



## Classic CRD

## Individual Form Filing: NRF

Fingerprint cards are maintained by the CRD system for non-registered individuals through Non-Registered Fingerprint (NRF) filings. Firms can terminate a relationship with an NRF at any time through CRD.

For guidance on whether to associate an individual as a non-registered fingerprint person or as a registered representative with the Operations Professional (OS) registration, please refer to FINRA [Notice to Members 11-33](#).

### IMPORTANT NOTE:

All classic CRD features should now be accessed through [FINRA Gateway](#), the new FINRA reporting and compliance platform. This new system is designed to focus on compliance functions, such as research, reporting and responding to requests, rather than focusing on the specific system you would access to fulfill your requirements.

If you have any questions or feedback regarding the transition to FINRA Gateway, please contact [FeedbackFINRAGateway@finra.org](mailto:FeedbackFINRAGateway@finra.org).

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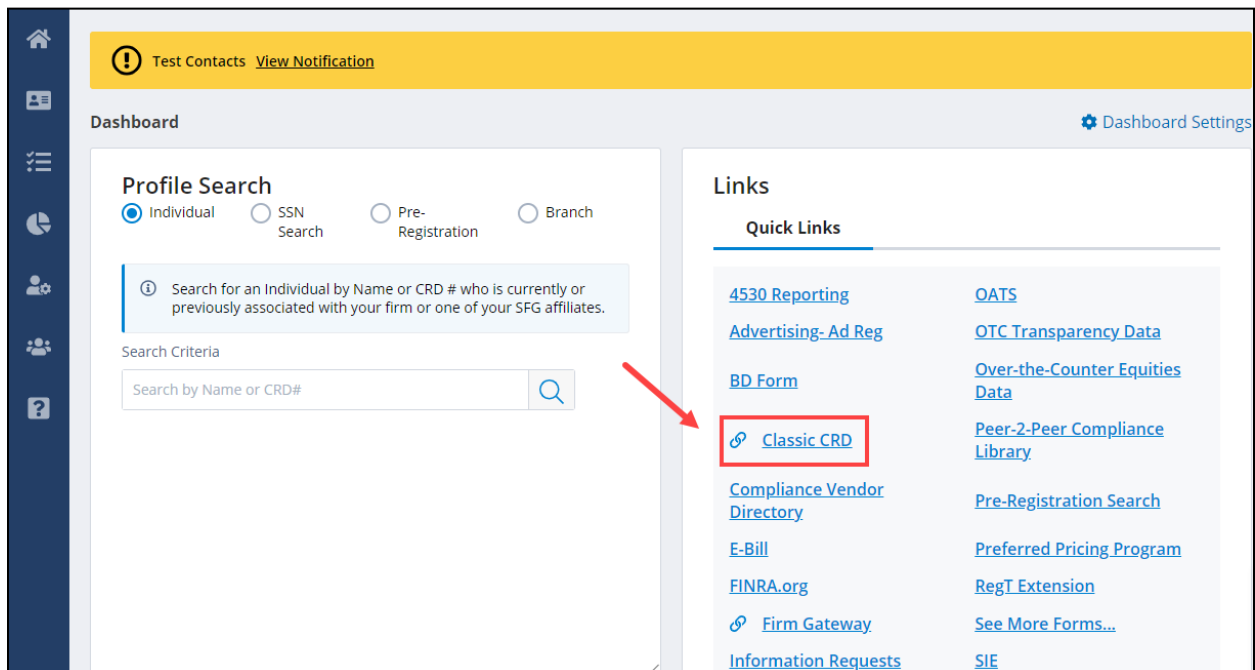
**Need help with CRD?** Call the FINRA Gateway Call Center at **301-869-6699**  
8 A.M. - 8 P.M., ET, Monday-Friday.

## Logging in Through FINRA Gateway

As of August 21, 2021, the previously used Firm Gateway homepage has been retired and users should access all registration applications via the new [FINRA Gateway](https://gateway.finra.org). To access FINRA Gateway:

1. Go to <https://gateway.finra.org>, and
2. Enter your existing CRD user ID and password.

Once you have successfully logged into FINRA Gateway, you can navigate to classic CRD using the **Quick Links** widget on the dashboard. Select **Classic CRD** from the list of links and then follow along with the rest of this guide.



