

# Corporate Action Management System

Welcome!

## What is the Corporate Action Management System?

The Corporate Actions Management system (CAM) is the new online system used by Issuers, ADR depository banks, and other parties that provide notice of company-related actions pursuant to SEA Rule 10b-17 and FINRA Rule 6490. It is replacing the previous Electronic Issuer/ADR Company-Related Action Notification forms.

The CAM system provides a central case repository for all company-related action submissions and will support transaction-based workflow between the user and FINRA allowing a user to respond to additional requests for documentation.

## How will submitting a request for a company-related action change from how I do it now?

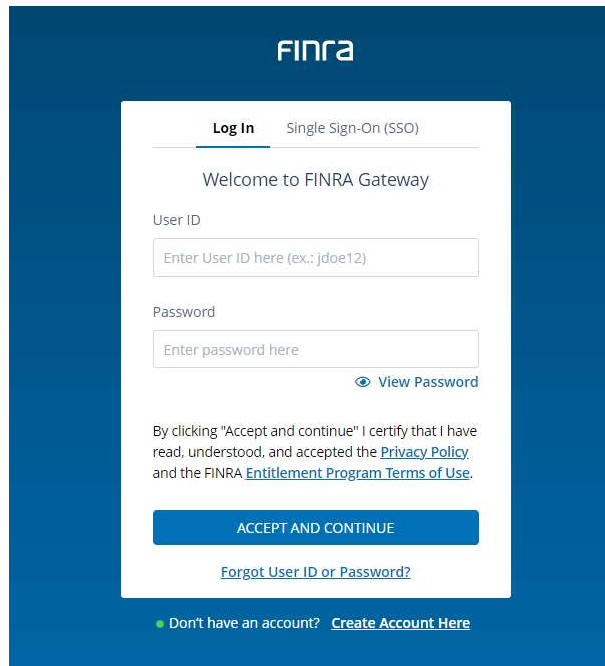
Old Notification Form	New Notification Form
<ul style="list-style-type: none"> <li>• Electronic Issuer Company-Related Action Notification Form</li> <li>• XBRL</li> </ul>	<ul style="list-style-type: none"> <li>• <a href="https://gateway.finra.org">https://gateway.finra.org</a></li> <li>• XBRL</li> </ul>

## Accessing the Site

### Step One: Account Access

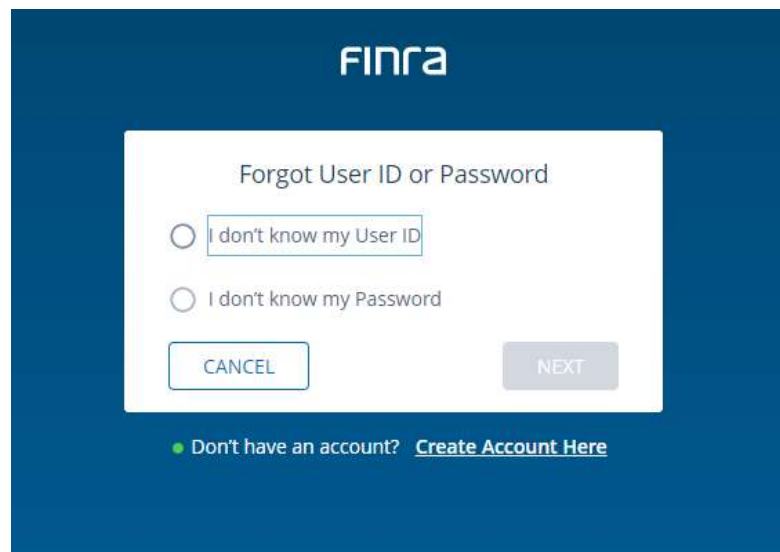
Access to this secure site requires a login id and password. Individuals representing an ADR depository bank should contact their organization's Account Administrator to obtain a login id and password. For existing users who have forgotten their login id or password, follow the Forgot User ID or Password prompts on the bottom of the login page at <https://gateway.finra.org>.

1. Open Chrome (the supported browser) and type <https://gateway.finra.org> in the search bar and press enter. The FINRA login screen displays.



2. Click "**Forgot User ID or Password**" located at the bottom of the log in box.

3. Select the appropriate option and click **Next**.



- For Forgot User ID, enter email address and select Next to receive an email with your username.



The screenshot shows the FINRA login page with the heading "Forgot User ID or Password". There are two radio button options: "I don't know my User ID" (which is selected) and "I don't know my Password". Below the options is a text input field labeled "Email \*" with the placeholder text "Enter Email here". At the bottom of the form are two buttons: "CANCEL" and "NEXT". At the very bottom of the page, there is a link: "Don't have an account? [Create Account Here](#)".

- For Forgot Password, enter user ID and email address associated with your account to receive a link to reset your password.

