

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

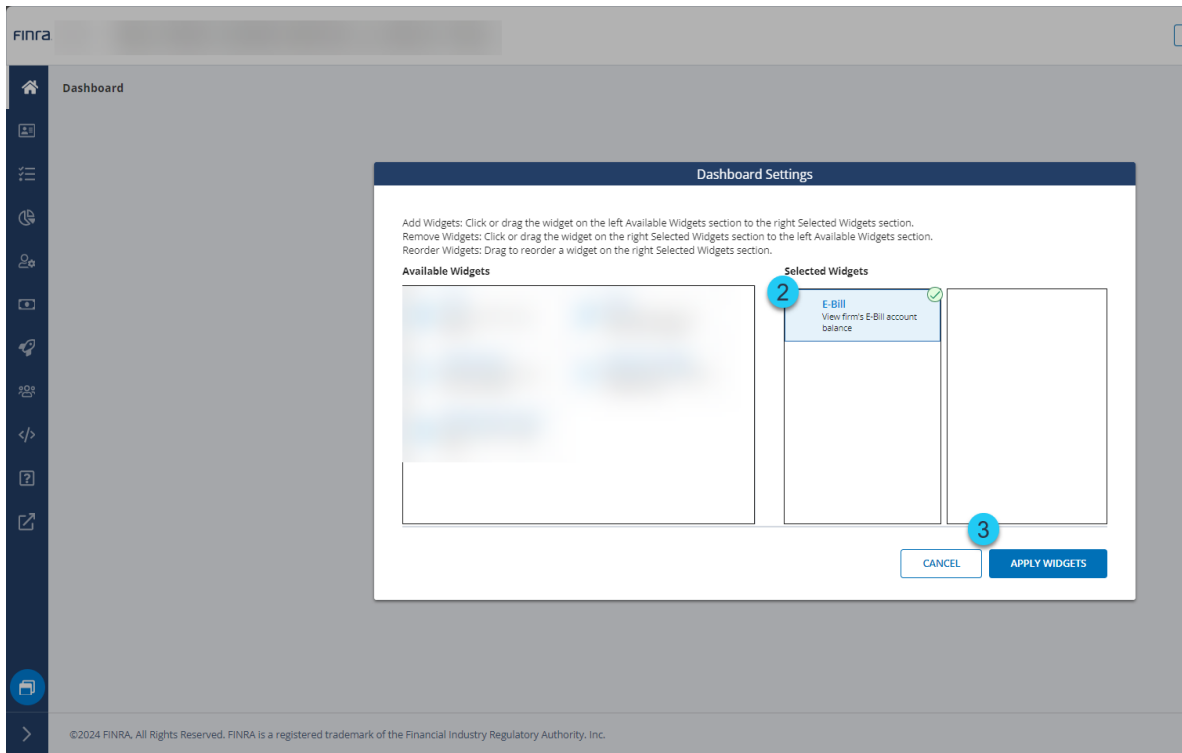
1. Via the **left nav icon**:
 1. Note: This icon appears solely for users with E-Bill entitlement.



