, deposits, reallocations, and other withdrawals.
6. **Fees:** Within the Activity tab, daily CRD/IARD fees are consolidated into one row with the number of fees included in parentheses. To view the details of each fee transaction for a particular day, click on the **Fee Transaction** link. A Fees tab with the specific date will open. Fee details, such as description and individual name, will appear.



7. **Sort:** The columns can be sorted by clicking the column name. An arrow appears denoting if the sort is ascending or descending.
8. **Filter:** The columns can be filtered. Three lines appear denoting the filter availability by hovering on the column name. Note: Filters work with the data displayed based on the date range selected.

Status	Posted Date	Category 1	Transaction Type	Description	Details	Entered By	Amount
Pending		Deposits	Payment	Bank Account(ACH)			

9. **Export:** Account detail information within the Activity, Fees and Specific Date Fees tabs can be exported to an Excel file by right-clicking on the grid and clicking **Export**.

Status	Posted Date	Category 1	Transaction Type	Description	Details	Entered By	Amount
Pending		Deposits	Payment	Bank Account(ACH)			
Pending		Deposits	Payment	Bank Account(ACH)			
Success	02/09/2024	Deposits	DR to Flex Funding				
Success	02/09/2024	Deposits	DR to Flex Funding				
Success	02/09/2024	Deposits	DR to Flex Funding				
Success	02/09/2024	Deposits	DR to Flex Funding				
Success	02/09/2024	Deposits	DR to Flex Funding				
Success	02/09/2024	Deposits	DR to Flex Funding				
Success	02/09/2024	Deposits	DR to Flex Funding				
Success	02/09/2024	Deposits	DR to Flex Funding				
Success	02/28/2024	Fees	Fee Transactions(62)				

10. **Print:** The contents of the Account Details page can be printed using the default browser print option.

Flex-Funding Account – Add Funds

E-Bill users can fund the Flex-Funding Account. When funding FINRA accounts through E-Bill, the only valid payment option is ACH or an Affiliate Transfer. Credit Card payments are not accepted.

1. Navigate to the **Add Funds** section.
2. Enter a **payment amount**.
3. The system defaults to using **saved accounts** for submitting a Flex-Funding payment. (The **E-Bill Wallet** feature can be used to add or manage a saved account.)
4. The system also allows using a **new account** for submitting a payment to fund the Flex-Funding Account.
5. Accept the **Terms and Conditions** by checking the checkbox next to the FINRA E-Bill Program Agreement and Terms of Use. Declining the Terms and Conditions will prevent you from making your payment.
6. Click **Submit** to submit the request or click the **Cancel** button to cancel the transaction.
 1. Do not close the browser until the transaction has been completed.
 2. The system displays a message after the payment has been processed successfully.
 3. The system sends an email notification regarding the transaction.
 4. Firms can use funds from a successful transaction made by 9 p.m. ET for transactions the next business day. The user can review **Transaction Activity** for E-Bill payments at any time.

FINRA

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Flex-Funding Renewal Invoices Charge Code Lookup Wallet Help

ESTIMATED BALANCE Sufficient LAST POSTED BALANCE PENDING DEPOSITS PENDING FEES PENDING WITHDRAWALS

Account Details **Add Funds** AutoPay Affiliate Transfer Refunds Reports Alerts

When funding the FINRA Flex-Funding Account through E-Bill, the only valid payment option is ACH. Credit Card payments are not accepted.

All correspondence will be sent to

Payment Amount \$0.00

Saved Payment Methods US Bank Checking Account

If you need to manage your payment methods, please go to [Wallets](#)

bank account ending in 3654

Terms and Conditions

By checking this box, I certify that I have read and understand all of the terms of the [FINRA E-Bill Program Agreement and Terms of Use](#) and intend to form a binding agreement with FINRA on those terms without modification or amendment thereto. If I am accepting this agreement on behalf of an organization, I certify that I have the authority of that organization to enter into this agreement.

CANCEL SUBMIT

How can we help?

Flex-Funding Account – Affiliate Transfer

E-Bill users can request a funds transfer from the organization’s Flex-Funding Account to an affiliated firm(s)’s Flex-Funding Account. **This feature requires users to have the E-Bill Flex-Funding Reallocation entitlement and the firms must be affiliated on Form BD and/or Form ADV.** Transfers may be requested only for accounts with a sufficient balance.

Note: All transfer requests submitted before 9 p.m. ET are evaluated against the originating firm’s estimated balance. If successful, the transfer is made during the next overnight processing cycle.

1. Navigate to the **Affiliate Transfer** section. The Affiliate Transfer page is displayed. A list of Affiliated Firm Org ID and Firm Names are displayed.
2. Input the **transfer amount** for each firm.
3. Click the **Submit** button to submit the request, click the **Cancel** button to cancel the transaction.
 1. Do not close the browser until the transaction has been completed.
 2. The system displays a message after the payment has been processed successfully.
 3. The system sends an email notification regarding the transaction.
 4. Firms can use funds from a successful transaction made by 9 p.m. ET the next business day. The user can review transaction activity in E-Bill at any time.