- You may also receive the option to establish Multi-Factor Authentication for your account. Follow the prompts, as applicable. If you have questions or need additional assistance, please contact your Account Administrator or the FINRA Gateway team at 301-590-6500.



The screenshot shows the FINRA login page with the heading "Forgot User ID or Password". There are two radio button options: "I don't know my User ID" and "I don't know my Password" (which is selected). Below the options are two text input fields: "User ID \*" with the placeholder text "Enter User ID here" and "Email \*" with the placeholder text "Enter Email here". At the bottom of the form are two buttons: "CANCEL" and "NEXT". At the very bottom of the page, there is a link: "Don't have an account? [Create Account Here](#)".

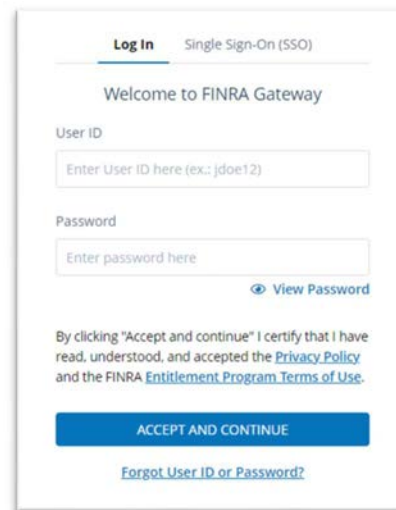
## Step Two- Log in to CAM

Once you have followed the procedures for Creating an Account (in [Step One](#)), you are ready to access the Corporate Action Management System.

1. Open Chrome (the supported browser) and type <https://gateway.finra.org> in the search bar and press enter. The FINRA login screen displays.

2. Type in your User ID and Password.


3. Click **Accept and Continue**. The Gateway Dashboard displays.




## The Gateway Dashboard


The Gateway Dashboard hosts a variety of other FINRA applications- if you are already a user of the Gateway, your dashboard may be populated with other items.

### Notifications:

FINRA will use the Notifications feature in the FINRA Gateway to notify CAM users of submission-related items that require attention, such as a new request for documentation, change in case status, etc. Notifications will be viewable on the web in the Notification Center and also transmitted via email to the user. The FINRA button bar located at the top of the dashboard features a notification button-  .

The button will display a number in red when you have messages.

Click **Notifications**  to see the number of the notifications.



Click **View Notification Center** to see new messages and a history of messages associated with your account.

**Notification Center**

Find Notifications By Title   Maximum length is 80 characters

Notification Type: All Types  Categories: Search or Select

Active Notifications | Historical Notifications

Title	Type	Category	Received ↓	Expires
Showing 0 - 0 of 0 Active Notifications				

### Notifications Quick Tip

Notifications for submissions of an ADR depository bank will be sent to ALL users from that organization. Users have the option to customize notification delivery within **Notification Preferences**.

**Notification Preferences**

2 unread notification(s)

- Announcement** 04/05/2023 - 09:54 AM (ET)  
Corporate Actions Management(CAM) Case Notification
- Announcement** 04/05/2023 - 09:54 AM (ET)  
Corporate Actions Management(CAM) Case Notification
- Announcement** 04/05/2023 - 09:49 AM (ET)  
Corporate Actions Management(CAM) Case Notification

[View Notification Center](#)

## Side Panel Menu

The Side Panel features quick access buttons to various applications available through FINRA's Gateway.

The panel for each participant may be different but the **Request and Filings** button will be available.

The Side Panel remains displayed and active regardless of the application in use.

## Requests and Filings

To access the Corporate Actions Systems from the Dashboard, click the **Requests and Filings** button .

The Requests and Filings Home screen displays.

**Note:** The cases displayed in the Worklist of an ADR depository bank will include submissions created by all users within your organization.

### The Request & Filings Home Screen

Use the home screen to:

- ✓ View all cases submitted- both Active and Completed
- ✓ Open and work on draft cases
- ✓ Download cases
- ✓ Create a duplicate of a draft case
- ✓ Use filters to search for Cases
- ✓ Delete draft cases


CAS	Transaction Type	Issuer Name	Symbol	CUSIP	Created Date	Last Update Date	Status	Actions		
<a href="#">CAS30311G9S2S2Q5</a>		Grayson Enterprise Inc			03/15/23	03/15/23	Draft			
<a href="#">CAS27260Z6X6L1S0</a>	Forward Split	Wayne Enterprise	WENT	454578621	Record or Anticipated Effective Date	Created Date 03/07/23	Payment Due 03/13/23	Last Update Date 03/13/23	In Process/Review	

## Apply a Filter

Use the Filters panel to change the view of cases that display in the main grid.

Click Expand All  to display all available filters.

### The Date Filter:


Click the down carat  to display the full list of date filters. Click to select the filter you wish to apply.

