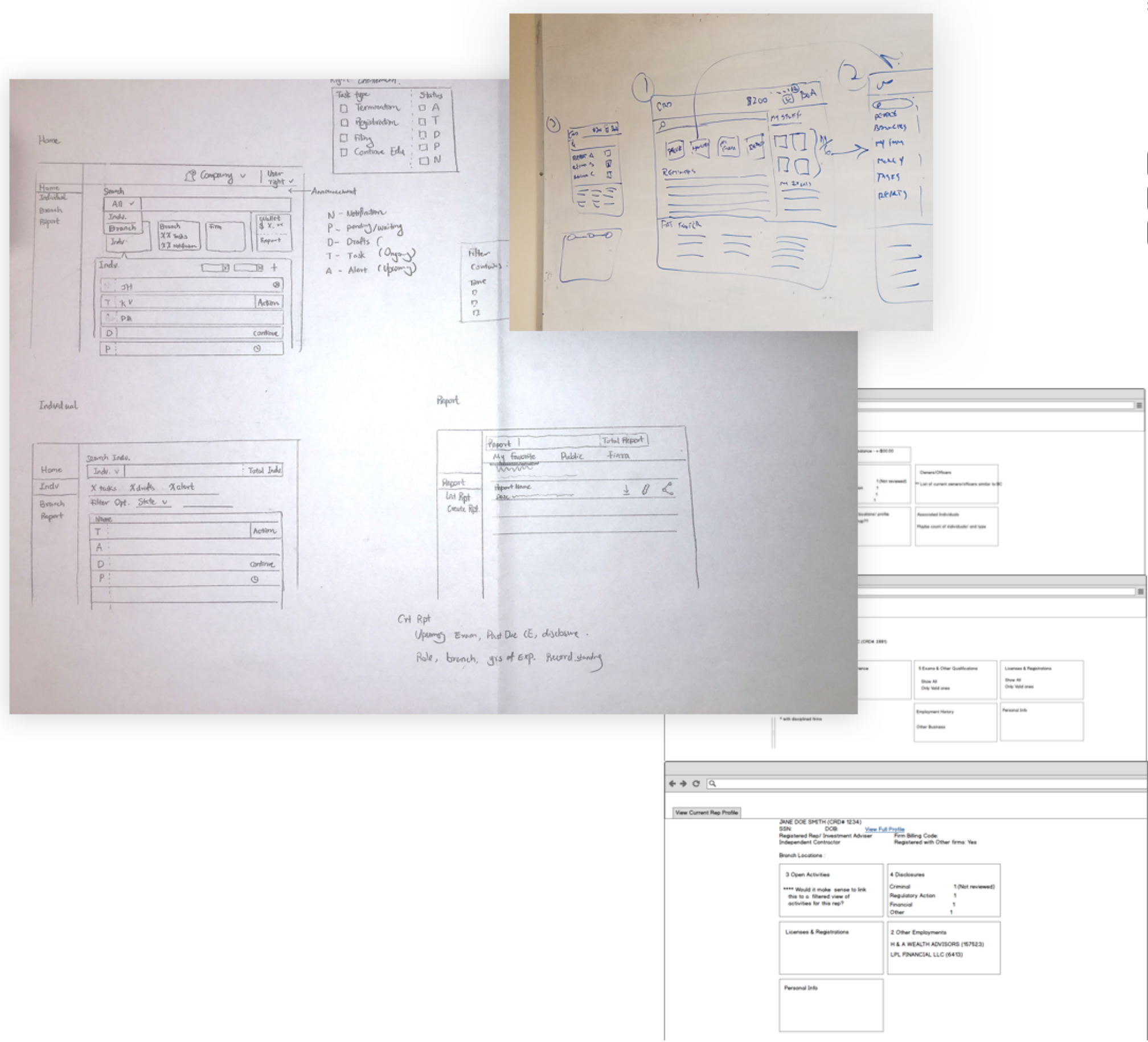
