Regulator E-Bill User Guide

October 2019

Introduction

- As part of the Registration Systems Transformation (RST) effort, the Disbursement Detail Report (DDR) and the Accounting Summary report in Web CRD are being moved to the FINRA E-bill application.
- E-Bill has been enhanced to allow entitled regulator users to:
  - View transactions on the screen
  - Request reports in PDF and CSV format
  - Download and save reports
- Regulator Super Account Administrators (SAA) have been entitled to “CRD/IARD Disbursement Details” and have the ability to entitle other regulator users.
- The DDR and Accounting Summary reports will continue to be available in Web CRD through the end of 2019. Beginning in January 2020, regulators will have to go to E-Bill for all accounting information going forward.

New Entitlement for E-Bill Disbursement Details

- Users must be entitled to a new privilege to access Disbursement Details in E-Bill.
- Each Super Account Administrator (SAA) will need to grant the privilege to users within the regulator's organization.

Application Entitlements

User = The ability to use the functionality as defined by the privilege.

Privilege Viewer = The ability to view the privilege assigned to your organization's users from the EWS Account Management Application.

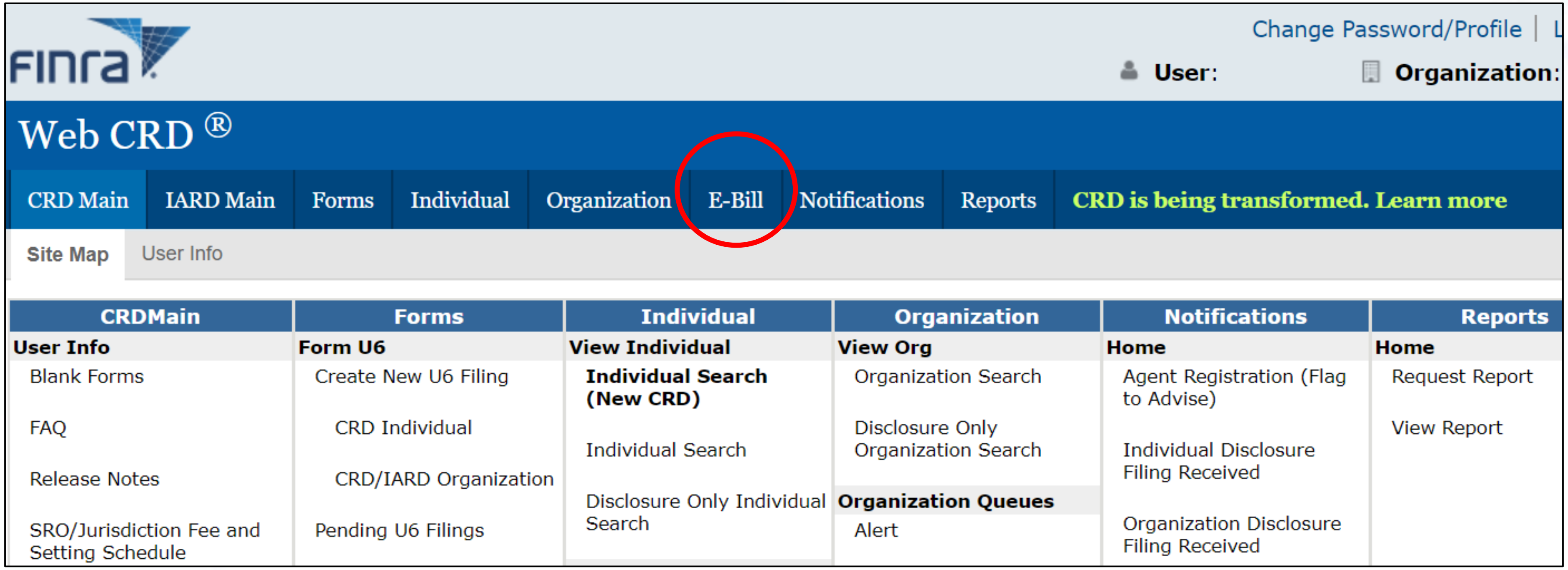
Administrator = The ability to assign the privilege to other users and view the privilege assigned to other users.

The privilege values highlighed below with yellow background are not part of Role Privileges (applicable only when role assigned to the account).