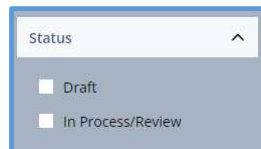
Once selected, the **From** and **To** date fields will display-type the date in MM/DD/YYYY format **or**

click the calendar  to choose the correct date.

The cases that meet the filter criteria will display.  
The active filter will display at the top of the list.

### Status Filter:

Click the down carat  to display the full list of status filters. Click to select the filter you wish to apply.

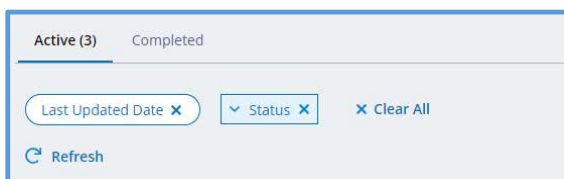


The cases that meet the filter criteria will display.  
The active filter will display at the top of the list.

## Remove a Filter

- To remove **all** the applied filters from the Request & Filings view, click **X Clear All**.
- To remove an individual filter, click the X to the right of the filter type.

The view automatically refreshes.



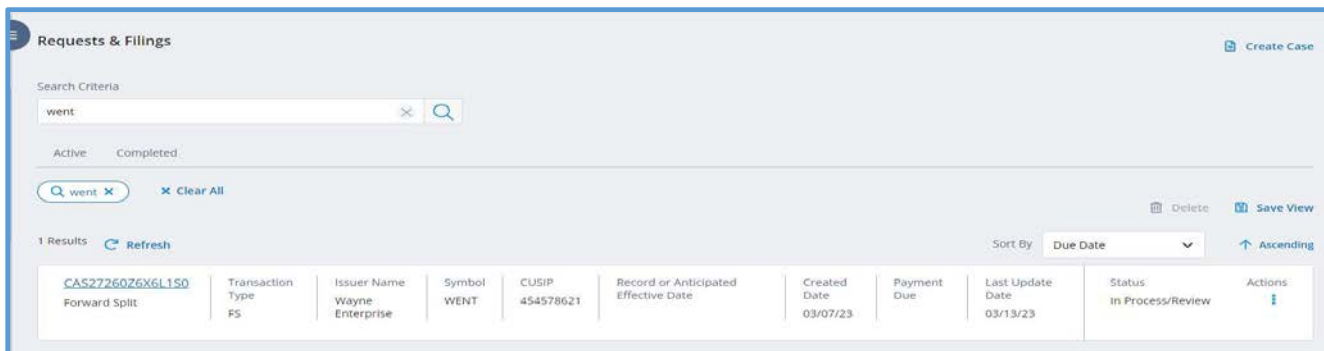
## Search the Worklist

In addition to filtering the worklist by date and status, you may also search the worklist by an alpha or numeric string of text using the Search Criteria feature. This feature supports full or partial searches on issuer name, symbol etc. Use it to search full or partial text related to any field displayed on the worklist.

Click in the **Search Criteria** box, located at the top of screen and type the letters or word you wish to search.

Click the **Search** button .

The results matching that criteria will display in the work list.






**Note:** You may combine filters from the Filter Panel with a Search Criteria.

## Save View

Searches may be saved in CAM and added as a tab for easy use and reuse.

1. Perform the search you would like to save.
2. Click **Save View** , located above the worklist and to the far right of the screen.
3. The Save As New List dialog box displays. Type a name for your search.
4. Click **Save**. The named search now displays as a tab on the worklist. It will display each time the worklist displays.




5. Click the named search tab each time you wish the matching criteria to display.

## Delete View

You may delete a saved search at any time.

Click on the saved search tab you wish to delete.

1. Click **Delete** , located above the worklist and to the far right of the screen.
2. The Delete View dialog box displays.
3. Click **Delete**. The Search is deleted and no longer displays on the worklist.



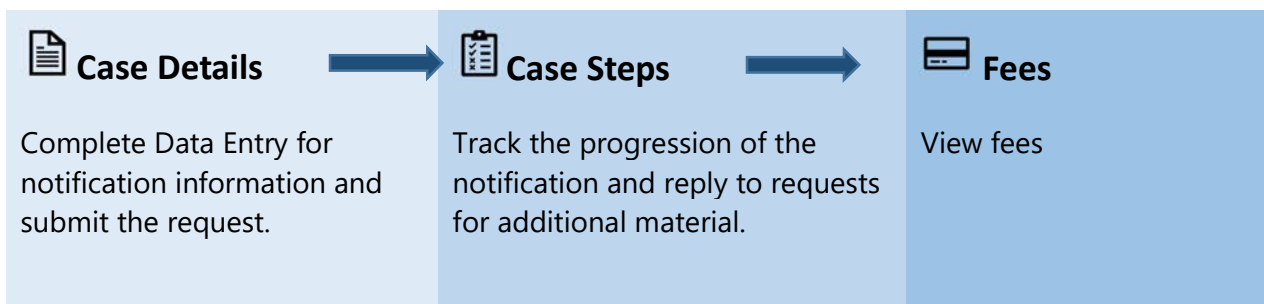
### Quick Tip for Saved Views

Use this feature to organize drafts for easy future access, to consolidate submissions for the same issuer, or to group other related submissions.