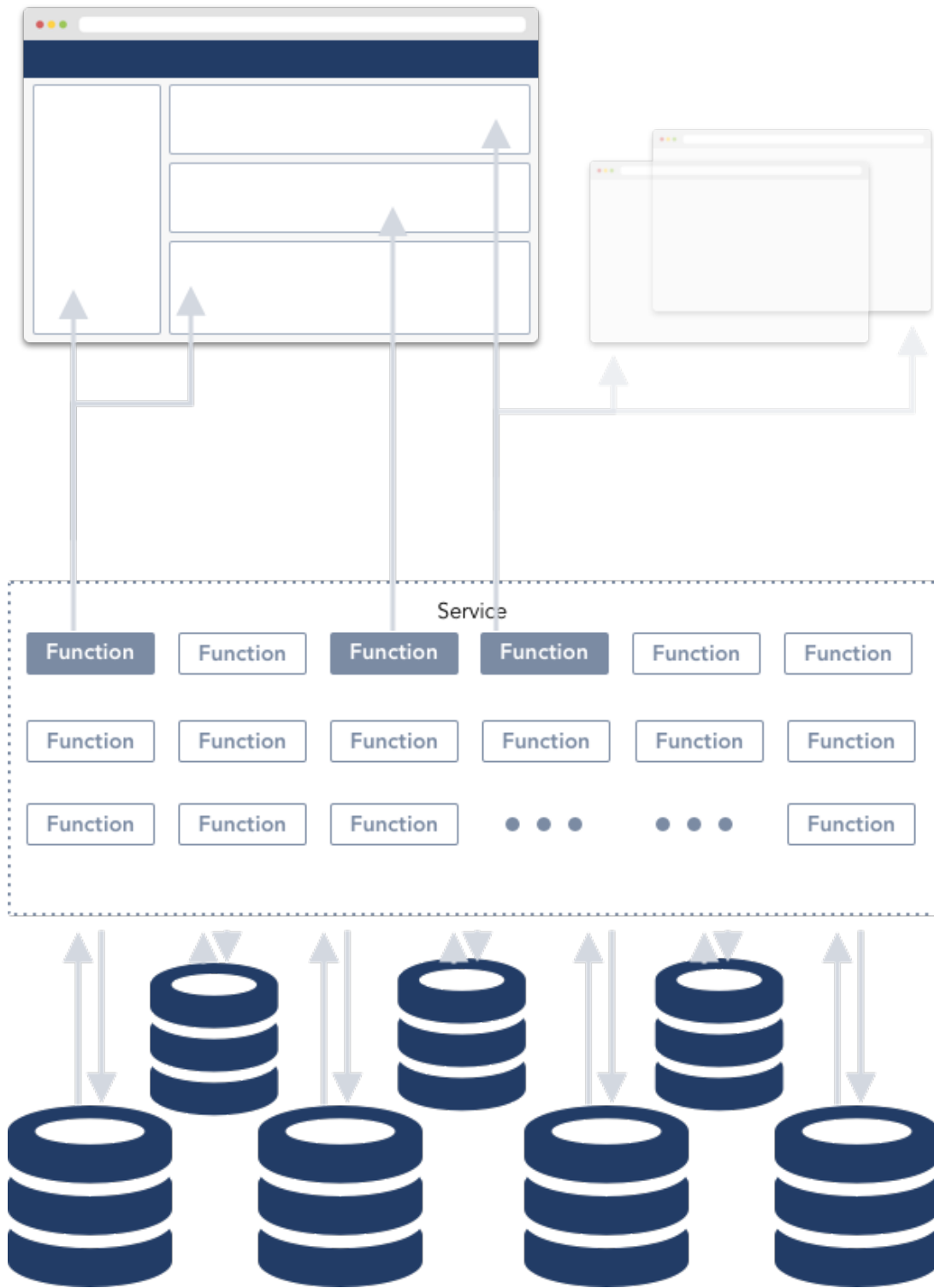