E-Bill:	User	Administrator
CRD/IARD Disbursement Details	User	Administrator

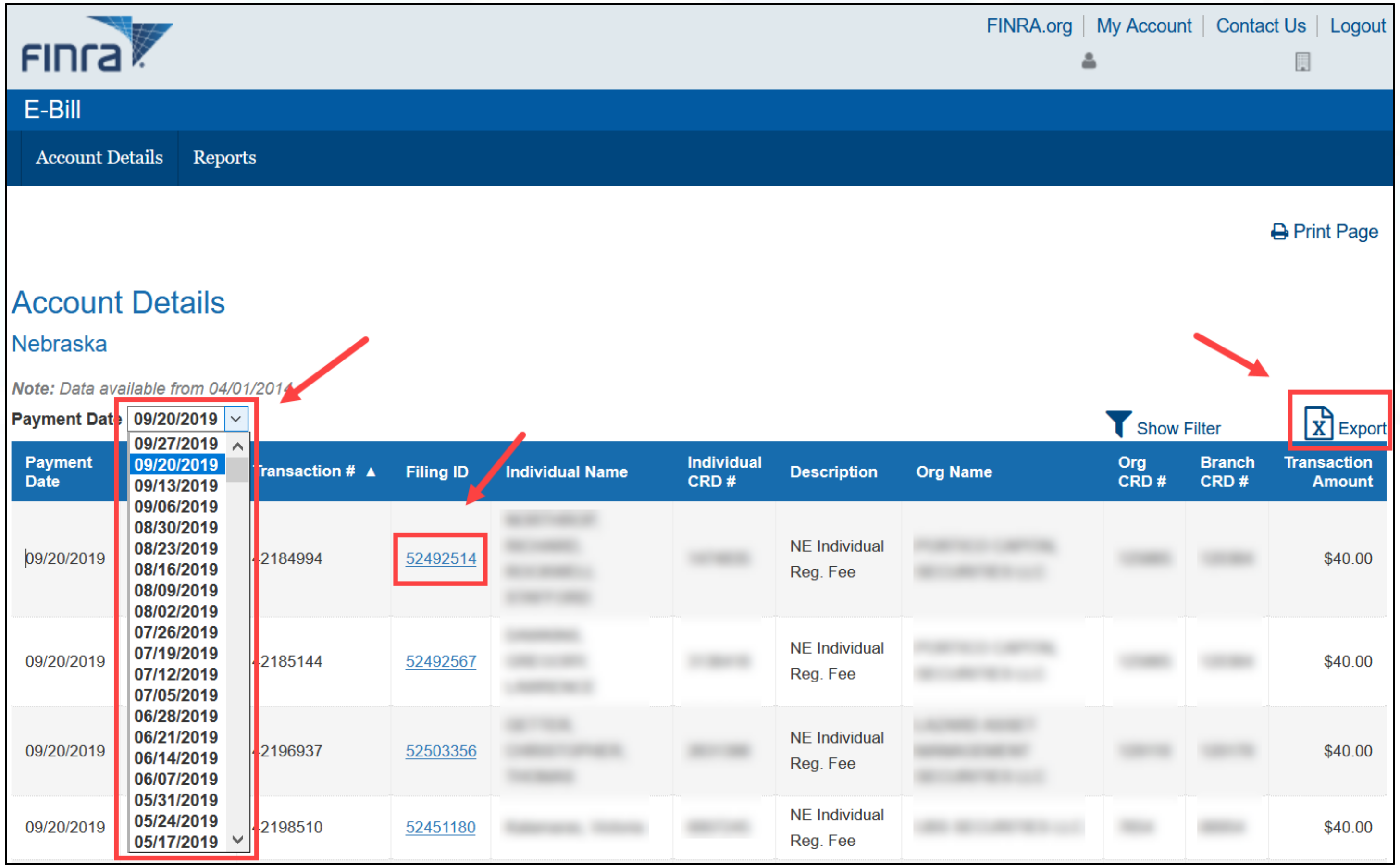
Accessing E-Bill

- E-Bill is available to entitled users via Web CRD/IARD.
- By clicking the E-Bill tab, the user will be taken to view accounting information in E-Bill.



