

Access the FINRA Firm Gateway at: <https://firms.finra.org>

Enter your **User ID**, read the **Terms and Conditions** and click **I Agree**.

NOTES:

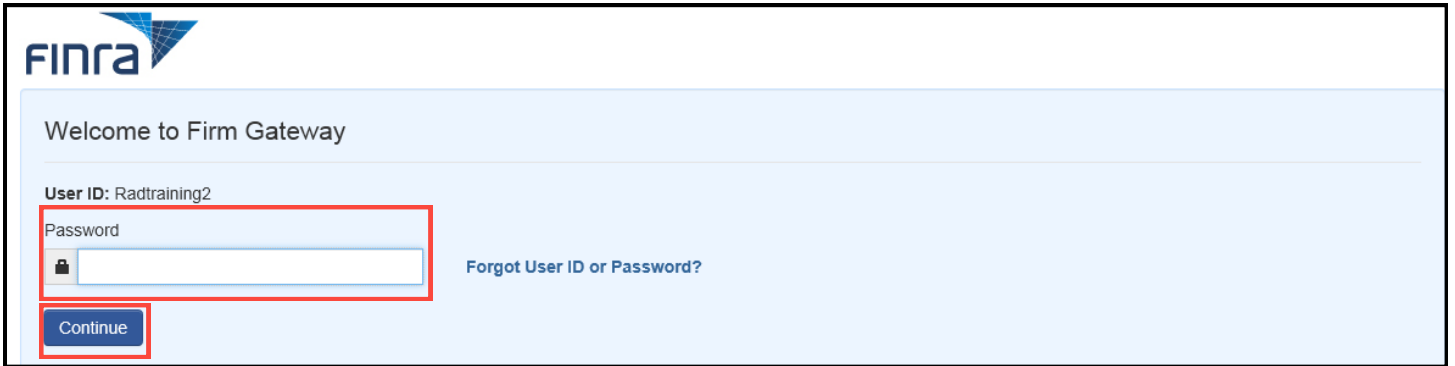
- If you do not know your user ID or password, click the **Forgot User ID or Password** hyperlink. Select the appropriate User ID or Password radio button, enter the required information and click **Submit**. An email with your User ID or a temporary password will be sent to you.
- Clicking **I Disagree** prevents you from accessing the application.
- To improve application security, FINRA has shortened the time before users are automatically logged off due to inactivity to 30 minutes. Please make sure to save your work frequently to avoid lost work due to a system timeout.

**Questions on FPRD? Call the FINRA Gateway Call Center at 301-590-6500
8 AM through 8 PM, ET, Monday-Friday.**

Enter your **Password** and click **Continue**.

NOTES:

- If you do not know your Password, click the **Forgot User ID Password** hyperlink. Enter your User ID, email address and click **Submit**. An email with a temporary password will be sent to you.
- Periodically you will be presented with a security question that you have preselected and provided responses. When your security question is presented, enter the appropriate answer to the question, and click **Continue**.