New Architect

With modularized design, transfer information directly toward upper level for UI rendering with encapsulated functions.

One system could submit data toward multiple regulatory sectors (securities, insurance, mortgage, futures...)

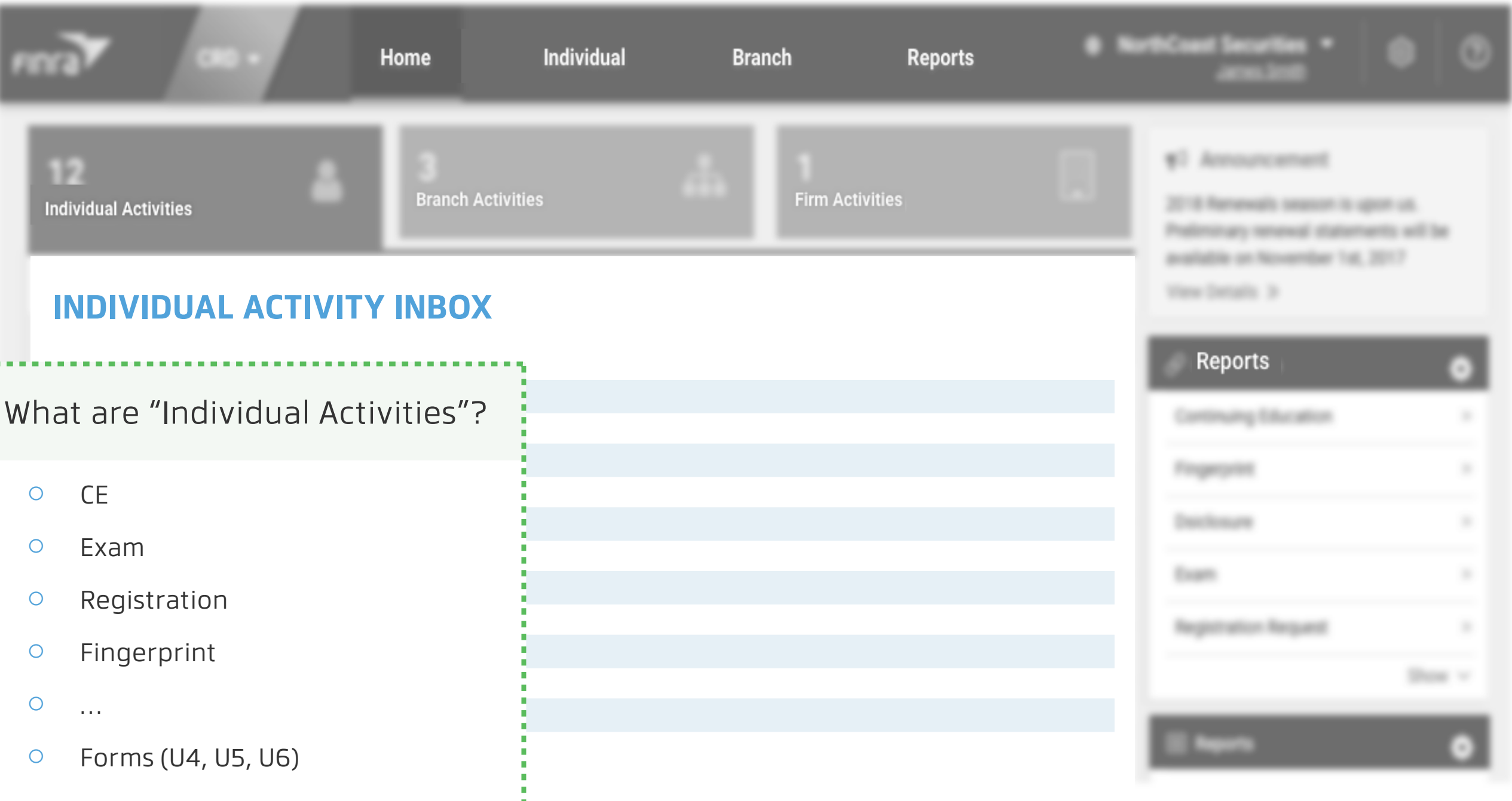
Improved modularity and reduced code redundancy, most important of all, essentially eliminate the duplicated process from end-user



Parallel Design

Invite business stakeholders to sketch out their envisioned appearance of new WebCRD based on knowledge we learned from user research.

Further create wireframes to highlight key information and major user tasks, allowing us to quickly settle down on the following dashboard concept:



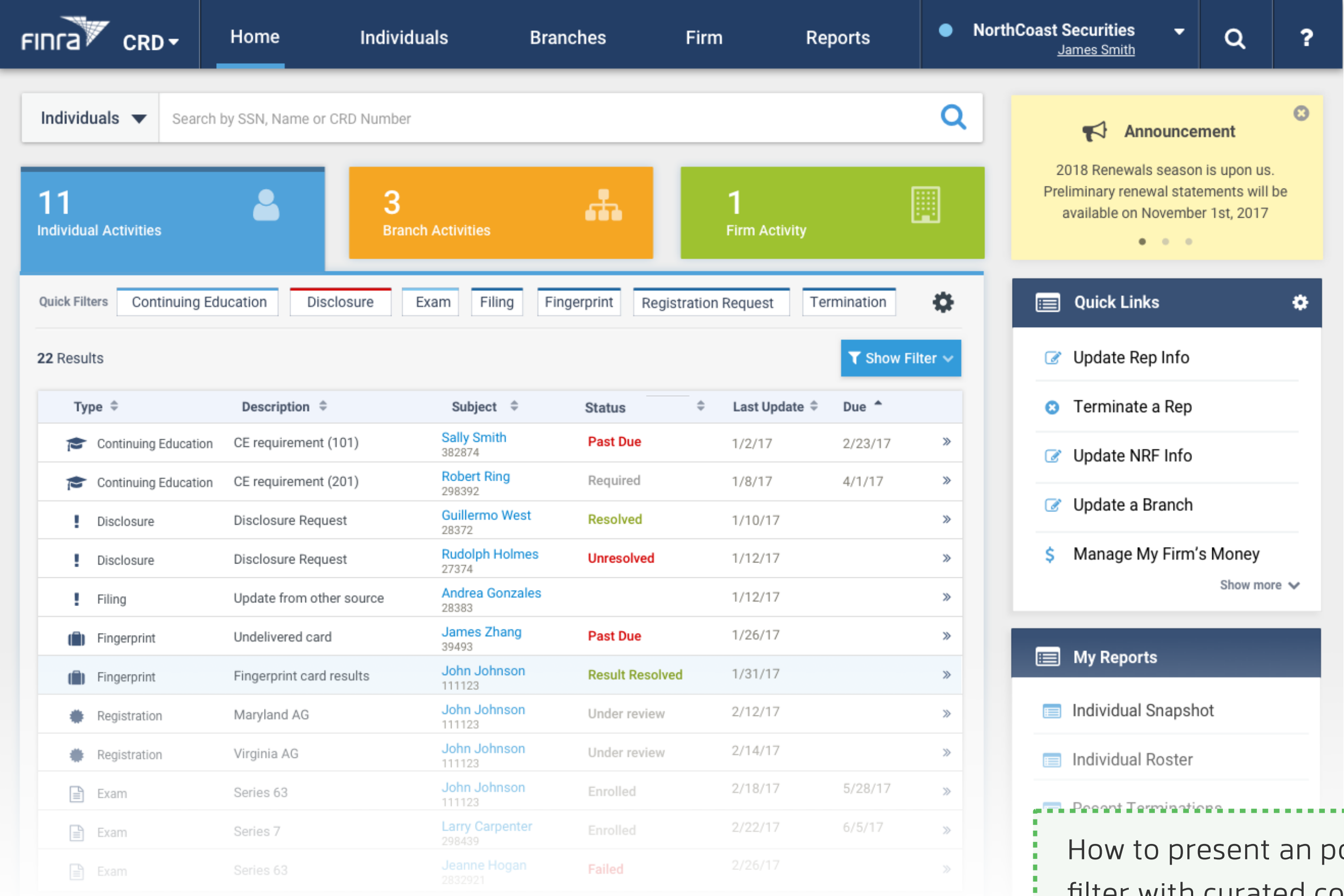
What are "Individual Activities"?

- CE
- Exam
- Registration
- Fingerprint
- ...
- Forms (U4, U5, U6)

Visual Concept

According to our research and analysis, I created this early visual concept: surfacing up activities to dashboard, with quick filters for activity types, so users can quickly narrow down tasks list to view those they are responsible of.

This has been very popular demo concept on executive presentations, before project begins.



Filter Options

How to present an powerful filter with curated content according to users' role?