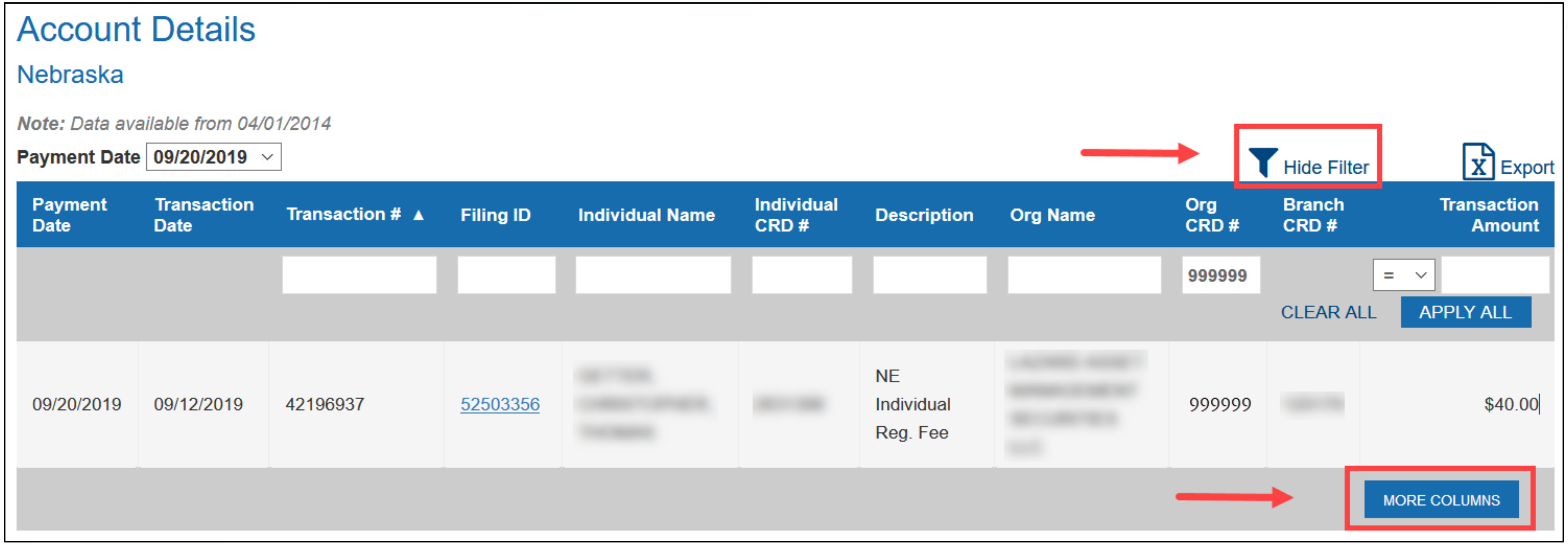
E-Bill Account Details

- The Account Details page will display the most recent payment date by default.
  - Users are able to select previous payment dates using the dropdown.
  - If there is a corresponding filing available in Web CRD/IARD, a hyperlink will appear in the Filing ID column to display the historical filing. (Filing ID will also be added to the DDR.)
  - The Export button allows the user to download the data in DDR format as a CSV file.