The screenshot displays the FINRA E-Bill interface for an Affiliate Transfer. At the top, there is a navigation bar with 'Flex-Funding', 'Renewal', 'Invoices', 'Charge Code Lookup', 'Wallet', and 'Help'. Below this, a summary section shows 'ESTIMATED BALANCE', 'LAST POSTED BALANCE', 'PENDING DEPOSITS', 'PENDING FEES' (None), and 'PENDING WITHDRAWALS' (None). The main content area has a menu with 'Account Details', 'Add Funds', 'Affiliate transfer' (highlighted with a red box and a blue circle '1'), 'AutoPay', 'Refunds', 'Reports', and 'Alerts'. Below the menu, a table lists affiliated firms with columns for 'Affiliated Firm Org ID', 'Affiliated Firm Name', and 'Transfer Amount'. The 'Transfer Amount' column contains input fields, each with '\$0.00' and a blue circle '2'. At the bottom right, there are 'CANCEL' and 'SUBMIT' buttons, with the 'SUBMIT' button highlighted by a blue circle '3'.

Flex-Funding Account – AutoPay

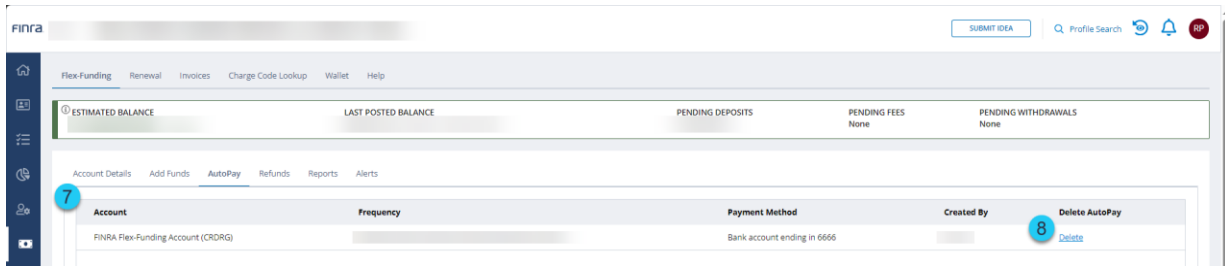
E-Bill users can automatically fund their FINRA Flex-Funding Account with the AutoPay feature. Based on the parameters, E-Bill will automatically initiate a payment on the user's behalf using the user's saved ACH account information.

1. Select the **AutoPay** tab.
2. Enter the **deposit amount** and the **threshold amount**.
3. The system defaults to using **saved accounts** for submitting a Flex-Funding Account payment each time this page is accessed.
4. Use the **Wallet** feature to add or manage a saved account.
5. Accept the **Terms and Conditions** by checking the checkbox next to the FINRA E-Bill Program Agreement and Terms of Use. Declining the Terms and Conditions will prevent you from making your payment.
6. Click **Submit** to submit the request, click the **Cancel** button to cancel the transaction.
 1. Do not close the browser until the transaction has been completed.
 2. The system displays a message after the request has been processed successfully.
 3. The system sends an email notification regarding the transaction.

The screenshot displays the FINRA Flex-Funding Account management interface. At the top, there are navigation tabs for Flex-Funding, Renewal, Invoices, Charge Code Lookup, Wallet, and Help. Below this, a summary bar shows account details like ESTIMATED BALANCE, LAST POSTED BALANCE, PENDING DEPOSITS, PENDING FEES, and PENDING WITHDRAWALS. The main content area is titled 'AutoPay' and includes a note about correspondence, a 'Frequency' section with input fields for 'Deposit' and 'whenever the Flex-Funding balance falls below', a 'Saved Payment Methods' section with a 'Wallet' link, and a 'Terms and Conditions' section with a checkbox. At the bottom, there are 'CANCEL' and 'SUBMIT' buttons. Numbered callouts (1-6) are overlaid on the image to guide the user through the setup process.