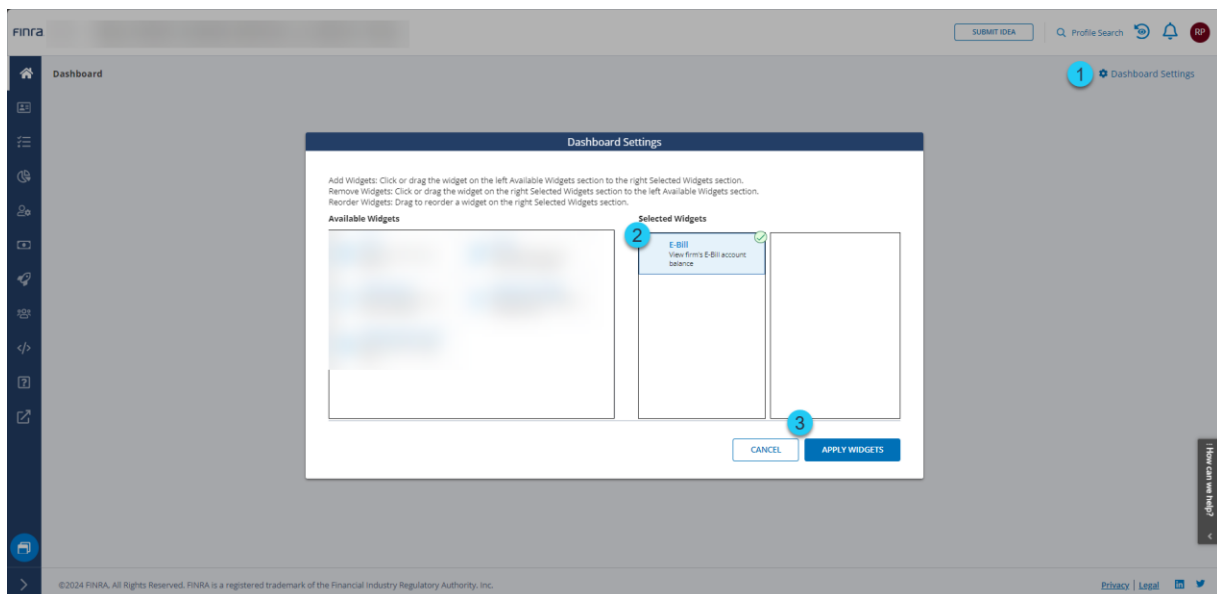
2. Via the **E-Bill Widget**:
 1. Real-time information is provided with the E-Bill widget.
 2. The data points within the widget are contingent on entitlement.

Set Up FINRA Gateway E-Bill Widget

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

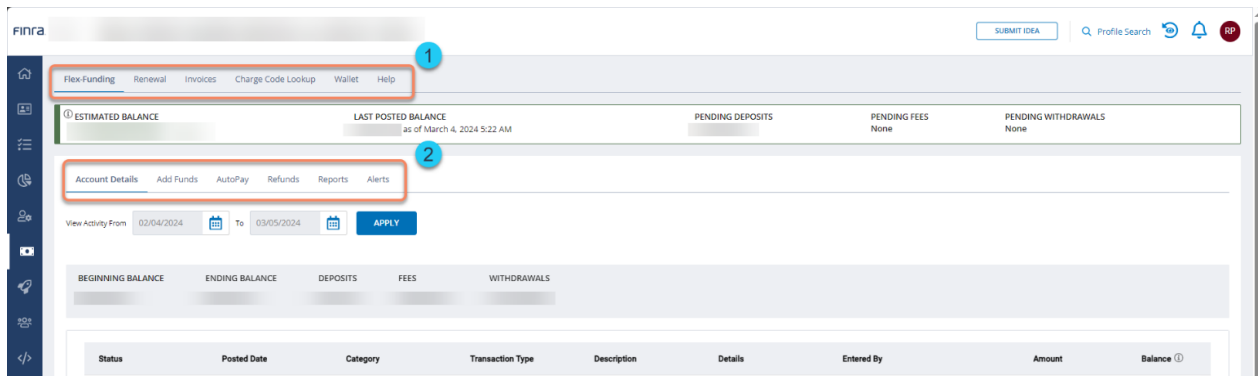


2. Select the **E-Bill Widget**.
3. Click on **Apply Widgets**.



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.

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

① 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 7641 REMOVE

Save Payment Methods

☒ US Bank Checking Account ☐ Card

Bank Account Information

① US Bank Personal Checking Account is only accepted at this time.

* Full Name (on account):

* US Bank Routing Number: ①

* US Bank Account Number: ①

* District/ Outlying area/ State:

* Zip Code:

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 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.

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.