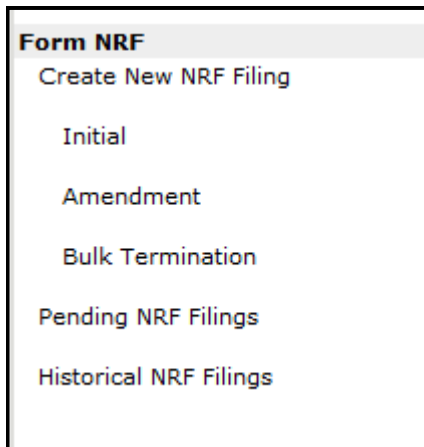
The screenshot displays the FINRA Gateway dashboard. At the top, there is a yellow notification bar with a warning icon and the text "Test Contacts View Notification". Below this is a "Dashboard" header with "Dashboard Settings" on the right. The main content area is divided into two sections. On the left is the "Profile Search" section, which includes radio buttons for "Individual" (selected), "SSN Search", "Pre-Registration", and "Branch". Below these is a search criteria input field with the placeholder text "Search by Name or CRD#" and a search icon. On the right is the "Links" section, titled "Quick Links", which contains a grid of blue hyperlinks. The link "Classic CRD" is highlighted with a red box and a red arrow pointing to it from the search criteria field. Other links in the grid include "4530 Reporting", "Advertising- Ad Reg", "BD Form", "Compliance Vendor Directory", "E-Bill", "FINRA.org", "Firm Gateway", "Information Requests", "OATS", "OTC Transparency Data", "Over-the-Counter Equities Data", "Peer-2-Peer Compliance Library", "Pre-Registration Search", "Preferred Pricing Program", "RegT Extension", "See More Forms...", and "SIE".

## Access NRF Filing

There are two ways to access **NRF filings** in CRD:

From the **Forms** column on the CRD Site Map.

Click on the desired NRF Filing Type.

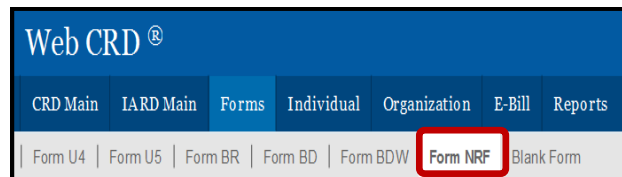


OR

Select the **Forms** tab from the toolbar.

Select **Form NRF** from the sub-menu.

Click on the desired NRF Filing Type.



## NRF Filing Types

NRF Filing Type	When to use
<b>Initial</b>	<p>An Initial NRF filing is used to associate a non-registered individual with your firm. The Initial NRF filing consists of the following sections: General Information, Personal Information, and Other Names.</p> <p>This filing type is also used when re-associating the fingerprints of a representative that was recently terminated but has been continuously employed by the filing firm.</p>
<b>Amendment</b>	<p>A NRF Amendment filing is used to update the individual's information or to terminate an NRF association. The NRF Amendment filing includes a Termination section.</p>
<b>Bulk termination</b>	<p>A NRF Bulk Termination filing is used to terminate an NRF association for more than (1) individual. The Bulk Termination filing is used to terminate up to 100 NRF individuals at one time.</p>

### Create and Submit a New NRF Filing

Prior to creating any individual filing, the system will require you to search for the individual. Enter the individual's CRD Number or type a combination of one of the following: individual's Last Name and at least two (2) characters of the First Name, CRD Number, and/or Social Security Number.

For a more specific search, type a Middle Name and Birth Date to locate the individual or verify that the individual does not exist in CRD.

Individual Search Criteria			
NRF - Initial			
Search by CRD Number			
CRD Number :	<input type="text"/>		
Search by Social Security Number			
SSN (xxx-xx-xxxx):	<input type="text"/>		
Search by Name			
Last Name:	<input type="text"/>	First Name:	<input type="text"/>
Middle Name:	<input type="text"/>	Perform "sounds-like" search	<input type="checkbox"/>
Filter by Other Information			
Birthdate (mm/dd/yyyy):	<input type="text"/>		
<input type="button" value="Search"/>			

If the individual does not exist in CRD, enter the individual's SSN, Last Name, First Name, and Birth Date. Clicking the **Create New ID** button will automatically assign them a CRD number and open the NRF filing for this individual.