7. Review your AutoPay once the AutoPay has been set up.

8. Reconfigure your AutoPay by deleting the existing subscription and creating a new one.

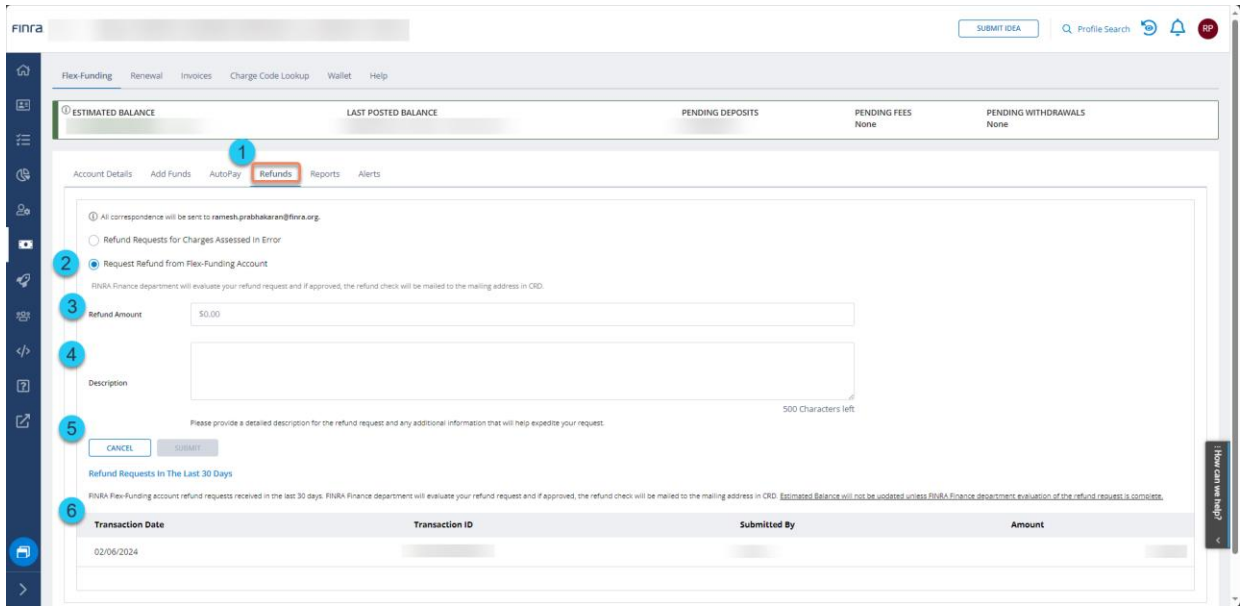


Flex-Funding Account – Refunds

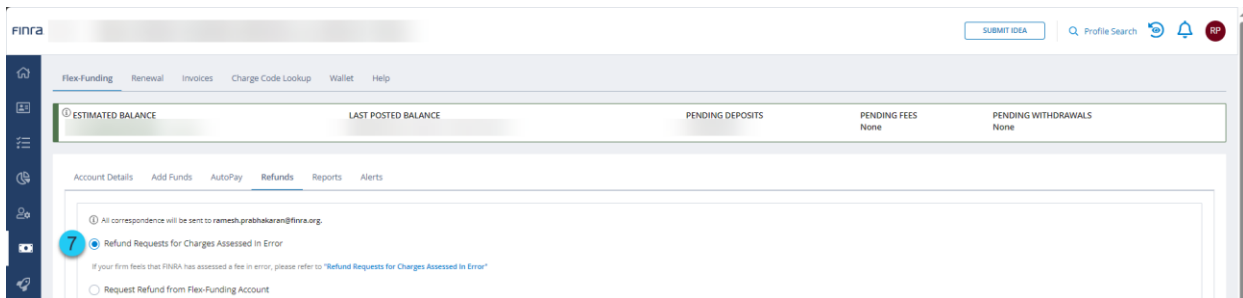
E-Bill enables entitled users to request refunds from their Flex-Funding Account. Refunds may be requested only from those accounts with a sufficient balance. The FINRA Finance Department will evaluate your refund request and, if approved, the refund check will be mailed to the mailing address in CRD.

Note: The refund check will be made payable to the firm and mailed to the address of record. Most refund requests should be processed within 10 business days of receipt except during the [Annual Renewal Period](#), which lasts from mid-November through mid-January, when refunds are not issued. The refund process resumes in January.

1. Navigate to the **Refunds** section.
2. Select **Request Refund** from Flex-Funding Account.
3. Enter the refund amount.
4. Enter a description. Provide a detailed description for the refund request and any additional information that will help expedite the request. The maximum character limit is 500.
5. Click **Submit** to submit the request or click the **Cancel** button to cancel the transaction.
 1. Do not close the browser until the transaction has been completed.
 2. The system displays a message after the request has been processed successfully.
 3. The system sends an email notification regarding the transaction.
6. Previous refund requests within the last 30 days are listed below the Refund Requests section. If there were no requests in the last 30 days, the message "No Refund requested in the last 30 days" is displayed.



7. To request a refund for charges accessed in error, please click on the link next to the refund type for further instructions.



Flex-Funding Account – Reports

Financial transactions are available as downloads in the Reports tab.

1. Navigate to the **Reports** tab.
2. Configure the parameters for generating the report.
3. Click on the **desired report type** to generate either a PDF or CSV document.
4. Retrieve generated report in the grid below. The reports generated in the last 30 days are available.

ESTIMATED BALANCE LAST POSTED BALANCE PENDING DEPOSITS PENDING FEES None PENDING WITHDRAWALS None

Account Details Add Funds AutoPay Refunds **Reports** Alerts

Data available from 04/01/2014

Report	Report Purpose	Date		
Account Activity	This report includes all transaction details of the firm's Flex-Funding account for the date range specified.	Select Posted Date Range:	02/04/2024 To 03/05/2024	GENERATE PDF GENERATE CSV
Late Disclosure Fee	This report includes all individuals assessed a Late Disclosure fee for the date range specified.	Select Transaction Date Range:	02/04/2024 To 03/05/2024	GENERATE PDF GENERATE CSV

Report Requests In The Last 30 Days

Report Generation Date	Report	Date	Report
02/22/2024	Account Activity	01/23/2024 to 02/22/2024	Download
02/22/2024	Account Activity	01/23/2024 to 02/22/2024	Download
02/22/2024	Account Activity	01/23/2024 to 02/22/2024	Download

Flex-Funding Account – Alerts

Alerts can be set up to deliver an email notification to the user upon the occurrence of the configured event.

1. Navigate to the **Alerts** tab.
2. Check the checkbox to receive alerts and uncheck to stop receiving alerts for the configured parameters.
3. Click **Update** to submit the request.
 1. Do not close the browser until the transaction has been completed.
 2. The system displays a message after the request has been processed successfully.

The screenshot displays the 'Alerts' configuration page for a Flex-Funding account. The page includes a navigation menu with 'Alerts' highlighted (1). Below the navigation, there is a table with columns 'Enable' and 'Alert Description'. Three rows are visible, each with a checkbox and a description: 'Account Balance is below \$0.00', 'Account Balance is above \$0.00', and 'Funds withdrawn for purposes other than WebCARD/HARD Fees'. An 'UPDATE' button is at the bottom right (3). A blue circle with the number 2 is next to the 'Enable' column header.