The screenshot shows the FINRA E-Bill Program interface. At the top, the 'Wallet' tab is selected. Below the navigation bar, there's a section for 'Saved Payment Methods' with options for Bank Account, Credit Card, and US Bank Checking Account. The 'Card' option is selected. Below this is the 'Card Information' section with fields for Country (United States of America), Full Name (on card), Card Number, Expiration Date (Month and Year), State/District/Outlying area, and ZIP code. At the bottom is the 'Terms and Conditions' section with a checkbox and 'Cancel' and 'Submit' buttons. Numbered callouts 1 through 5 highlight the steps: 1. Wallet tab, 2. Card option, 3. Card Information section, 4. Terms and Conditions checkbox, 5. Submit button.

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.

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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 7641 REMOVE

Save Payment Methods

☐ US Bank Checking Account ☐ Card

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?

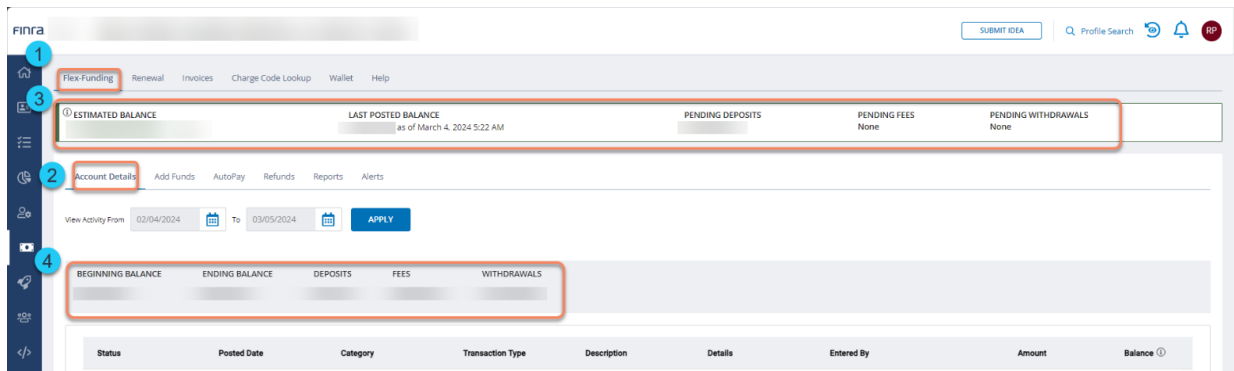
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Flex-Funding Account