Individual Search Criteria			
NRF - Initial			
Create a New Individual			
SSN:	<input type="text" value="000-00-0000"/>	SSN (again):	<input type="text" value="000-00-0000"/>
<input type="checkbox"/> By selecting this box, I certify that this individual does not have a Social Security number.			
Last Name:	<input type="text" value="Doe"/>	First Name:	<input type="text" value="Jane"/>
Middle Name:	<input type="text"/>	Suffix:	<input type="text"/>
Birth Date:	<input type="text" value="01/01/1981"/>		
<input type="button" value="Create New ID"/>			

### Create and Submit a New NRF Filing (Continued)

#### Additional Verification for Initial NRF Filings

When creating an Initial NRF filing for individuals already in the CRD, the system will require additional verification of the individual's social security number (SSN) and month/day of birth before opening the filing.. The verification screen will display after clicking the person's name in the search results.

**Individual Search Results**  
NRF - Initial

Records per Page:  Total Records: 1

Name	CRD	Birth Year	Current State(s) of Residence	Current Employment Firm(s)	Other Name(s)	Has SSN?
<span style="border: 1px solid red; padding: 2px;">DOE, JANE</span>	1111111	1975				Yes

Records per Page:  Total Records: 1

**Create a New Individual**

SSN:  SSN (again):

By selecting this box, I certify that this individual does not have a Social Security number.

Last Name:  First Name:

Middle Name:  Suffix:

Birth Date:

? Printer Friendly

### Individual Search

**Verify SSN, Birth Month/Day**

CRD Number: **1111111**

First Name: **JANE**

Middle Name: **A**

Last Name: **DOE**

Suffix:

Birth Year: **1975**

**Please provide the following information. Leave the Verify SSN field blank and select the check box below if the Individual does not have a SSN:**

This individual does not have a SSN.

Verify SSN (xxx-xx-xxxx):

Verify Month/Day of Birth (MM/DD):

## Create and Submit a New NRF Filing (Continued)

For an Initial filing, complete the General Information, Personal Information, and Other Names sections as needed.

NRF - General Information			
<b>First Name:</b> jane	<b>Middle Name:</b>	<b>Last Name:</b> doe	<b>Suffix:</b>
<b>Firm CRD #:</b> 23714	<b>Firm Name:</b> SECURITIES FIRM	<b>Employment Date<sup>1</sup> (MM/DD/YYYY):</b> 05/04/2015	
<b>Firm Billing Code:</b> <input type="text"/>	<b>Applicant CRD #:</b> 1111111	<b>Applicant SSN:</b> xxx-xx-xxxx <a href="#">View/Edit SSN</a>	
<a href="#">Search Address By Billing Code</a>			
<b>Employment Street Address 1:</b> 123 Main St	<b>Employment Street Address 2:</b> <input type="text"/>		
<b>City:</b> Rockville	<b>State:</b> Maryland	<b>Country:</b> United States	<b>Postal Code:</b> 20850
<b>Position in the firm:</b> Back Office	<b>Fingerprint barcode #:</b> 111111111		
<sup>1</sup> Please note: This field should not be relied on as evidencing a definitive employment relationship or association between the individual and the filing firm.			
<b>Re-Associate Fingerprints:</b>			
<input type="checkbox"/> I hereby certify that the individual referenced above has been continuously employed by or associated with the filing firm.			
<a href="#">« Previous</a>	<a href="#">Save</a>	<a href="#">Next »</a>	

### Tips:

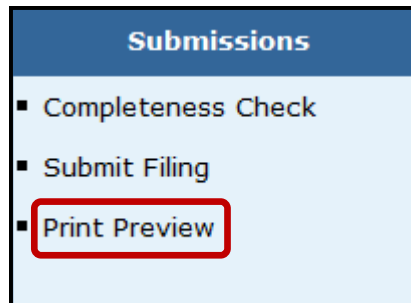
- To View/Edit the SSN, requires entitlement.
- The Employment Address can be entered by selecting the “Search Address By Billing Code” bar.
- A Fingerprint barcode # must be entered.

The NRF Amendment includes a Termination section which will terminate the individual’s association with the firm. In this section, select the Terminate checkbox and enter the Date of Termination.