FINRA

Welcome to Firm Gateway

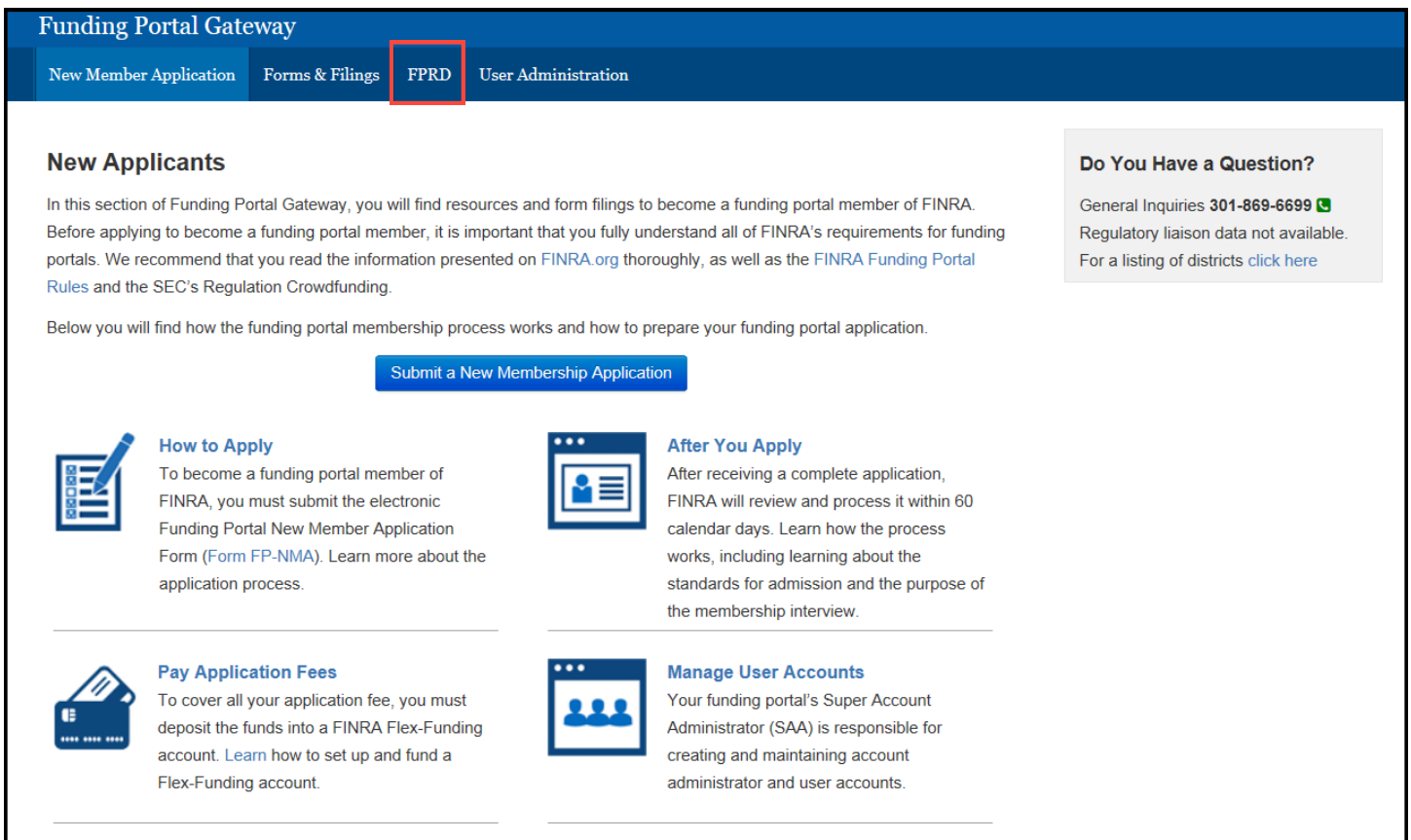
User ID: Radtraining2

Password

Forgot User ID or Password?

Continue

Select the **FPRD** tab.



Funding Portal Gateway

New Member Application Forms & Filings **FPRD** User Administration

New Applicants

In this section of Funding Portal Gateway, you will find resources and form filings to become a funding portal member of FINRA. Before applying to become a funding portal member, it is important that you fully understand all of FINRA's requirements for funding portals. We recommend that you read the information presented on FINRA.org thoroughly, as well as the [FINRA Funding Portal Rules](#) and the SEC's Regulation Crowdfunding.

Below you will find how the funding portal membership process works and how to prepare your funding portal application.

[Submit a New Membership Application](#)

How to Apply

To become a funding portal member of FINRA, you must submit the electronic Funding Portal New Member Application Form (Form FP-NMA). Learn more about the application process.

After You Apply

After receiving a complete application, FINRA will review and process it within 60 calendar days. Learn how the process works, including learning about the standards for admission and the purpose of the membership interview.


Pay Application Fees

To cover all your application fee, you must deposit the funds into a FINRA Flex-Funding account. [Learn how to set up and fund a Flex-Funding account.](#)

Manage User Accounts

Your funding portal's Super Account Administrator (SAA) is responsible for creating and maintaining account administrator and user accounts.

Do You Have a Question?

General Inquiries [301-869-6699](tel:301-869-6699) 

Regulatory liaison data not available.

For a listing of districts [click here](#)

Select **Statutory Disqualification Events** from the Navigation Bar.



Select **Add** to enter **Statutory Disqualification Events** for either the **Organization** or for an **Individual**.