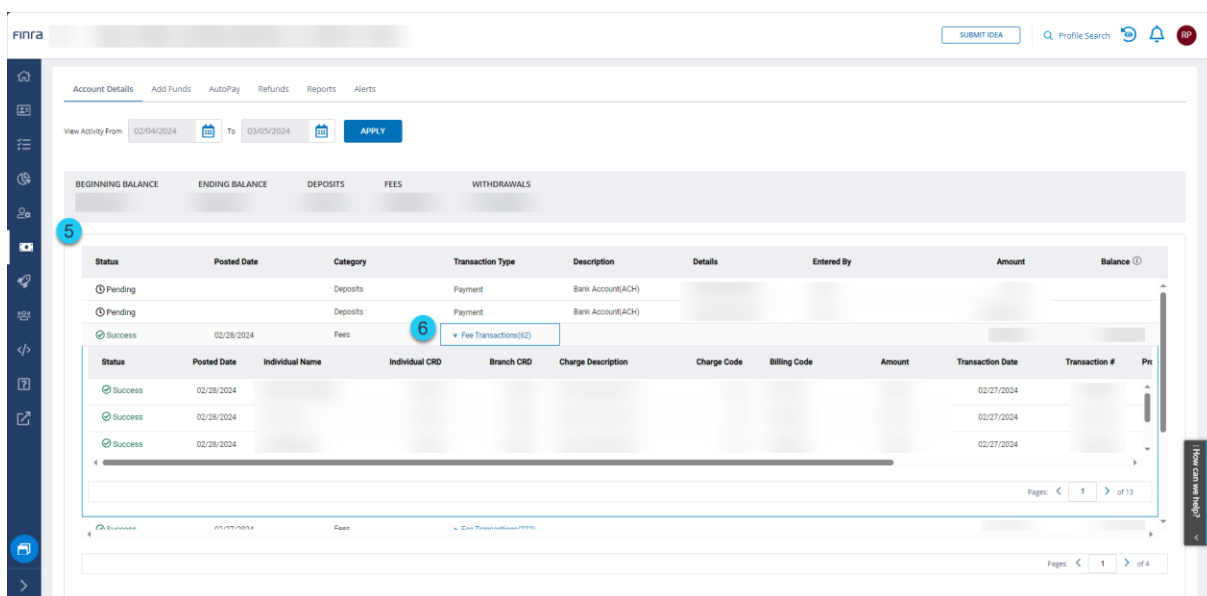
Flex-Funding Account – Account Details

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	CHRG			
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					

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.

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 the 'Affiliate Transfer' section. At the top, there's a navigation bar with links like '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', and 'PENDING WITHDRAWALS'. The main area is titled 'Affiliate Transfer' and features a table with columns for 'Affiliated Firm Org ID', 'Affiliated Firm Name', and 'Transfer Amount'. The table has five rows, each with a 'Transfer Amount' input field set to '\$0.00'. A 'Total Transfer Amount' row is at the bottom. To the right of the table are 'CANCEL' and 'SUBMIT' buttons. Red callout numbers 1, 2, and 3 point to the 'Affiliate Transfer' tab, the 'Transfer Amount' input field, and the 'SUBMIT' button respectively.

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's a navigation bar with links like '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', and 'PENDING WITHDRAWALS'. The main content area is titled 'AutoPay' and includes a 'Frequency' section with input fields for 'Deposit' and 'when the Flex-Funding balance falls below'. Below this is the 'Saved Payment Methods' section, which has a link to 'Wallet'. The 'Terms and Conditions' section contains a checkbox for agreement. 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.

The screenshot shows the FINRA website interface. At the top, there's a navigation bar with links like 'Flex-Funding', 'Renewal', 'Invoices', 'Charge Code Lookup', 'Wallet', and 'Help'. Below this, there's a section for account details with tabs for 'Account Details', 'Add Funds', 'AutoPay', 'Refunds', 'Reports', and 'Alerts'. The 'AutoPay' tab is selected and highlighted with a blue circle containing the number 7. Below the tabs, there's a table with columns: 'Account', 'Frequency', 'Payment Method', 'Created By', and 'Delete AutoPay'. The table contains one row with the following data: 'FINRA Flex-Funding Account (CRDRG)', a blank cell for frequency, 'Bank account ending in 6666', a blank cell for 'Created By', and a 'Delete AutoPay' button. The 'Delete AutoPay' button is highlighted with a blue circle containing the number 8.

Account	Frequency	Payment Method	Created By	Delete AutoPay
FINRA Flex-Funding Account (CRDRG)		Bank account ending in 6666		Delete

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.

1. Click on the **Refunds** tab in the top navigation bar.

2. Select the radio button for **Refund Requests for Charges Assessed in Error**.

3. Enter the **Refund Amount** in the provided field.

4. Enter a **Description** for the refund request in the text area.

5. Click the **SUBMIT** button.

6. Review the **Refund Requests In The Last 30 Days** table.

Transaction Date	Transaction ID	Submitted By	Amount
02/06/2024			

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

7. Click on the link **Refund Requests for Charges Assessed in Error** 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.

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Flex-Funding | Renewal | Invoices | Charge Code Lookup | Wallet | Help

1. ESTIMATED BALANCE | 2. LAST POSTED BALANCE | PENDING DEPOSITS | PENDING FEES: None | PENDING WITHDRAWALS: None

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

1. 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	2. 3.	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	4. 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

How Can I Help?

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.