Invoices

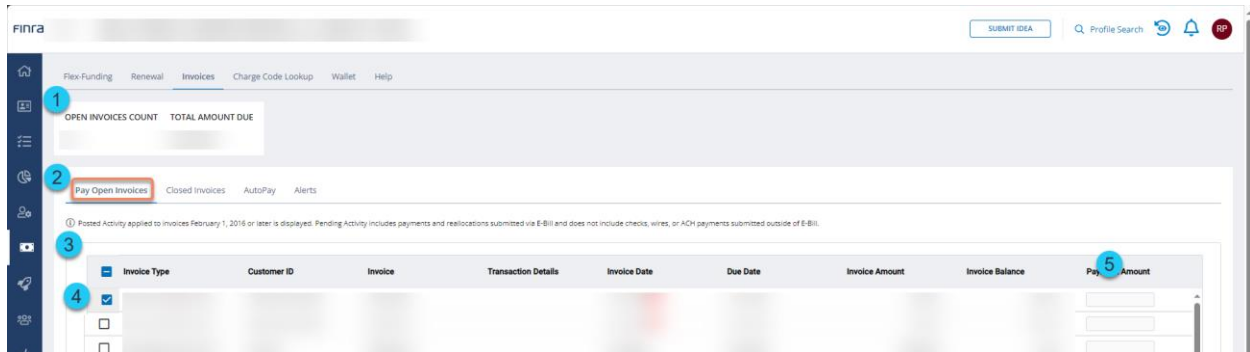
Invoices – Review Open Invoices

The Pay Open Invoices section displays the type of invoices that are open, the number of invoices per type and the total amount due with a cumulative total for invoices and amount due.

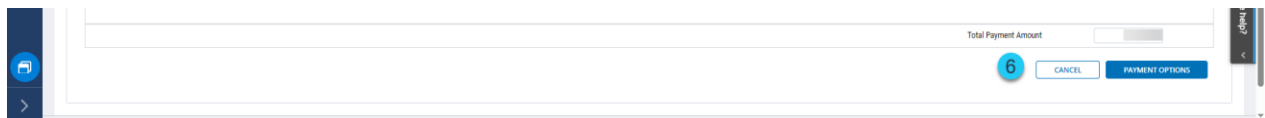
1. Navigate to **Pay Open Invoices** section.
2. Review **Open invoices**.
3. Sort: The columns can be sorted by clicking the column name. An arrow appears denoting if the sort is ascending or descending.
4. Filter: The columns can be filtered. Three lines appear denoting the filter availability by hovering on the column name. Note: Filters work with the data displayed based on the date range selected.
5. Export: Account detail information within the Activity, Fees and Specific Date Fees tabs can be exported to an Excel file by right clicking on the grid and clicking on **Export**.
6. Print: The contents of the Account Details page can be printed using the default browser print option.
7. Underlying transactions like Pending and Posted activity on an invoice is now available along with the invoice.
8. A PDF file of the invoice is available under the Invoice column
9. Transaction Details is available under the Transaction Details column.

Invoices – Pay Open Invoices

1. Current Open Invoices: This displays real-time open invoices count and amount.
2. Navigate to **Pay Open Invoices** section.
3. Review **Open invoices**.
4. Select invoice(s) to be paid.
5. Enter appropriate payment amounts.

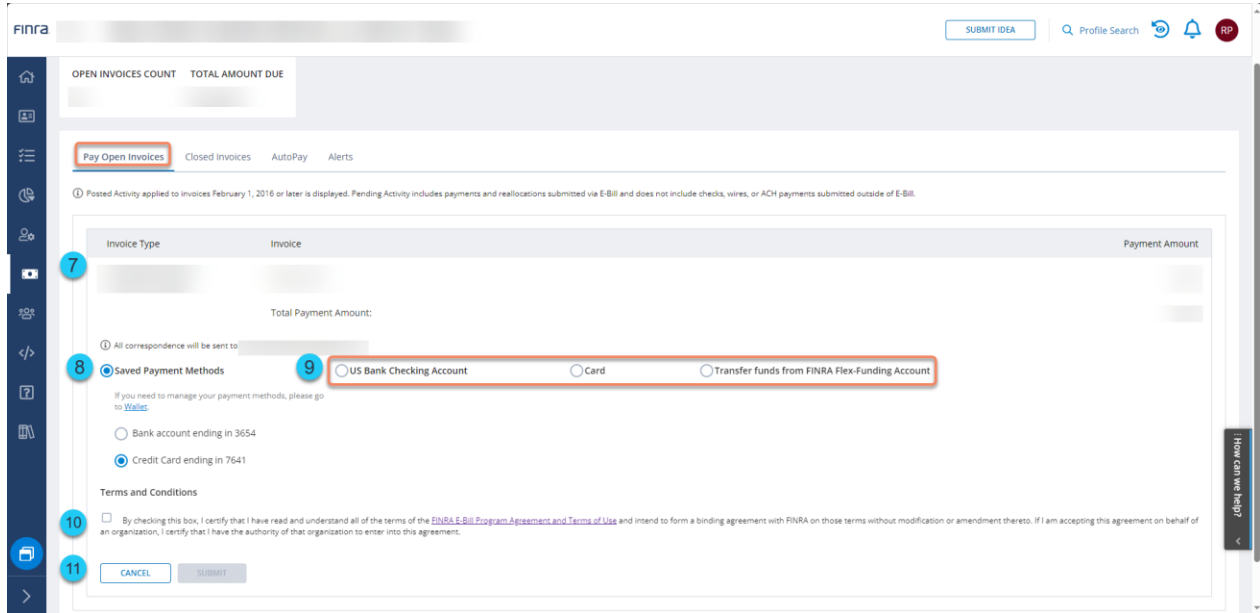


6. Click **Payment Options** to submit the request or click the **Cancel** button to cancel the transaction.
 1. Do not close the browser until the transaction has been completed.
 2. The system will take you to a payment page.