## CREATE A CASE

A case is created for every company-related action notice that is submitted. It will be used to collect information and supporting documentation, communicate processing updates, and assess and collect applicable submission fees.


The life cycle of a case matures in three stages:






## Completing Case Details


From the FINRA Gateway Dashboard, click the  **Requests and Filings** button from the side panel menu.

Click  located in the upper right of the screen. The Data Entry form displays.

### Data Entry for Creating a Case:

The below four sections must be populated and saved to complete Data Entry for a case.

Click the  link located at the top of each form to display information on completing the form.

STEP	ACTION
1	<p><b>Contact Info</b></p> <p><i>Provide the name and contact information for the person submitting the filing and will be responding to requests for additional information.</i></p> <ul style="list-style-type: none"> <li>✓ Complete all Required fields – as denoted by an asterisk</li> <li>✓ Use the side bar scroll down to complete Address fields.</li> <li>✓ Click <b>Next</b> to proceed to Transaction Info. You can also click on Transaction Info to navigate to that screen.</li> </ul>
2	<p><b>Transaction Info</b></p> <p><i>Select the appropriate transaction type(s) and provide the requested detail.</i></p> <ul style="list-style-type: none"> <li>✓ On <b>Transaction Type</b>, click the down arrow and click to select the appropriate transaction. A <b>Transaction Subtype</b> field displays.</li> <li>✓ On <b>Transaction Subtype</b>, click the down arrow and select the appropriate subtype from the list. The Transaction 1 form displays.</li> <li>✓ Complete all Required fields – as denoted by an asterisk *. Click <b>Next</b> to save this content and move to Officers &amp; Directors. You can also click on Officer &amp; Director Info to navigate to that screen.</li> </ul> <p><b>Adding Additional Transactions</b></p> <ul style="list-style-type: none"> <li>✓ After the first transaction data is complete, click Add Transaction , located at the top right of the screen. Transaction 2 displays at the bottom of this screen. You may need to scroll down to view it.</li> <li>✓ Follow instructions above.</li> <li>✓ Add as many Transactions as is appropriate for this notification.</li> </ul>
3	<p><b>Security Info</b></p> <p><i>Provide the details of the security undergoing the company-related action(s).</i></p> <ul style="list-style-type: none"> <li>✓ Complete all Required fields – as denoted by an asterisk *.</li> </ul>

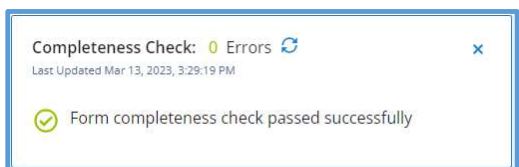
	<ul style="list-style-type: none"> <li>✓ Use the side bar scroll down to complete all the required information.</li> </ul> <p>Click <b>Next</b> to save this content and move to Transfer Agent. You can also click on Transfer Agent to navigate to that screen.</p>
<b>4</b>	<p><b>Certification &amp; Signature</b></p> <ul style="list-style-type: none"> <li>✓ Complete all Required fields – as denoted by an asterisk *.</li> <li>✓ Click Submit to save the case and submit to FINRA for review and processing.</li> </ul>

## Completeness Check

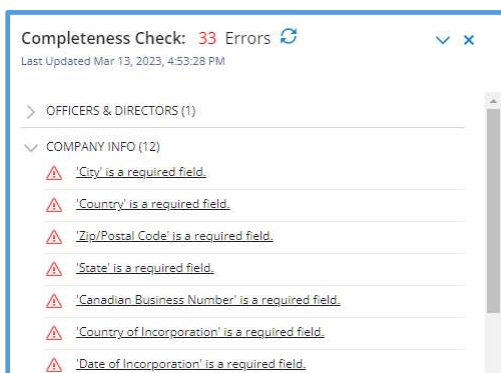
To confirm completion of all required fields, click **Completeness Check**  located at the bottom left of all data entry forms.

The Completeness Check will review all four form sections to ensure all required fields have been populated.

If the data entered is complete, the following message displays:



If required data is missing or incomplete on or more form sections, an error message displays with the specific form section(s) and field(s) that require review. Click the arrow to view what fields need to be completed. Click the hyperlink to go directly to the form section and field that has the error.



## Completeness Check Quick Tip

Use the completeness check at any time while completing the form to see what required fields are missing from your submission.