Finra

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Flex-Funding | Renewal | Invoices | Charge Code Lookup | Wallet | Help

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

None | None

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

All correspondence will be sent to: [Email Address]

Enable	Alert Description	Alert ID
☐	Account Balance is below \$0.00	
☐	Account Balance is above \$0.00	
☐	Funds withdrawn for purposes other than WebCARD/HARD Fees	

UPDATE

Invoices

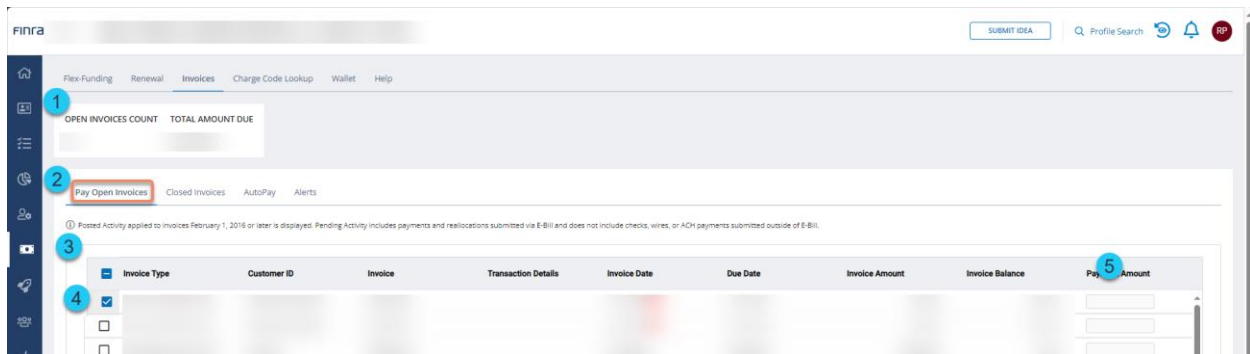
Invoices – Review Open Invoices

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.

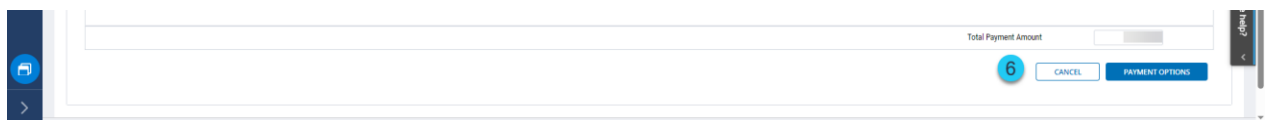
1. Navigate to **Pay Open Invoices** section.
2. Review **Open invoices**.
3. Sort: The columns can be sorted by clicking the column name. An arrow appears denoting if the sort is ascending or descending.
4. Filter: The columns can be filtered. Three lines appear denoting the filter availability by hovering 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.

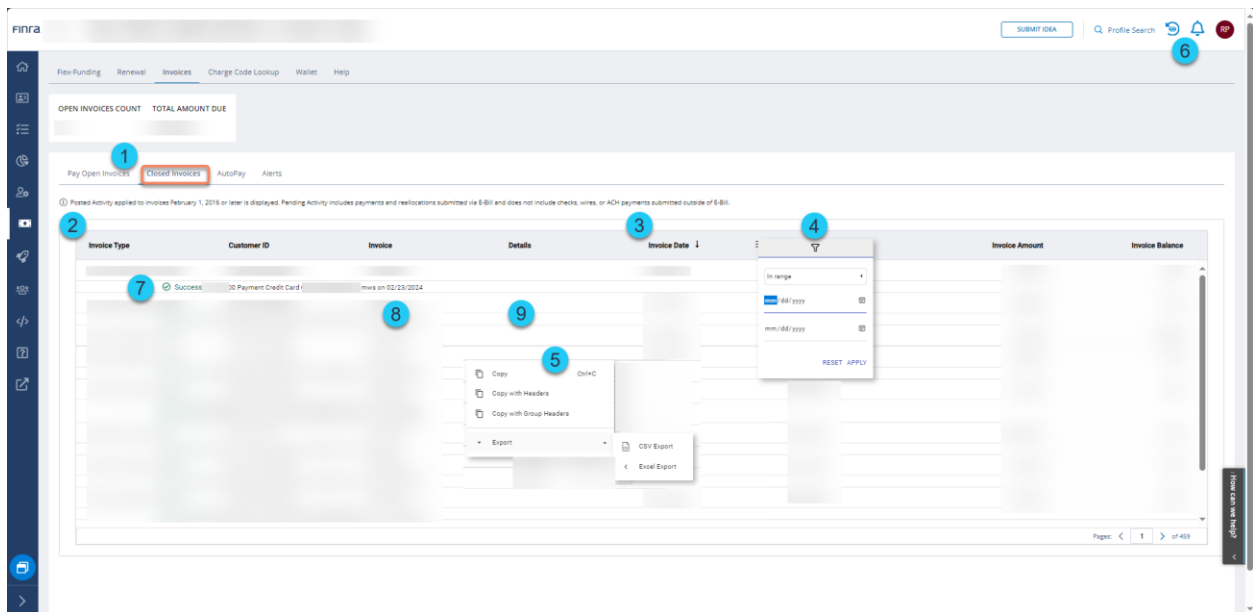
2. The system displays a message indicating the payment has been processed successfully.
3. The system sends an email notification regarding the transaction.
4. The user can review invoice payments in E-Bill at any time.