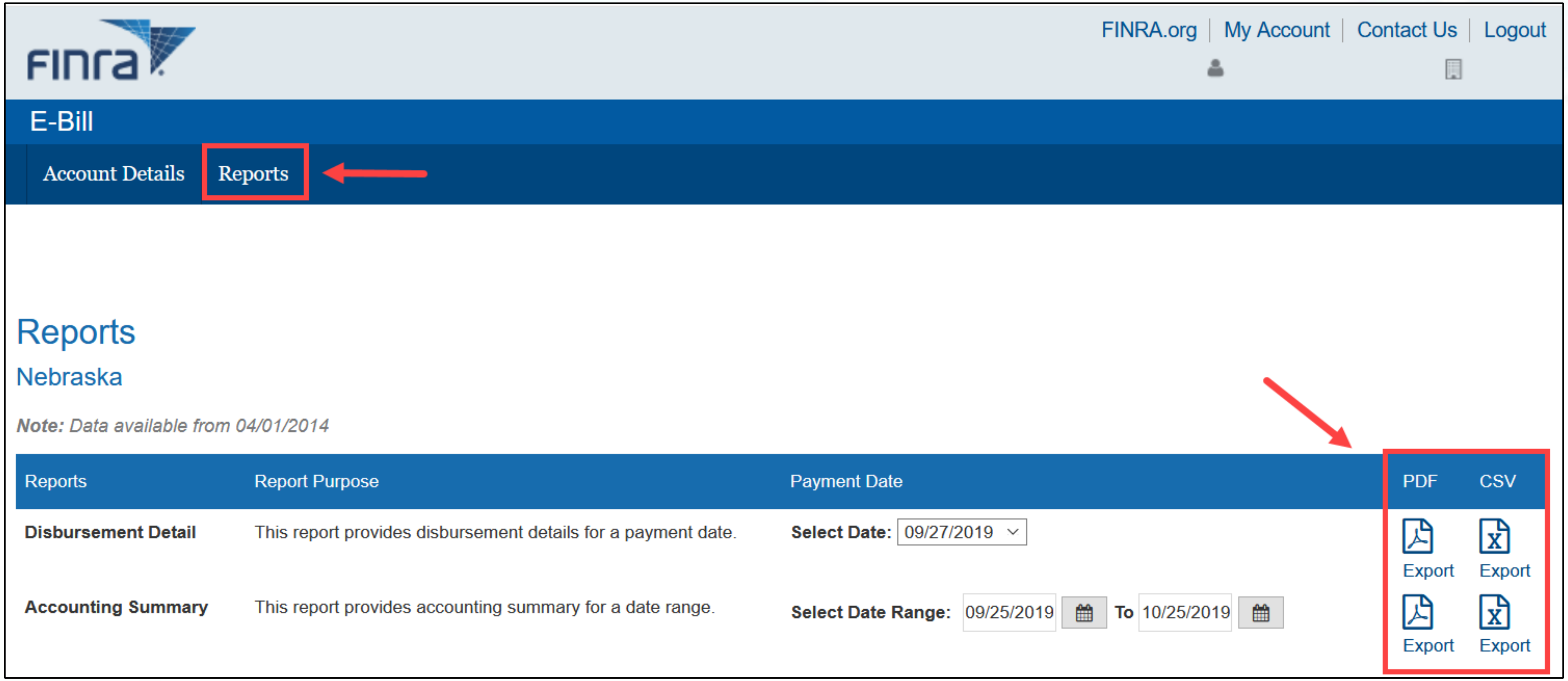
E-Bill Account Details (cont.)

- Clicking the ‘Show/Hide Filter’ link will allow users to filter the transactions on the screen by specific values.
- The ‘More Columns’ button will display additional metadata for each transaction.



E-Bill Reports

- Selecting the Reports tab will allow users to access the full Disbursement Detail and Accounting Summary reports in PDF or CSV format.



E-Bill Disbursement Detail Report PDF

- The PDF version of the report will have data similar to the version available through Web CRD.
  - A column for Filing ID has been added.
  - Due to formatting changes, the page and row counts will be different from the Web CRD version.

Report Run Date: 10/25/2019 | FINRA E-Bill System

Account: [redacted] (NEBRASKA SECURITIES BUREAU) | Disbursement Detail Report: 09/20/2019

Disbursement Detail

Payment Ref #: 1000119334 **Payment Date:** 09/20/2019 **Payment Amount:** $20,490.00

Transaction Date Post Date	Transaction #	Individual CRD #	Individual Name	Filing ID	Description	Org CRD #	Org Name	Branch CRD #	Amount
09/19/2019 09/20/2019	42228491	[redacted]	[redacted]	52451823	NE Individual Reg. Fee	[redacted]	[redacted]	[redacted]	$40.00
09/19/2019 09/20/2019	42227420	[redacted]	[redacted]	52549008	NE Individual Reg. Fee	[redacted]	[redacted]	[redacted]	$40.00
09/19/2019 09/20/2019	42230496	[redacted]	[redacted]	52554492	NE Individual Reg. Fee	[redacted]	[redacted]	[redacted]	$40.00
09/19/2019 09/20/2019	42230370	[redacted]	[redacted]	52554394	NE Individual Reg. Fee	[redacted]	[redacted]	[redacted]	$40.00
09/19/2019 09/20/2019	42230393	[redacted]	[redacted]	52554409	NE Individual Reg. Fee	[redacted]	[redacted]	[redacted]	$40.00
09/19/2019 09/20/2019	42230498	[redacted]	[redacted]	52554494	NE Individual Reg. Fee	[redacted]	[redacted]	[redacted]	$40.00

E-Bill Disbursement Detail Report CSV

- The CSV version of the report will have data similar to the version available through Web CRD.
  - A column for Filing ID has been added, which may require regulators to update their internal systems since the E-Bill version will not be a one-to-one match to the Web CRD version.