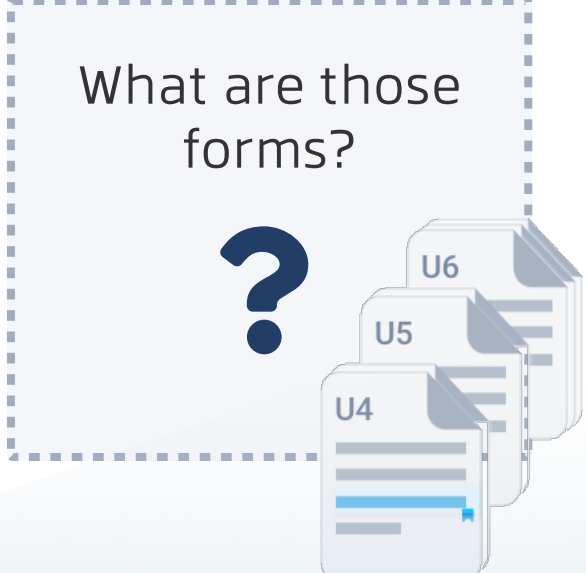
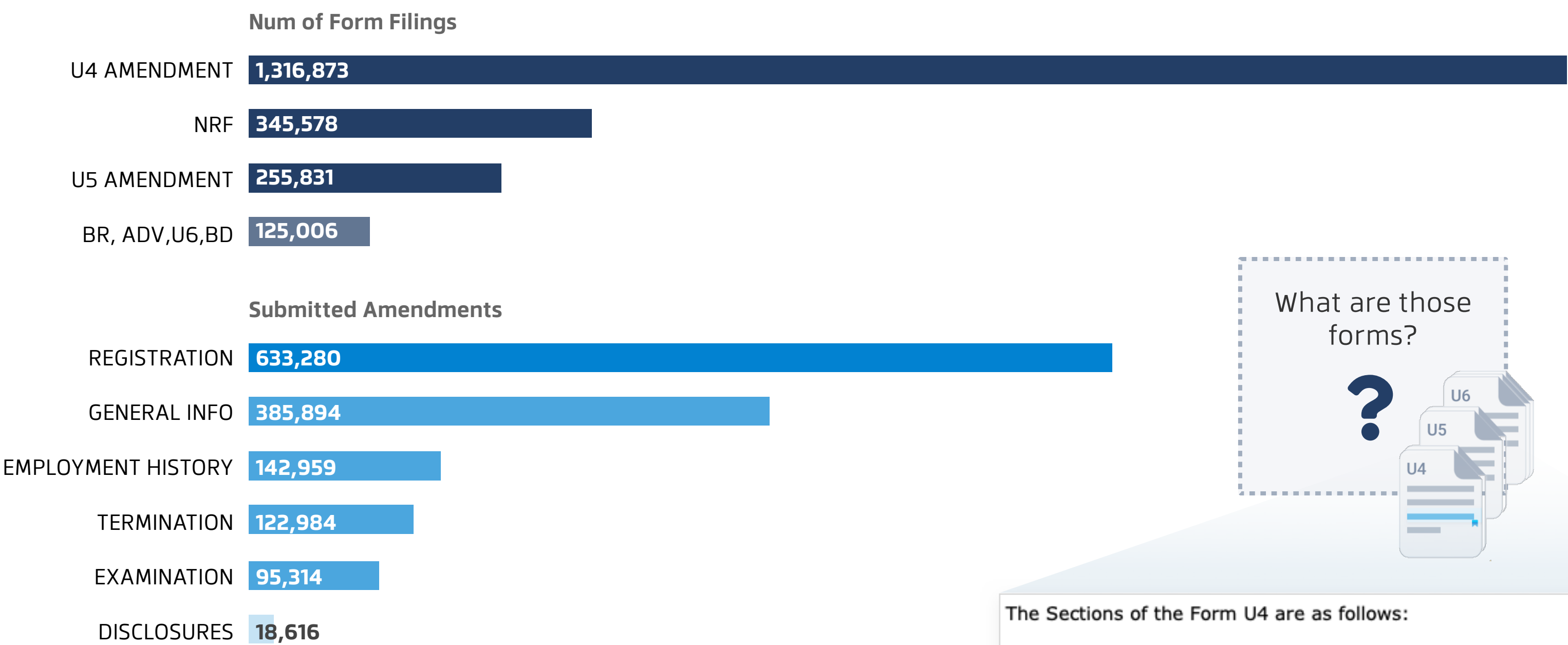
Option 1: Column Filter

Option 2: Filter by Filing & Type of Activity

Option 3: Filter by Type & its Status

Data Insight

To have better understanding on each type of activity, we conducted quatitative analysis: Pulling out form filing activities in the past year of 2016 by form filing types and total submission statistics.



The Sections of the Form U4 are as follows:

1. GENERAL INFORMATION
2. FINGERPRINT INFORMATION
3. REGISTRATION WITH UNAFFILIATED FIRMS
4. SRO REGISTRATIONS
5. JURISDICTION REGISTRATIONS
6. REGISTRATION REQUESTS WITH AFFILIATED FIRMS
7. EXAMINATION REQUESTS
8. PROFESSIONAL DESIGNATIONS
9. IDENTIFYING INFORMATION/NAME CHANGE
10. OTHER NAMES
11. RESIDENTIAL HISTORY
12. EMPLOYMENT HISTORY
13. OTHER BUSINESS
14. DISCLOSURE QUESTIONS

CRIMINAL DISCLOSURE (Questions 14A, 14B)  
REGULATORY ACTION DISCLOSURE (Questions 14C, 14D, 14E, 14F,

<https://www.finra.org/sites/default/files/AppSupportDoc/p015111.pdf>

Findings

- Among all filings, **U4** takes the majority
- More than **90%** of the filings are for **individuals** (U4, U5, U6, NRF).
- All filings for individuals are comprised by one or more of the following types: Registration, Employment History, Exam, and General Info.

Design Decision

- Verified earlier concept, [Individual] activity should be the primary focus for most users.
- User should be able to filter activities solely by **Type, not Forms**.
- De-emphasize the form filing terminology, and focus on activity types instead.

Is there any connection between Type and its Status?