## Updating a Submitted Filing

The CAM system allows users to update the details of their notification form after submission to ensure the record reflects the most accurate details of the company-related action. To edit a submitted filing:

1. Click on the applicable case number from the worklist to open the filing.

CAS Number	Transaction Type	Issuer Name	Symbol	CUSIP	Record or Anticipated Effective Date	Created Date	Payment Due	Last Update Date	Status	Actions	
CAS-44697-P9V6LOV6	Stock Dividend, Name ...	TD, NC, BNKF	Test Company	ABCD	123456789	06/17/22	07/21/22	\$5000.0	10/05/22	In Process/Review	
CAS-88671-LOW2CON4	Forward Split	WXYZ	Company	ABCD		07/12/22	07/14/22	\$5000.0	07/14/22	In Process/Review	
CAS-88671-LOW2CON4	Forward Split	WXYZ	Company	ABCD		07/14/22	07/14/22	\$5000.0	07/14/22	In Process/Review	

2. Edit each section and field, as needed.
3. To save changes, click **Update Case** at the bottom of the screen.
4. If you do not click **Update Case** you will lose your changes.  
**PLEASE NOTE:** changes to your form may impact the fees associated with your filing.
5. Be sure to review Fees and Payments after updating your case to view updates to fees.

## Case Status

Each submitted case will have a status description to indicate the disposition of the case at any given time.

The statuses for an **Open** case are:

- **Information/Action Required:** Indicates FINRA is waiting for additional information from you to proceed with the review. Review your case steps and comments and respond accordingly.
- **In Process/Review:** Indicates FINRA is reviewing your submission and accompanying documentation and no further action is required by you at this time.

The statuses for a **Closed** case are:

- **Withdrawn:** Indicates the case has been closed without processing at the request of the submitter.
- **No OTCE Symbol:** Indicates the case has been closed without processing because there is no OTC security impacted by the company-related action.

- **Exchange Listed Security:** Indicates the case has been closed without processing because the security impacted by the company-related action is listed on an exchange.
- **Deficient:** Indicates the case has been closed without processing because it has been found deficient pursuant to FINRA Rule 6490.
- **Unresolved Deficiency:** Indicates the case has been closed without processing because the circumstances leading to a previous Deficiency finding pursuant to FINRA Rule 6490 remain unresolved.
- **Processing Completed – Announced:** Indicates the case has been processed and the company-related action(s) announced.
- **Processing Completed – Not Announced:** Indicates the case has been processed but there is no accompanying company-related action announcement.
- **Lapsed:** Indicates the case has been closed without processing because required documentation or information was not provided to FINRA in a timely manner.
- **Processing Completed – Pending Final:** Indicates company-related action with approximate details has been processed/announced but is pending final details of transaction.

## Working with Drafts

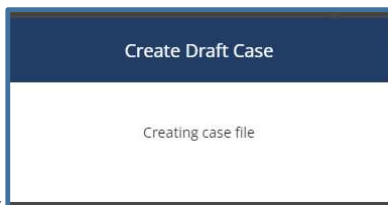
### Create a Draft

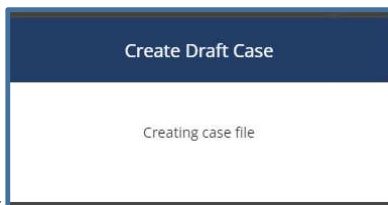
Not ready to complete all the steps for case creation in one go? You may create a draft at any time during the case creation process.

 **Note: Be certain to use the Create Draft or Update Draft feature before logging out or timing out of the system.**

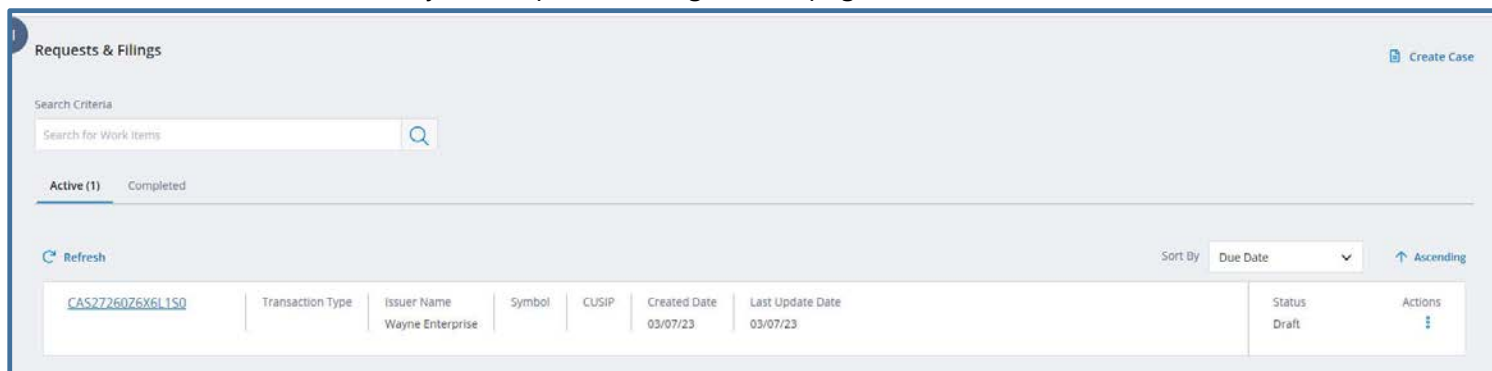
**Failure to Create Draft will result in loss of data!**

From any data entry form, click  located in the top right corner of the form.