The screenshot shows the FINRA E-Bill payment interface. At the top, there's a header with the FINRA logo and a 'SUBMIT IDEA' button. Below the header, there's a navigation bar with 'Pay Open Invoices' (highlighted with a red box), 'Closed Invoices', 'AutoPay', and 'Alerts'. A message states: 'Passed Activity applied to invoices February 1, 2016 or later is displayed. Pending Activity includes payments and reallocations submitted via E-Bill and does not include checks, wires, or ACH payments submitted outside of E-Bill.' The main content area has a table with columns 'Invoice Type', 'Invoice', and 'Payment Amount'. Below the table, there's a 'Total Payment Amount:' field. A section titled 'Saved Payment Methods' (callout 8) contains three radio buttons: 'US Bank Checking Account' (callout 9), 'Card', and 'Transfer funds from FINRA Flex-Funding Account'. Below this, there's a link to 'Wells' and two options: 'Bank account ending in 3654' and 'Credit Card ending in 7641'. A 'Terms and Conditions' section (callout 10) has a checkbox for agreement. At the bottom, there are 'CANCEL' and 'SUBMIT' buttons (callout 11). A sidebar on the left contains various icons, and a 'How can we help?' button is on the right.

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.



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.

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.

FINRA

SUBMIT IDA Profile Search

OPEN INVOICES COUNT TOTAL AMOUNT DUE

Pay Open Invoices Closed Invoices AutoPay **Alerts**

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

Invoice Type	New Invoice is Available	Invoice is Past Due Number of Days
Advertising Regulation Electronic Filings (ADVREG)	☒	Select Days
API Developer Center (APIB)	☐	Select Days
Governmental Accounting Standards Board (GASBE)	☐	Select Days
GA/PA/REG (MREGN)	☐	Select Days
Arbitration/Mediation (MTRCS)	☐	Select Days
OTC Reporting Facility (ORFB)	☐	Select Days
Trading Activity Fee (TAFB)	☐	Select Days
Trade Reporting and Compliance Engine (TRACE)	☐	Select Days
Regulatory Transaction Fee (RGFEE)	☐	Select Days