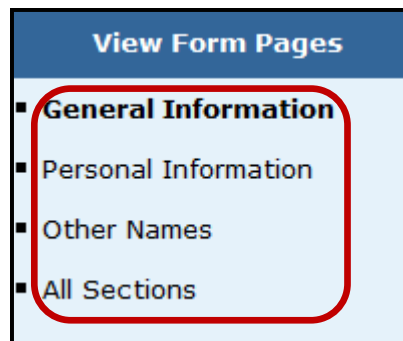
NRF - Termination	
<input checked="" type="checkbox"/> <b>Terminate Non-registered Fingerprint relationship?</b>	<b>Date of Termination(MM/DD/YYYY):</b> 07/14/2015
<a href="#">« Previous</a>	<a href="#">Save</a> <a href="#">Next »</a>

## Create and submit a New NRF Filing (Continued)

To print the filing prior to submitting, select **Print Preview** from the Submissions menu.



Users will have the option to view specific pages of the filing or to view all sections of the filing. from the View Form Pages menu.



## Accessing Pending NRF Filings

Filings that have been started but not submitted are considered pending filings. Once a filing is created it remains in a pending or draft state for 60 days from the creation date. Firms can access their pending NRF filings through the Site Map or on the Forms tab.

Enter the individual's **CRD Number** or **SSN** and click **Search**.

**Tip:** To view filings that were created by you, select **Filings initiated by current user only**.

**Pending Filing Search**  
NRF

Hide Search Criteria

Search by CRD Number

CRD Number:

Search by Social Security Number

SSN (xxx-xx-xxxx):

Search by Firm Billing Code

Firm Billing Code:

Filter by current user

Filings initiated by current user only:

Select Sort Criteria

Creation Date:  Ascending  Descending

Click the **Filing ID** hyperlink to continue working on the filing. If you no longer wish to submit this filing, you have the option to **Delete** the filing.

The **Expected Purge Date** indicates the day the filing will be deleted from the Pending Filing queue.

**Tip:** The table can be sorted by column headers that have hyperlinks.

**Pending Filing Search**  
NRF

Show Search Criteria

Records per Page: 25 Total Records: 1

Filing ID	Submission Status	Filing Type	Name	CRD	SSN	Billing Code	CC Status	Creation Date	User ID	Submission Type	Expected Purge Date	Delete
<a href="#">421933350</a>	Pending Submission	Initial	doe, john	1111111	xxx-xx-xxxx <a href="#">View SSN</a>		Fail	12/03/2015	USERID1	WEB	02/04/2016	<a href="#">Delete</a>

Records per Page: 25 Total Records: 1



## Accessing Historical NRF Filings

The **Historical NRF Filings** feature allows users to view and/or print NRF filings submitted by your firm for a specific individual. Access Historical NRF Filings via the Site map or the Forms tab.

Enter the individual's **CRD Number** or **SSN** and click **Search**.

**Historical Filing Search**  
NRF

Hide Search Criteria

**Search by CRD Number**

CRD Number:

**Search by Social Security Number**

SSN (xxx-xx-xxxx):

[Search by Name](#)

Last Name:  First Name:

Middle Name:  Perform "sounds-like" search:

**Filter by Other Information**

Birthdate (mm/dd/yyyy):

**Filter by Date Range**

Begin Date (mm/dd/yyyy):  End Date (mm/dd/yyyy):

Select the filing **ID** to view the filing.

**Historical Filing Search**  
NRF

Individual: Doe, John (1111111)

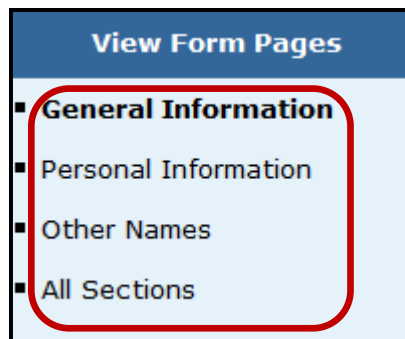
Show Search Criteria

Records per Page: 25 Total Records: 1

ID	Date	Type	Submitted by	User ID
42193351	12/03/2015	NRF Initial	FirmA <a href="#">(123)</a>	FIRMUSER1

Records per Page: 25 Total Records: 1

Users will have the option to view specific pages of the filing or to view all sections of the filing. from the View Form Pages menu.



## Re-Associate Fingerprints for a Recently Terminated Individual

In the General Information section of an NRF filing, firms are able to re-associate a fingerprint barcode for a previously registered representative (RR) that has been continuously employed with the filing firm.

To re-associate a fingerprint card you must select the Re-Associate Fingerprints checkbox at the bottom of the screen. This will pre-populate the most recent Fingerprint Barcode and the original Employment Date in a read-only format.