You will receive the confirmation dialogue box , then the current data entry form will display- but with the addition of a Corporate Actions Case number generated by the Corporate Actions System

The draft is now accessible from your Request & Filings home page.



Transaction Type	Issuer Name	Symbol	CUSIP	Created Date	Last Update Date	Status	Actions
	Wayne Enterprise			03/07/23	03/07/23	Draft	

## Update a Draft

Each time you make changes to a draft, be sure to click **Update Draft** before closing out of the case or exiting the system. If you fail to update the draft, the most recent changes will **NOT** be saved.

If the system times you out due to inactivity- any information you entered since you last saved as draft will **NOT** be saved!

### To Update a Draft:

1. From any Data Entry info form, click **Update Draft**  located in the bottom right corner of the form.



The Save Case dialogue box displays: . The draft is updated to reflect the most recent changes.

## Delete a Draft

You may delete any case that has a status of Draft.

1. From the Requests & Filings home screen, click **Actions**  for the Case you wish to delete and click delete from the list.

OR

In an open case, from any Data Entry form, click **Delete Draft**  located on the bottom right of the screen.

The Actions pop-up menu displays:

CAS83149I8M9A3F1	Transaction Type	Issuer Name	Symbol	CUSIP	Created Date	Last Update Date	Status	Actions
		Grayson Enterprise Inc			03/15/23	03/15/23	Draft	⋮
		Grayson Enterprise Inc			03/15/23	03/15/23	Draft	<a href="#">Download</a> <a href="#">Duplicate</a> <a href="#">Delete</a>

2. The *Confirm Delete Case* dialog box displays. Click **Yes**. Once complete, the deleted case no longer displays in the Active tab of the Request & Filings Home screen.

## Duplicate Drafts

To save time and effort, CAM provides the ability to copy draft Cases to the system.

You can create a draft with static information such as Company Info, Contact Info and Officers & Directors, to be duplicated each time a new case needs to be created.

## Create a Duplicate Draft

- From the Requests & Filings home screen, click **Actions**  for the Case you wish duplicate. The Actions pop-up menu will display:

CAS83149I8M9A3F1	Transaction Type	Issuer Name	Symbol	CUSIP	Created Date	Last Update Date	Status	Actions
		Grayson Enterprise Inc			03/15/23	03/15/23	Draft	<ul style="list-style-type: none"> <li>Download</li> <li>Duplicate</li> <li>Delete</li> </ul>
CAS30311G9S2S2Q5	Transaction Type	Issuer Name	Symbol	CUSIP	Created Date	Last Update Date	Status	Actions
		Grayson Enterprise Inc			03/15/23	03/15/23	Draft	<ul style="list-style-type: none"> <li>Download</li> <li>Duplicate</li> <li>Delete</li> </ul>


- Click **Duplicate**. The *Confirm Duplicate Case box* displays. Click **Yes**. The *Duplicate Case box* displays. Once complete, the new duplicated case displays in the Active tab of the Request & Filings Home screen.

### Duplicate Drafts Quick Tip

For users that submit filings on a recurring schedule, use the draft feature as a “template” to save time on entering static data (company info, transfer agent, etc.) To submit from a saved draft, **first duplicate your saved draft**, then update with the details specific to your new filing and submit.

## Download & Print Case Details, and Steps


You may Print case info and download file attachments pertaining to cases.

- From the From the Requests & Filings home screen, click **Actions**  for the Case you wish to download. The Actions pop-up menu displays.
- Click **Download**.


OR

From any of the Data Entry forms, click **Download**  located at the top right of the form window. The Download View screen displays.

- By default, all Case details are selected. You can customize the contents of the download by Case Details, Case Steps and Fees and Payments as appropriate. Uncheck a box if you do not want to include it.

4. Click Print , located at the bottom of the screen. The Print dialog box displays.
5. Confirm your print preferences and click **Print**. The Case selection is sent to the printer or PDF.

**Download Attachments:**

6. Click **Download Attachments**  located at the bottom of the screen. A pdf displays minimized on your computer's task bar.
7. Double click on the minimized file to open it and print or save.

## Case Steps

Use the Case Steps module to provide required supporting documentation and to respond to requests for additional information needed to process the filing.

