



Classic CRD

View Individual

## About View Individual

View Individual is a read-only function that provides entitled users with the capability of viewing current and historical information about registered and non-registered individuals that are associated your firm. The information available in View Individual includes, but is not limited to: personal information, employment history, registrations, other business, and disclosure. (Viewing personal information, such as Social Security Numbers and Criminal History Record Information requires additional system entitlement. Please contact your firm's Super Account Administrator if access is needed.)

### IMPORTANT NOTE:

All classic CRD features are 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.

Additionally, some individual information is only available in the Profiles section of FINRA Gateway. This guide is intended for individuals who may need to navigate back to classic CRD for certain things.

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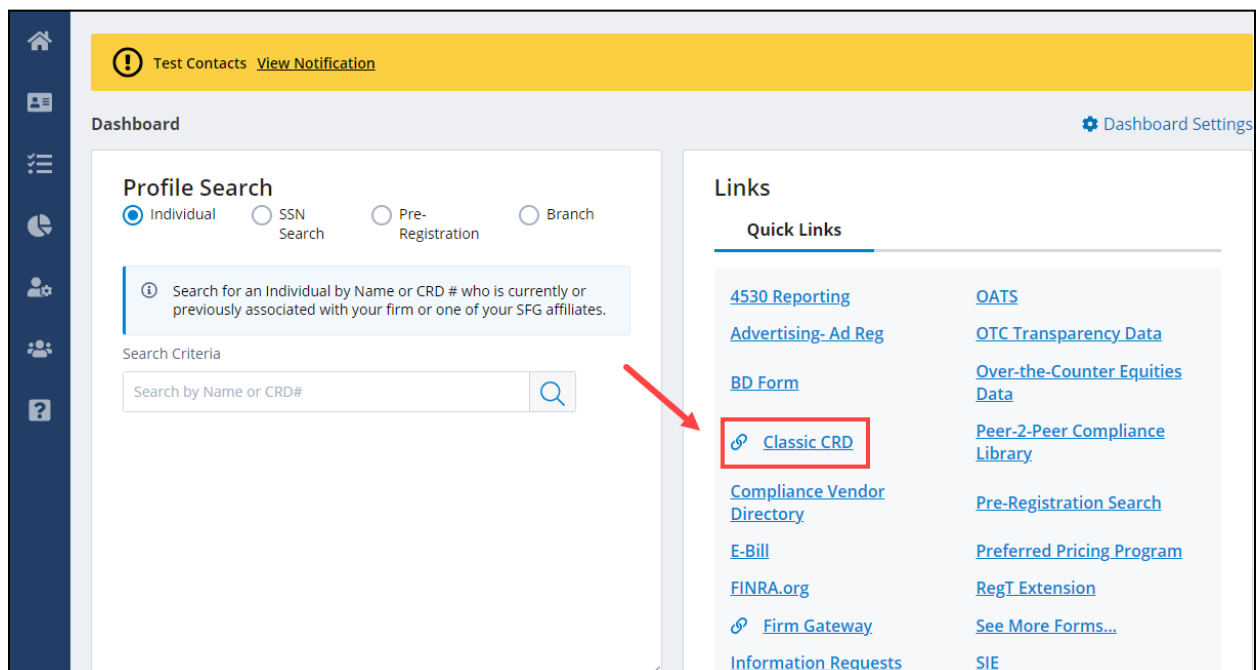
**Need help with CRD? Call the FINRA Gateway Call Center at 301-869-6699**  
8 A.M. - 8 P.M., ET, Monday-Friday.

## 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](#). 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 the "Dashboard" header with "Dashboard Settings" on the right. The main content area is divided into two sections: "Profile Search" and "Links".

The "Profile Search" section includes radio buttons for "Individual" (selected), "SSN Search", "Pre-Registration", and "Branch". Below these is a search criteria box with the text "Search by Name or CRD#" and a search icon.

The "Links" section is titled "Quick Links" and contains a grid of links. A red box highlights the "Classic CRD" link, and a red arrow points to it from the search criteria box.

Quick Links	
<a href="#">4530 Reporting</a>	<a href="#">OATS</a>
<a href="#">Advertising- Ad Reg</a>	<a href="#">OTC Transparency Data</a>
<a href="#">BD Form</a>	<a href="#">Over-the-Counter Equities Data</a>
<a href="#">Classic CRD</a>	<a href="#">Peer-2-Peer Compliance Library</a>
<a href="#">Compliance Vendor Directory</a>	<a href="#">Pre-Registration Search</a>
<a href="#">E-Bill</a>	<a href="#">Preferred Pricing Program</a>
<a href="#">FINRA.org</a>	<a href="#">RegT Extension</a>
<a href="#">Firm Gateway</a>	<a href="#">See More Forms...</a>
<a href="#">Information Requests</a>	<a href="#">SIE</a>

## Searching in FINRA Gateway

Use the Profile Search feature in FINRA Gateway, either using the dashboard widget or the shortcut at the top of the page.