7. Review the invoices that need to be paid from the previous screen.
8. The system default is to pay invoices using saved accounts. The Wallet can be used to add or manage a saved account.
9. Invoices can also be paid by selecting to use a new bank account, a new card, or the Flex-Funding Account (which requires the Reallocation entitlement) to submit a payment.
10. Check the **Terms and Conditions checkbox** next to the FINRA E-Bill Program Agreement and Terms of Use. Declining the Terms and Conditions will prevent you from making your payment.
11. Click **Submit** to submit the request or click the **Cancel** button to cancel the transaction.
 1. Do not close the browser until the transaction has been completed.

2. The system displays a message indicating the payment has been processed successfully.
3. The system sends an email notification regarding the transaction.
4. The user can review invoice payments in E-Bill at any time.



Invoices – Review Closed Invoices

The Closed Invoices section displays the details of closed invoices or invoices with a credit amount.

1. Navigate to the **Closed Invoices** section.
2. Review Closed Invoices.
3. Sort: The columns can be sorted by clicking the column name. An arrow appears denoting if the sort is ascending or descending.
4. Filter: The columns can be filtered. Three lines appear denoting the filter availability by hovering on the column name. Note: Filters work with the data displayed based on the date range selected.
5. Export: Account Detail information within the Activity, Fees and Specific Date Fees tabs can be exported to an excel file by right clicking on the grid and clicking on export.
6. Print: The contents of the Account Details page can be printed using the default browser print option.
7. Underlying transactions like Pending and Posted activity on an invoice is now available along with the invoice.
8. A PDF of the invoice is available under the Invoice column
9. Transaction Details are available under the Transaction Details column.

The screenshot displays the FINRA Invoices section. At the top, there are navigation tabs for 'Flex-Funding', 'Renewal', 'Invoices', 'Charge Code Lookup', 'Wallet', and 'Help'. Below this, there are summary statistics for 'OPEN INVOICES COUNT' and 'TOTAL AMOUNT DUE'. The main area features a table with columns: 'Invoice Type', 'Customer ID', 'Invoice', 'Details', 'Invoice Date', 'Invoice Amount', and 'Invoice Balance'. A context menu is open over the table, showing options like 'Copy', 'Copy with Headers', 'Export', 'CSV Export', and 'Excel Export'. A filter dropdown is also visible over the 'Invoice Date' column, showing a date range and 'RESET APPLY' options. Numbered callouts (1-9) point to various UI elements: 1. 'Closed Invoices' tab; 2. 'Pay Open Invoices' button; 3. 'Invoice Date' column header; 4. Filter dropdown; 5. 'Export' menu option; 6. 'Print' icon; 7. Invoice row; 8. Invoice column; 9. Transaction details column.

Invoices – AutoPay

E-Bill users can set up AutoPay, which will automatically pay their invoices. Based on the parameters, E-Bill will automatically initiate a payment on the user's behalf using the user's saved ACH account information.

1. Select the **AutoPay** tab.
2. Choose from the available **Invoice Types**. If an invoice is not available, it is because it has been previously set up or the invoice type is not available for the firm.
3. Select the **frequency** by determining how many days after the invoice's generation date it should be paid.
4. Choose a previously-saved payment method.
5. Saved payment methods can be managed using the **Wallet** function.
6. Select the **Terms and Conditions checkbox** next to the FINRA E-Bill Program Agreement and Terms of Use. Declining the Terms and Conditions will prevent you from making your payment.
7. Click **Save New Request** to submit the request and **Cancel** to cancel the transaction.
 1. Do not close the browser until the transaction has been completed.
 2. The system displays a message after the request has been processed successfully.
 3. The system sends an email notification regarding the transaction.
8. Review your Saved AutoPay once the AutoPay has been set up.
9. Reconfigure your AutoPay by deleting the existing subscription and creating a new one by navigating to your saved AutoPay subscriptions.

FINRA SUMMIT 004 Profile Search Alerts

Pay Open Invoices 1 Closed Invoices AutoPay Alerts

All correspondence will be sent to ramish.prabakaran@finra.org

2 Invoice Type Pay Full Invoice Amount Number of Days After Invoice is Generated

Invoice Type	Pay Full Invoice Amount Number of Days After Invoice is Generated	Payment Method
Advertising Regulation Electronic Filings (ADREG)	3 2	4 5 If you need to manage your payment methods, Bank / please go to Wallet
Arbitration/Mediation (MTRACS)	Select	Select
OTC Reporting Facility (ORFBI)	Select	Select
Trading Activity Fee (TARBI)	Select	Select
Trade Reporting and Compliance Engine (TRACE)	Select	Select
API Developer Center (APIBI)	Select	Select
Governmental Accounting Standards Board (GASBI)	Select	Select
GAIA/PAI/REGT (MREGNO)	Select	Select

6 Terms and Conditions 7

By checking this box, I certify that I have read and understand all of the terms of the [FINRA E-Bill Payment Agreement and Terms of Use](#), and intend to form a binding agreement with FINRA on those terms without modification or amendments thereto. If I am accepting this agreement on behalf of an organization, I certify that I have the authority of that organization to enter into this agreement. Use of the E-Bill Payment feature requires that your payment information (credit card or ACH) be valid and that you agree to allow E-Bill to send your credit card or ACH information to the payment processor where it will be used for possible future use. Please note that E-Bill does not require your credit card or ACH information. It means only a reference to the information stored by the payment processor.