NRF - General Information			
<b>First Name:</b> jane	<b>Middle Name:</b>	<b>Last Name:</b> doe	<b>Suffix:</b>
<b>Firm CRD #:</b> 11111	<b>Firm Name:</b> SECURITIES FIRM	<b>Employment Date<sup>1</sup> (MM/DD/YYYY):</b> 05/04/2015	
<b>Firm Billing Code:</b> <input type="text"/>	<b>Applicant CRD #:</b> 1111111	<b>Applicant SSN:</b> xxx-xx-xxxx	<input type="button" value="View/Edit SSN"/>
<input type="button" value="Search Address By Billing Code"/>			
<b>Employment Street Address 1:</b> 123 Main St	<b>Employment Street Address 2:</b> <input type="text"/>		
<b>City:</b> Rockville	<b>State:</b> Maryland	<b>Country:</b> United States	<b>Postal Code:</b> 20850
<b>Position in the firm:</b> Back Office	<b>Fingerprint barcode #:</b> 111111111		
<sup>1</sup> Please note: This field should not be relied on as evidencing a definitive employment relationship or association between the individual and the filing firm.			
<b>Re-Associate Fingerprints:</b> <input checked="" type="checkbox"/> I hereby certify that the individual referenced above has been continuously employed by or associated with the filing firm.			
<input type="button" value="« Previous"/>	<input type="button" value="Save"/>	<input type="button" value="Next »"/>	

**Tip:** In the scenario where an individual is terminated with a Full U5 in error, firms can expedite the correction process by using the NRF re-association feature above prior to resubmitting the U4.

## Bulk Termination for NRF Individuals

This feature can be used to terminate multiple NRF associations with the firm (up to 100 at a time).

1. Select Bulk Termination on the **NRF Filing Types** screen

### Filing Types

NRF

[Initial](#)  
[Amendment](#)  
[Bulk Termination](#)

2. Enter the **Individual CRD Number, Last Name, Billing Code** or **SSN** and click **Search**.

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### NRF Individuals List - Add Individual

This page will allow you to terminate one or more NRF Individuals associated with your firm in place of filing a separate NRF Amendment filing for each individual. You can search for individuals using any combination of the available search fields. If you do not use any search criteria, clicking the 'Search' button will return all active NRF individuals associated with your firm. Select the checkbox for each individual you would like to terminate, or use the 'Select All' option to select all individuals on the page, and click the 'Add to List' button. After the list is complete, click the 'Continue' button at the bottom of the page to continue the process of terminating the selected individuals.

**Search Criteria**

Individual CRD Number	<input type="text"/>	Last Name	<input type="text"/>
Billing Code	<input type="text"/>	SSN	<input type="text" value="-- -- --"/>

**NOTE:** To view the list of all NRF Individuals with your firm, leave all fields blank and click the Search Button.

3. Click the **Select All** checkbox then click the **Add to List** button and when list is finished, click **Continue**.

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### NRF Individuals List - Add Individual

This page will allow you to terminate one or more NRF Individuals associated with your firm in place of filing a separate NRF Amendment filing for each individual. You can search for individuals using any combination of the available search fields. If you do not use any search criteria, clicking the 'Search' button will return all active NRF individuals associated with your firm. Select the checkbox for each individual you would like to terminate, or use the 'Select All' option to select all individuals on the page, and click the 'Add to List' button. After the list is complete, click the 'Continue' button at the bottom of the page to continue the process of terminating the selected individuals.

**Search Criteria**

Individual CRD Number	<input type="text" value="1111111"/>	Last Name	<input type="text"/>
Billing Code	<input type="text"/>	SSN	<input type="text" value="-- -- --"/>

**Search Results**

Records per Page: 25 Total Records: 1

CRD#	Individual Name	Billing Code	Begin Date	Select All
<a href="#">1111111</a>	DOE, JOHN		02/06/2006	<input type="checkbox"/> <input checked="" type="checkbox"/>

Records per Page: 25 Total Records: 1

**Individuals Added to List**

CRD#	Individual Name	Billing Code	Begin Date
<a href="#">2222222</a>	DOE, JANE		04/21/2009
<a href="#">1111111</a>	DOE, JOHN		02/06/2006

4. Enter the **End Date** for each individual on the list.

Or

4a. To enter the same **End Date** for multiple individuals, use the calendar at the top of the screen. Select the desired date of termination and click the **Terminate** button next to all individuals that the date applies. Click the **Populate** button.