FPRD
FPRD Main

Funding Portal

- Organization Information
- View Fingerprint Cards
- Statutory Disqualification Events**
- View Accounting Info

Statutory Disqualification Events

Organization ID Number: 111111 Organization Name: FPRD Firm1
 Organization SEC Number: 7-11111

Indicate below whether this Funding Portal or any persons associated with this Funding Portal are subject to statutory disqualification as described in Securities Exchange Act ("SEA") Section 3(a)(39).
 Neither this Funding Portal nor any of its associated persons are subject to a statutory disqualification as described in SEA Section 3(a)(39)

Save

Organization Statutory Disqualification Events**
 No Unexpired Organization Statutory Disqualification Events Reported.

Add

Individual Statutory Disqualification Events**
 No Unexpired Individual Statutory Disqualification Events Reported.

Name	CRD Number	SD Status	Inactive	Add	Edit	Event ID	Event Date	Role/Title	Event Details	Expired Date
FPRD, NONMEMBER	1234567		No	Add						
Indvl, FPRD	9876543		No	Add						

** For any criminal matter please provide the following court documents: criminal complaint, indictment, or information, plea, plea agreement, judgment and final disposition.
 ** For any regulatory matter, please submit a copy of the allegations and findings / final order issued by the agency.

The requested documentation can be e-mailed to: FundingPortalDocuments@finra.org
 or mailed to:
 FINRA
 Registration and Disclosure Department
 Attention: Disclosure Review (FP)
 9509 Key West Avenue -3rd Floor
 Rockville, MD 20850

Please include the Firm name, Firm Org ID Number, Associated Person's name and CRD Number with your submission.


In the event your firm has terminated the individual, please submit a signed letter indicating the date of termination. Questions can be directed to the Disclosure Review staff at (240) 386-4180.

NOTE: If a Statutory Disclosure Event is already entered for the Organization or Individual, and you want to update that existing event, click the Edit button.

Enter the appropriate information and select **Save**.


Organization Statutory Disqualification Event ✕

Add a statutory disqualification event as described in Securities Exchange Act ("SEA") Section 3(a)(39).

Event Date 
(MM/DD/YYYY):

Event Details:


Date when this event has expired.

Expiration Date 
(MM/DD/YYYY):

OR

Individual Statutory Disqualification Event ✕


Add a statutory disqualification event as described in Securities Exchange Act ("SEA") Section 3(a)(39).

Event Date 
(MM/DD/YYYY):

Event Details:


Role/Title:

Date when this event has expired.

Expiration Date 
(MM/DD/YYYY):

NOTE: If there are additional Events that you want to enter, select **Save & Add Another**.

The following is an example of how the screen will look once Statutory Disqualification Events have been entered.



[Account Management](#) | [Change Password/Profile](#) | [Log Out](#)
User: FPRD203594 **Organization:** 203594

FPRD™
FPRD Main

[Print Friendly](#)

Funding Portal

- Organization Information
- View Fingerprint Cards
- **Statutory Disqualification Events**
- View Accounting Info

Statutory Disqualification Events

Organization ID Number: 111111

Organization SEC Number: 7-11111

Organization Name: FPRD Firm1

Indicate below whether this Funding Portal or any persons associated with this Funding Portal are subject to statutory disqualification as described in Securities Exchange Act ("SEA") Section 3(a)(39).

Neither this Funding Portal nor any of its associated persons are subject to a statutory disqualification as described in SEA Section 3(a)(39)

Organization Statutory Disqualification Events**

Edit	Event ID	Event Date	Event Details	Expired Date
Edit	100002	09/01/2013	On 09/01/2013 the U.S. Securities Exchange Commission entered an Order, Administrative Proceeding File No. 3-99999, in which the firm was found to have violated Section 9(a) of the Securities Exchange Act. The firm was censured, ordered to cease and desist, pay disgorgement of \$4,000,332.60 with prejudgment interest in the amount of \$550,568.77, pay a civil fine of \$15,000,000, and be subject to certain undertakings.	

[Add](#)

Individual Statutory Disqualification Events**

No Unexpired Individual Statutory Disqualification Events Reported.