8 Saved AutoPay 9

Invoice	Frequency	Payment Method	Created By
Regulatory Transaction Fee (RTFBI)	2 days after the invoice is generated	Bank account ending in 6666	19616 Cancel

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Invoices – Alerts

Alerts can be set up to send the user an email when a particular invoice type is available or past due.

1. Navigate to the **Alerts** tab. Alert options are configured by invoice type.
2. Select an **alert checkbox** to receive an email when a new invoice becomes available. To stop receiving alerts, uncheck the checkbox.
3. Alerts can also send an email when an invoice is a defined number of days past due. Select from the **dropdown list** to configure this alert. Resetting the dropdown to display **Select** will disable this alert option.
4. Click **Update** to submit the request.
 1. Do not close the browser until the transaction has been completed.
 2. The system displays a message after the request has been processed successfully.

The screenshot displays the FINRA Alerts configuration interface. At the top, there are navigation tabs: 'Pay Open Invoices', 'Closed Invoices', 'AutoPay', and 'Alerts'. The 'Alerts' tab is selected and highlighted with a red box and a blue circle '1'. Below the tabs, there is a table with the following structure:

Invoice Type	New Invoice is Available	Invoice is Past Due Number of Days
Advertising Regulation Electronic Filings (ADVRG)	<input checked="" type="checkbox"/>	Select Days
API Developer Center (APIB)	<input type="checkbox"/>	Select Days
Governmental Accounting Standards Board (GASBE)	<input type="checkbox"/>	Select Days
GA/PAV REG (MREGN)	<input type="checkbox"/>	Select Days
Arbitration/Mediation (MTRCS)	<input type="checkbox"/>	Select Days
OTC Reporting Facility (ORFBI)	<input type="checkbox"/>	Select Days
Trading Activity Fee (TAFBI)	<input type="checkbox"/>	Select Days
Trade Reporting and Compliance Engine (TRACE)	<input type="checkbox"/>	Select Days
Regulatory Transaction Fee (RGFEE)	<input type="checkbox"/>	Select Days

The 'UPDATE' button is located at the bottom right of the table area, marked with a blue circle '4'. A blue circle '2' highlights the checkbox for 'Advertising Regulation Electronic Filings (ADVRG)', and a blue circle '3' highlights the dropdown menu for 'Invoice is Past Due Number of Days' for the same row. A blue circle '1' highlights the 'Alerts' tab. At the bottom of the page, there is a footer with the text: '©2024 FINRA. All Rights Reserved. FINRA is a registered trademark of the Financial Industry Regulatory Authority, Inc. Privacy | Legal'.