### Working with Case Steps

#### Viewing Case Steps

Upon successful submission of a filing, a list of required steps will be added to the case under the Case Steps tab, if applicable. In addition to the steps added at case submission, Market Operations may add additional steps to help clarify the details of your submission. Note: not every transaction type will have required steps. Navigate to Case Steps to view the list of steps applicable to your submission.



**Note: See Appendix A of this user guide for a list of commonly requested documents for each transaction type.**

Processing Step	Status	Requested Date	Last Updated
Articles of Amendment or Certificate of Change	Information/Action Required	04/13/2023	04/13/2023
Articles of Incorporation	Information/Action Required	04/13/2023	04/13/2023
Officer and Director Documentation	Information/Action Required	04/13/2023	04/13/2023
Corporate History	Information/Action Required	04/13/2023	04/13/2023
Shareholder Consent	Information/Action Required	04/13/2023	04/13/2023
Shareholder List	Information/Action Required	04/13/2023	04/13/2023
File-Stamped Articles of Dissolution	Information/Action Required	04/13/2023	04/13/2023

#### Case Step Status

Each step will have a Step Status that indicates whether action is required by you.

**Open** Step Statuses are:

- **Information/Action Required:** This status indicates that a step requires action from you. Review the step instructions and comments for more information.
- **Submitted:** This status indicates that you have provided a response to an open item and it has been submitted for FINRA's review. No additional action is required by you at this time.

**Closed** Step Statuses are:

- **Review Complete:** Indicates that the step has been reviewed and closed by FINRA and no further action is required.
- **Not Applicable:** Indicates that no action is required.

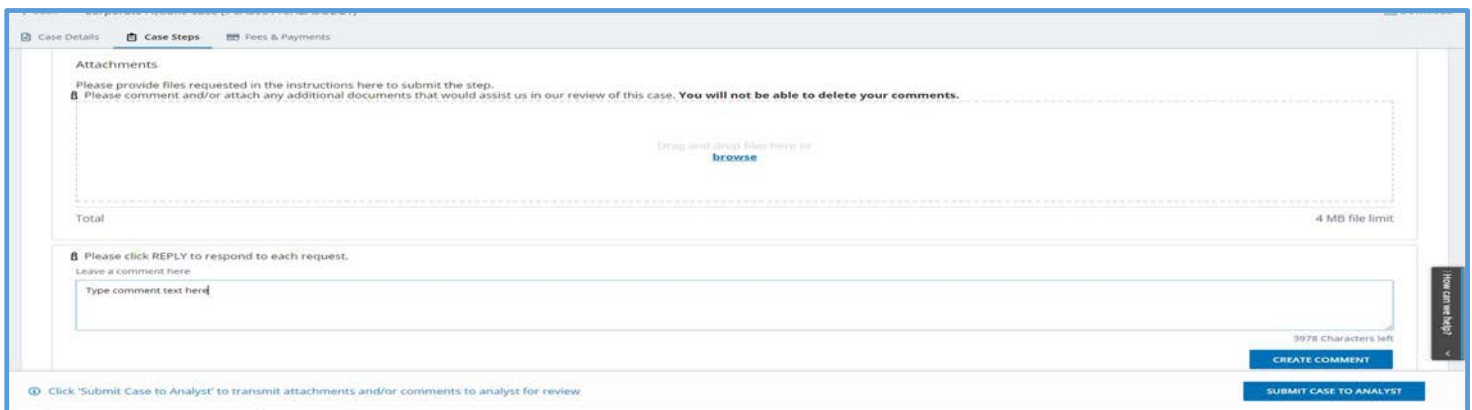


## Responding to Case Steps

Click on each step to view the instructions and details of the step.



1. Drag and drop required documents into the Attachment section of the step or select **browse** to upload documents. Note: there is a 4.5 MB limit on an individual document upload.
2. To add a comment with additional information or clarification, enter comments in the text box and select **Create Comment**.
3. To submit the document and the comment to Market Operations, select "**Submit Step to Analyst.**" This action will change the step status to "**Submitted**" and will send to Market Operations for review.
4. Upon receipt of the required documentation/information, Market Operations will close the step with the appropriate status.
5. If additional detail is needed by Market Operations, a comment will be added, the step status changed back to "**Information/Action Required**" and a notification will be sent to you. Monitor the status of your steps and respond to **Information/Action Required** steps, as needed.



### Case Steps Quick Tip


Be sure to monitor your notifications and case step statuses for updates and requests for additional information. Failure to respond to requests for documentation or information in a timely manner may result in a case being closed with a status of **Lapsed**.