Name	CRD Number	SD Status	Inactive	Add	Edit	Event ID	Event Date	Role/Title	Event Details	Expired Date
FPRD, NONMEMBER	1111117	Requires Review	No	Add	Edit	100000	09/01/2015	Sales Manager	Plead guilty on September 1, 2015 of felony Driving While Intoxicated, in violation of New York Vehicle and Traffic Law 1192.3, by the County Court, Westchester County, New York, Case No. 15CR111.	09/15/2015
					Edit	100003	11/21/2014	Sales Manager	On November 21, 2014 the California Department of Insurance issued an Order of Denial of Application for Unrestricted License and for Issuance of Restricted License with Monetary Penalty and Examination Fee, File No. 9999-AP, against the respondent in which he was issued a restricted license and ordered to pay a monetary penalty and examination fee totaling \$884. The Order included findings that the respondent knowingly or willfully made a misstatement in an application to the Commissioner in violation of Section 1668(h) of the California Insurance Code.	09/15/2015
					Edit	100001	08/31/2005	Sales Manager	Convicted on August 31, 2005 of misdemeanor False Report to Law Enforcement, in violation of Va. Code Ann. § 18.2-461, in the Circuit Court, Rockbridge County, Virginia, Case No. CR5555.	09/01/2015
					Add					
Indvl, FPRD	11111118		No	Add						

**** For any criminal matter please provide the following court documents: criminal complaint, indictment, or information, plea, plea agreement, judgment and final disposition.**
**** For any regulatory matter, please submit a copy of the allegations and findings / final order issued by the agency.**

The requested documentation can be e-mailed to: FundingPortalDocuments@finra.org
 or mailed to:
FINRA
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 9509 Key West Avenue -3rd Floor
 Rockville, MD 20850

Please include the Firm name, Firm Org ID Number, Associated Person's name and CRD Number with your submission.

In the event your firm has terminated the individual, please submit a signed letter indicating the date of termination. Questions can be directed to the Disclosure Review staff at (240) 386-4180.

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There are instances when firms need to remove a disqualification when either the event is no longer a disqualification, or an event was created in error.

Select the **Event ID hyperlink** of the event that is to be removed.

NOTES:

- Events can be removed for the Organization or for Individuals. The following is an example of removing an event for an individual.
- SD Events cannot be deleted from the system.

Statutory Disqualification Events									
Organization ID Number: 11111					Organization Name: Test Firm 1				
Organization SEC Number: 7-123									
<p>Indicate below whether this Funding Portal or any persons associated with this Funding Portal are subject to statutory disqualification as described in Securities Exchange Act ("SEA") Section 3(a)(39).</p> <p><input type="checkbox"/> Neither this Funding Portal nor any of its associated persons are subject to a statutory disqualification as described in SEA Section 3(a)(39)</p>									
Organization Statutory Disqualification Events**									
No Unexpired Organization Statutory Disqualification Events Reported.									
<input type="button" value="Add"/>									
Individual Statutory Disqualification Events**									
Name	CRD Number	SD Status	Inactive	Add	Event ID	Event Date	Role/Title	Event Details	Expired Date
Doe, John	1111111	Timed Suspension/Bar	No	<input type="button" value="Add"/>	100024	01/01/2016	rep	training	
Doe, Jane	111112		No	<input type="button" value="Add"/>					

Enter the Expiration Date for the event and select Save.

Individual Statutory Disqualification Event ✕

Add/Edit a statutory disqualification event as described in Securities Exchange Act ("SEA") Section 3(a)(39).

Individual: Doe, John (1111111)

Event Date (MM/DD/YYYY):

Event Details:

Role/Title:

Date when this event has expired.

Expiration Date (MM/DD/YYYY):

The following is an example of how the screen will look once the **Expired Date** has been entered.

Statutory Disqualification Events									
Organization ID Number: 11111					Organization Name: Test Firm 1				
Organization SEC Number: 7-123									
<p>Indicate below whether this Funding Portal or any persons associated with this Funding Portal are subject to statutory disqualification as described in Securities Exchange Act ("SEA") Section 3(a)(39).</p> <p><input type="checkbox"/> Neither this Funding Portal nor any of its associated persons are subject to a statutory disqualification as described in SEA Section 3(a)(39)</p>									
Organization Statutory Disqualification Events**									
No Unexpired Organization Statutory Disqualification Events Reported.									
<input type="button" value="Add"/>									
Individual Statutory Disqualification Events**									
Name	CRD Number	SD Status	Inactive	Add	Event ID	Event Date	Role/Title	Event Details	Expired Date
Doe, John	1111111	Timed Suspension/Bar	No	<input type="button" value="Add"/>	100024	01/01/2016	rep	training	01/15/2016
Doe, Jane	111112		No	<input type="button" value="Add"/>					