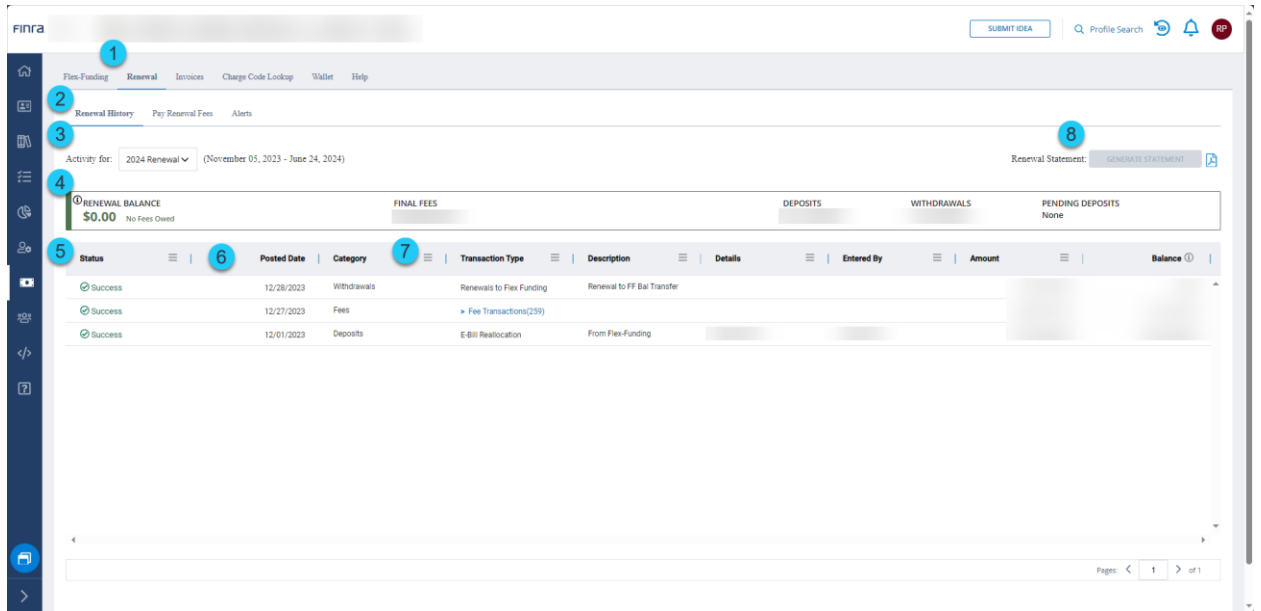
Renewal Account

Renewal Account – Renewal History

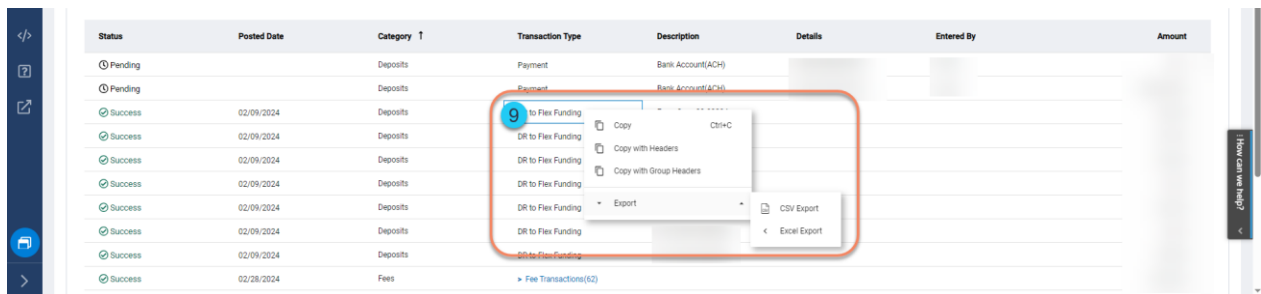
Broker-dealer and investment adviser firms use the Renewal Account to submit payment for Preliminary Statement and Final Statement assessments during the Annual Renewal Program.

1. Navigate to the **Renewal** section.
2. Navigate to **Renewal History** section.
3. Date Range: Choose a Renewal period from the dropdown menu.
4. A summary view of the pertinent renewal information and options will appear for the selected Renewal Program Period.
 1. **Renewal Balance:** This figure is an estimate and may be subject to additional transactions that are not reflected due to overnight processing. The estimated balance is the net of Renewal fees and any deposits, withdrawals, and pending transactions.
 2. **Preliminary/Final Fees:** This displays the Preliminary or Final Statement renewal fees assessed to the firm.
 3. **Deposits/Withdrawals:** These are fund additions or deductions that have been processed.
 4. **Pending Deposits:** This amount reflects transactions submitted via E-Bill that have not yet been processed. It does not include pending checks and wires. Pending deposits are generally processed during the next overnight processing cycle and then reflected in the Deposits.
5. **Activity and Fees Tabs:** The Activity tab contains transaction detail information about fees, deposits, reallocations and other withdrawals. Within the Activity tab, fees are consolidated into one row with the number of fees included in parentheses.
 1. **Historical Activity:** You can review account activity in this section.
 2. **Fees:** To view the details of each fee transaction for a particular day, click on the **Fee Transaction** link. A Fees grid with the specific date will open.
6. **Sort:** The columns can be sorted by clicking the column name. An arrow appears denoting if the sort is ascending or descending.

- Filter:** The columns can be filtered. Three lines appear denoting the filter on the column name. Note: Filters work with the data displayed based on the date range selected.
- Obtain the most recently-published statement for the selected Renewal Period by clicking the **Generate Statement** button.



- Export:** Account detail information within the Activity, Fees and Specific Date Fees tabs can be exported to an Excel file by right-clicking on the grid and clicking **Export**.

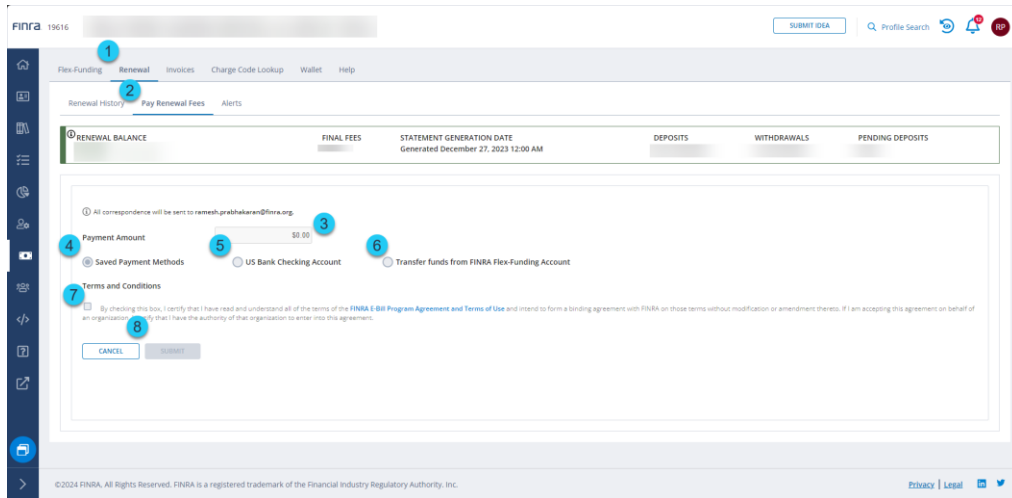


- Print:** The contents of the Account Details page can be printed using the default browser print option.

Pay Renewal Fees

E-Bill users pay for Renewal Fees owed. When paying Renewal through E-Bill, the only valid payment option is ACH or Reallocation. Credit Card payments are not accepted.