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### NRF Individuals Termination List

Select the checkbox for each individual you would like to terminate, or use the 'Select All' option to select all individuals on the page. You may enter a specific date for each individual or use the date field at the top of the page to populate the same date for all selected individuals. Click the 'Submit' button to submit the filing. The submitted filings will be reflected in Filing History as an NRF Amendment filing.

**NRF Individuals Termination List**

Populate

CRD#	Individual Name	Billing Code	Begin Date	End Date	Terminate
22222222	DOE, JANE		04/21/2009	<input type="text"/>	<input type="checkbox"/>
11111111	DOE, JOHN		02/06/2006	<input type="text"/>	<input type="checkbox"/>

[Roster - Individual Firm Report](#)

Add More Individuals

Returning to add more Individuals to the List will result in losing all changes made to the dates and selections on this list. The list of Individuals originally added will not be lost.

Submit

Individuals that are not marked for termination will not have their association with the firm closed when the Submit button is selected.

5. When all individuals have been added and an **End Date** entered, click the **Submit** button.

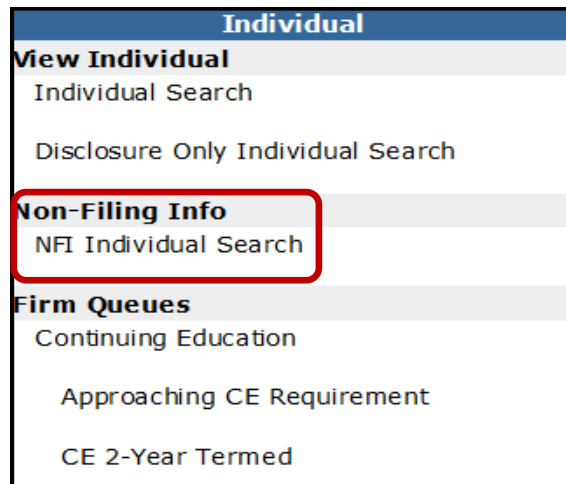
**Tips:**

- Future dates will not be accepted.
- Click Add More Individuals button if needed. Follow steps to add an individual.
- If you need listing of all of your active NRF individuals, click the Roster - Individual Firm Report hyperlink. You need entitlement for Reports to use this feature. Select Non-Registered from the drop-down menu located in the Include Individuals Section. Enter your User Initials and proceed to request and view the report. If you need additional guidance on requesting and viewing reports, please review the [Reports Quick Reference Guide](#).

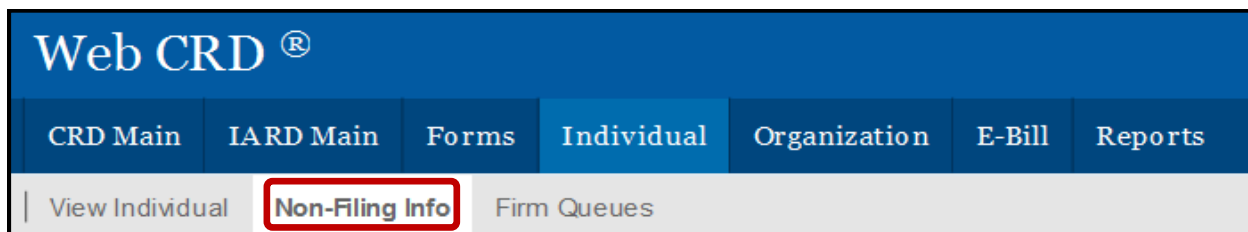
## Amend NRF Termination Dates

Firms are able to correct the Termination date for previously submitted NRF Amendment filings using the Individual Non-Filing Information (NFI) page in classic CRD.

1. Navigate to Individual NFI using the link on the sitemap or on the sub-menu of the Individual tab.



OR



2. Search for the individual and select the NRF Term Date Amendment link on the left navigation panel.

3. Enter the corrected date and click Save.

The screenshot shows the 'NRF Term Date Amendment' form. The 'Individual CRD#' and 'Individual Name: DOE, JANE' are displayed at the top. Below, the 'NRF Employment History' section is visible, with a table containing 'Start Date' (02/01/2015) and 'Term Date' (02/23/2015). The 'Term Date' field is highlighted with a red box. A 'Save' button is located below the table. On the left, a navigation panel shows 'NRF Term Date Amendment' highlighted with a red box.

4. The updated date will be visible in the Office of Employment Address History section of the Employment History page in View Individual. There will also be a non-clickable entry in Filing History.