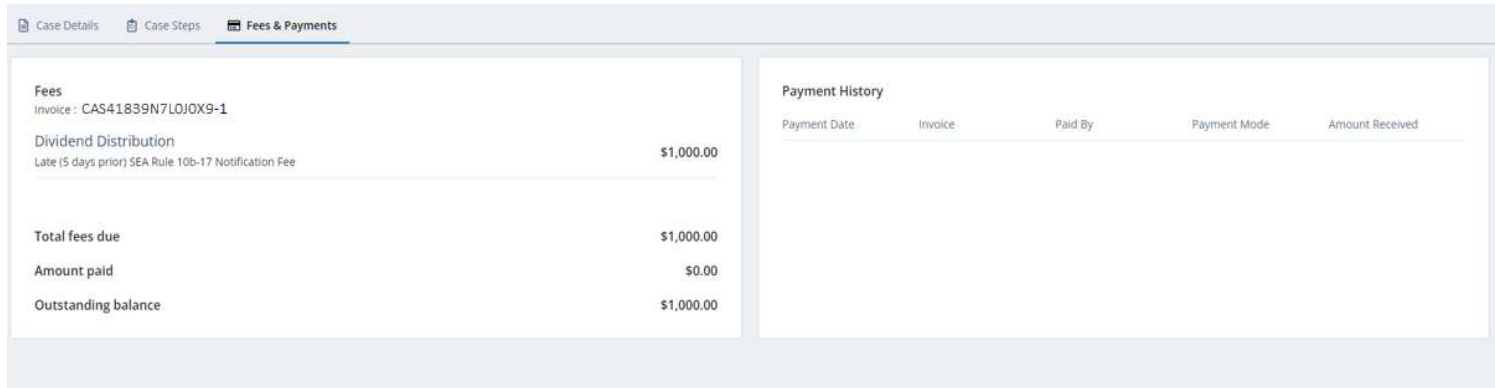
## Fees and Payment

Use the Fees and Payments module to view fees associated with your submission.

### Viewing Fees and Payments

Upon successful submission of a filing, fees may be applied to your case, depending on the transaction(s) selected. For more information about fees associated with company-related actions, please see [FINRA Rule 6490](#).

From the Requests & Filings home screen, click the case number to open the details. Click  Fees and Payments on the top of the screen.



Fees		Payment History				
Invoice: CAS41839N7LOJ0X9-1		Payment Date	Invoice	Paid By	Payment Mode	Amount Received
Dividend Distribution						
Late (5 days prior) SEA Rule 10b-17 Notification Fee	\$1,000.00					
<b>Total fees due</b>	<b>\$1,000.00</b>					
Amount paid	\$0.00					
Outstanding balance	\$1,000.00					

The display will include a fee line item for each transaction in your submission that is subject to a fee.

**Corresponding payments will NOT be reflected in the Payment History of ADR depository bank filing submissions.**



### Fees and Payments Quick Tip

Applicable fees are determined by the transaction type(s) and the event date associated with your transaction(s). The event date is typically the record date or anticipated effective date of your company-related action and is the date used to determine timeliness of notification. The fees associated with a case may change with subsequent updates to your notification form, such as changes to the transaction type(s), or changes to the event date(s) associated with your transaction(s).

## FAQS

### Why is the Company-Related Action Notification process changing?

The new Corporate Actions Management Platform will provide more transparency into the submission review status and introduces new user functionality to enhance the submission process including supporting edits to submissions and facilitate document sharing and communication within the system.

### What if I do not have a user ID?

If you need to submit notice of a company-related action for an OTCE issuer, before or after the new system is live, you can create an account by going to <https://gateway.finra.org>, clicking the Create Account Here link, and following the set-up prompts. If you need to submit notice of a company-related action for an ADR depository bank, please see your organization's Account Administrator for a new account.

### I have more questions about this system that are not covered here. Who can help?

If you have additional questions, please contact [otccorpaactions@finra.org](mailto:otccorpaactions@finra.org), [otcdividends@finra.org](mailto:otcdividends@finra.org), or call 866-776-0800, Option 1.

## Appendix A

The list below includes commonly requested documents by transaction type to help in preparing your filing. The list of documents required for the review of your specific company-related action will be displayed in the Case Steps section of your case upon submission. Additional documents may be requested during the review of your submission. Additional requests for information will also be displayed in the Case Steps section of your case.

### ADR Form Filing – Required Document Display by Transaction Type

1. Forward Split – Effective Date Event
  - Event Notice
2. Forward Split – Record Date Event or Stock Dividend (>25%)
  - Event Notice
3. Reverse Split
  - Event Notice
4. Reverse Split followed by Forward Split
  - Event Notice
5. Name Change
  - Event Notice
6. Other
  - Event Notice
7. ADR/GDR Program Termination
  - Event Notice
8. Conversion
  - Event Notice
  - F-6
9. Ratio Change
  - Event Notice
10. Spin-Off
  - Event Notice
11. Rights Offering
  - Event Notice
12. Liquidation
  - Event Notice
13. Cash Dividend
  - Event Notice
14. Stock Dividend
  - Event Notice
15. Optional (Cash and/or Stock)
  - Event Notice
16. Dividend Payable in Another Security
  - Event Notice