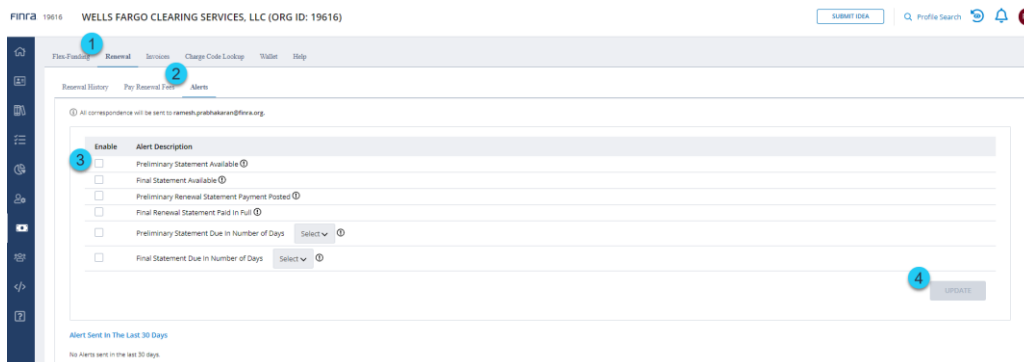
1. Navigate to the **Renewal** section.
2. Navigate to the **Pay Renewal Fees** section.
3. Enter a **payment amount**.
4. The system defaults to using **saved accounts** for submitting a Renewal payment. (The **E-Bill Wallet** feature can be used to add or manage a saved account.)
5. The system also allows using a **new account** for submitting a payment to fund the Flex-Funding Account.
6. The system also allows to transfer funds from your FINRA Flex-Funding account.
7. Accept the **Terms and Conditions** by checking the checkbox next to the FINRA E-Bill Program Agreement and Terms of Use. Declining the Terms and Conditions will prevent you from making your payment.
8. Click **Submit** to submit the request or click the **Cancel** button to cancel the transaction.
 1. Do not close the browser until the transaction has been completed.
 2. The system displays a message after the payment has been processed successfully.
 3. The system sends an email notification regarding the transaction.
 4. Firms can use funds from a successful transaction made by 9 p.m. ET for transactions the next business day. The user can review **Transaction Activity** for E-Bill payments at any time.



Renewal – Alerts

Alerts can be set up to send the user an email when a particular invoice type is available or past due.

1. Navigate to the **Renewal** tab.
2. Navigate to the **Alerts** tab.
3. Select an **alert checkbox** to receive an email alert. To stop receiving alerts, uncheck the checkbox.
4. Click **Update** to submit the request.
 1. Do not close the browser until the transaction has been completed.
 2. The system displays a message after the request has been processed successfully.



Charge Code Lookup

1. Navigate to **Charge Code Lookup**.
2. Review **Charge Codes**.
3. **Sort:** The columns can be sorted by clicking the column name. An arrow appears denoting if the sort is ascending or descending.
4. **Filter:** The columns can be filtered. Three lines appear denoting the filter availability by hovering on the column name. Note: Filters work with the data displayed based on the date range selected.
5. **Export:** Account detail information within the Activity, Fees and Specific Date Fees tabs can be exported to an Excel file by right clicking on the grid and clicking **Export**.
6. **Print:** The contents of the Account Details page can be printed using the default browser print option.

The screenshot displays the FINRA Charge Code Lookup interface. At the top, the 'Charge Code Lookup' tab is highlighted with a red box and a blue callout '1'. The main table has columns: Business Unit, Charge ID (with an upward arrow and callout '3'), Description, Category, Product Source, Fee Type, and Effective Date. A filter dropdown is open over the 'Category' column, showing 'Equals' and a 'Filter...' input field, with 'RESET' and 'APPLY' buttons below it, and a blue callout '4'. An 'Export' menu is open over the table, showing 'CSV Export' and 'Excel Export' options, with a blue callout '5'. In the top right corner, there are navigation icons: 'SUBMIT IDEA', 'Profile Search', a refresh icon, a bell icon, and a red 'RP' icon, with a blue callout '6' pointing to the refresh icon. The footer contains copyright information for FINRA and links for 'Privacy' and 'Legal'.

E-Bill Terminology

1. **Flex-Funding Account** – The Flex-Funding Account is the primary account in which firms deposit funds for day-to-day registration transactions to occur or invoices be paid.
2. **Renewal** – Financial activity related to the annual renewal program, including the Renewal Statement and historical renewal payments.
3. **Sufficient Account Status** – Projected Balance of firm's Flex-Funding Account is \$0.01 or more. Sufficient status is indicated by a positive number.
4. **Deficient Account Status** – Projected Balance of firm's Flex-Funding Account is \$0.00 or less. Deficient status is indicated by a negative number. If the firm's account balance goes below \$0.00 at any point throughout the day, the firm's account status will become Deficient, and fees will not be processed until the account becomes Sufficient again.
5. **Estimated Balance** – This is an ESTIMATE ONLY and may be subject to additional transactions that are not reflected due to overnight processing. Estimated Balance is the net of Last Posted Balance and any Funds Deficient Transactions and Pending Transactions.
6. **Estimated Balance Status** – The Estimated balance status is defined as Sufficient or Deficient and is dependent on the running balance.
7. **Last Posted Balance** - This balance includes transactions posted to the account. Transactions are posted during overnight processing – please refer to www.finra.org/ebill/ for the processing schedule.
8. **Funds Deficient Transactions** - Registration/exam requests that are held until there are sufficient funds in the Last Posted Balance to pay for all Funds Deficient Transactions.
9. **Pending Transactions** - Transactions submitted via E-Bill and CRD/IARD but not yet been posted to the account. Pending checks and wires are not included. Pending transactions are generally posted during the next overnight processing cycle and then reflected in the Posted Balance.
10. **Beginning Balance** – Posted balance at the beginning of selected date range.
11. **Ending Balance** – Posted balance at the end of the selected date range.
12. **Deposits** – Deposits made into the Flex-Funding Account.
13. **Fees** – Day-to-day registration transactions

14. **Withdrawals** – Any funds withdrawn from the firm's Flex-Funding Account that are not related to the CRD/IARD.