	A	B	C	D	E	F	G	H	I	
1	Regulator CRD	Regulator Name	Payment Reference Number	Payment Date	Payment Amount	Transaction Date	Transaction Number	Filing ID	Individual CRD	Individual Name
2	[illegible]	NEBRASKA SECURITIES BUREAU	1000119334	9/20/2019	20490	9/19/2019	42228491	52451823	[illegible]	[illegible]
3	[illegible]	NEBRASKA SECURITIES BUREAU	1000119334	9/20/2019	20490	9/16/2019	42209899	52441780	[illegible]	[illegible]
4	[illegible]	NEBRASKA SECURITIES BUREAU	1000119334	9/20/2019	20490	9/16/2019	42210740	52498796	[illegible]	[illegible]
5	[illegible]	NEBRASKA SECURITIES BUREAU	1000119334	9/20/2019	20490	9/17/2019	42214153	52530724	[illegible]	[illegible]
6	[illegible]	NEBRASKA SECURITIES BUREAU	1000119334	9/20/2019	20490	9/17/2019	42216066	52533608	[illegible]	[illegible]
7	[illegible]	NEBRASKA SECURITIES BUREAU	1000119334	9/20/2019	20490	9/17/2019	42216094	52533649	[illegible]	[illegible]
8	[illegible]	NEBRASKA SECURITIES BUREAU	1000119334	9/20/2019	20490	9/19/2019	42227420	52549008	[illegible]	[illegible]
9	[illegible]	NEBRASKA SECURITIES BUREAU	1000119334	9/20/2019	20490	9/17/2019	42217389	52535429	[illegible]	[illegible]
10	[illegible]	NEBRASKA SECURITIES BUREAU	1000119334	9/20/2019	20490	9/17/2019	42220069	52538712	[illegible]	[illegible]
11	[illegible]	NEBRASKA SECURITIES BUREAU	1000119334	9/20/2019	20490	9/17/2019	42216562	52534332	[illegible]	[illegible]
12	[illegible]	NEBRASKA SECURITIES BUREAU	1000119334	9/20/2019	20490	9/17/2019	42217968	52480127	[illegible]	[illegible]
13	[illegible]	NEBRASKA SECURITIES BUREAU	1000119334	9/20/2019	20490	9/18/2019	42220383	52539151	[illegible]	[illegible]
14	[illegible]	NEBRASKA SECURITIES BUREAU	1000119334	9/20/2019	20490	9/18/2019	42222656	52542570	[illegible]	[illegible]
15	[illegible]	NEBRASKA SECURITIES BUREAU	1000119334	9/20/2019	20490	9/18/2019	42223019	52543124	[illegible]	[illegible]
16	[illegible]	NEBRASKA SECURITIES BUREAU	1000119334	9/20/2019	20490	9/19/2019	42230496	52554492	[illegible]	[illegible]
17	[illegible]	NEBRASKA SECURITIES BUREAU	1000119334	9/20/2019	20490	9/19/2019	42230370	52554394	[illegible]	[illegible]
18	[illegible]	NEBRASKA SECURITIES BUREAU	1000119334	9/20/2019	20490	9/19/2019	42230393	52554409	[illegible]	[illegible]
19	[illegible]	NEBRASKA SECURITIES BUREAU	1000119334	9/20/2019	20490	9/19/2019	42230498	52554494	[illegible]	[illegible]
20	[illegible]	NEBRASKA SECURITIES BUREAU	1000119334	9/20/2019	20490	9/17/2019	42216884	52534809	[illegible]	[illegible]

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FAQs

- Currently, the DDR is automatically generated in Web CRD and I am notified that it is available. Should I expect the same with E-Bill?
  - **Answer:** No. While reports will be available on the same schedule, users will need to proactively log in to E-Bill to generate each DDR.
- Will the renewal reports also be available in E-Bill?
  - **Answer:** Not at this time. For the 2020 renewal cycle, users should still retrieve renewal reports from Web CRD/IARD. Moving renewals reports to E-Bill can be considered in a future system release.
- What are the support contacts for E-Bill?
  - **Answer:** Please continue to use the existing contacts for FINRA's Regulatory Support team.
    - Email: reg.support@finra.org
    - Phone: 240-386-4242 (weekdays from 9 a.m. – 5 p.m. ET)