UPDATE

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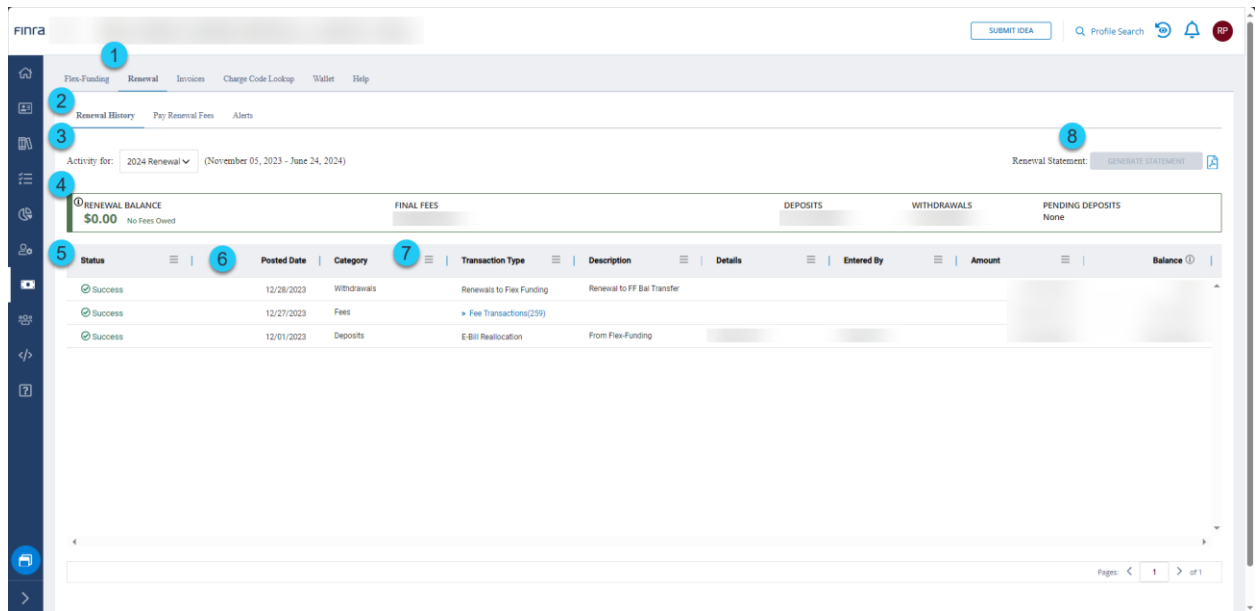
Renewal Account

Renewal Account – Renewal History

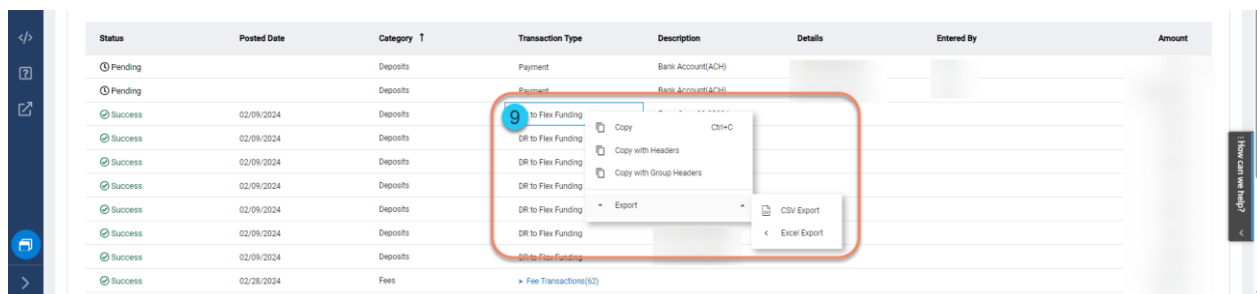
Broker-dealer and investment adviser firms use the Renewal Account to submit payment for Preliminary Statement and Final Statement assessments during the Annual Renewal Program.

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.

7. **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.
8. Obtain the most recently-published statement for the selected Renewal Period by clicking the **Generate Statement** button.



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**.



10. **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, a navigation bar includes links for Flex-Funding, Renewal, Invoices, Charge Code Lookup (highlighted with a red box and callout 1), Wallet, and Help. A sidebar on the left contains icons for various functions, with callout 2 pointing to the 'Business Unit' icon. 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 'Description' column, showing 'Equals' and a 'Filter...' input, with callout 4 pointing to it. The table contains several rows of data. A context menu is open over the table, showing 'Export' (callout 5) and 'CSV Export' options. The bottom of the page shows a footer with copyright information and social media links.

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.