The screenshot shows the FINRA Gateway dashboard for a user named John Doe (CRD# [redacted]). The dashboard includes a navigation bar at the top with a 'Profile Search' link highlighted by a red box and a red arrow. Below the navigation bar, there is a yellow notification banner for 'Test Contacts'. The main dashboard area is divided into two sections: 'Profile Search' and 'Links'. The 'Profile Search' section is highlighted with a red box and contains the following elements:

- Search criteria: Individual (selected), SSN Search, Pre-Registration, Branch
- Search instructions: Search for an Individual by Name or CRD # who is currently or previously associated with your firm or one of your SFG affiliates.
- Search Criteria: Search by Name or CRD#

The 'Links' section contains a 'Quick Links' list with the following items:

- 4530 Reporting
- BD Form
- Classic CRD
- Compliance Vendor Directory
- NRF Form
- OTC Transparency Data
- Over-the-Counter Equities Data
- Peer-2-Peer Compliance Library

Once viewing the individual's profile, select the View/Print Individual Profile link to view the individual's record in classic CRD.

The screenshot shows the individual's profile page for John Doe (CRD# [redacted]). The profile page includes a header with the user's name and a 'Non FinPro User' status. Below the header, there is a 'View/Print Individual Profile' link highlighted with a red box and a red arrow, and a 'Download Profile' link. The profile statistics are displayed as follows:

- 0 Registrations
- 5 Disclosures
- 34 Deficiencies
- 3 Valid Exams
- 10 Years in 1 Firms

## Composite Information

This section is a summary of the individual's current administrative and employment information, disclosure counts, and CE status.

Composite Information					
Individual CRD#: <a href="#">1111111</a>		Individual Name: DOE, JOHN			
Full Legal Name	DOE, JOHN				
Social Security Number	xxx-xx-xxxx	<a href="#">View SSN</a>			
Date Of Birth	09/12/1921				
Employment	Name	TRAINING FIRM (123)			
	Position	Investment Adviser Representative / Registered Representative			
	Independent Contractor	No			
	CRD Branch Number	FINRA OSJ	Address	Firm Billing Code	NYSE Branch Code Number
	BD Main - Located At		123 MAIN ST STE A CITY, STATE ZIP		
	219435 - Located At	Yes	123 MAIN ST STE A CITY, STATE ZIP		
IA Affiliation	Name	IA TRAINING FIRM (123)			
	Address	123 MAIN ST STE A CITY, STATE ZIP			
	IA Affiliation	Direct Owner Indirect Owner			
Residential Address	456 BROAD ST CITY, STATE ZIP				
Reportable Disclosures?	The specified individual has no disclosure that qualifies under this section (i.e., disclosure required to be reported on Form U4 or Form U5). Regulatory and Broker/Dealer Users: Please note that there are three types of disclosure in Web CRD: Reportable, Legacy and Archive disclosure. An individual with no reportable disclosure may or may not have Legacy or Archive disclosure. Investment Adviser Users: Please note that IARD does not include Legacy disclosure. Information reported on previous form filings through IARD is available under Filing History.				
Statutory Disqualification Status	<a href="#">Last Updated</a>				
Has Material Difference in Disclosure?	No				
Current CE Status	Satisfied				
Disclosure Counts - Current Disclosures	Criminal	Regulatory Action	Customer Complaint	Other	
	0	0	0	0	
Disclosure Counts - Historical Disclosures	Criminal	Regulatory Action	Customer Complaint	Other	
	0	0	0	0	

### NOTES:

- To view SSNs, requires View SSN entitlement. If you have this entitlement, to display the SSN, select **Click here to view SSN** button.
- To access detailed information on **Statutory Disqualification Status**, click the hyperlink.
- To access the description on **Current CE Status**, click the hyperlink.
- CRD will also indicate if an individual is currently on active military duty. Only yes answers are displayed. See screen shot below.

<b>Full Legal Name</b>	DOE, JOHN
<b>Social Security Number</b>	xxx-xx-xxxx <a href="#">View SSN</a>
<b>Date Of Birth</b>	09/12/1921
<b>Is the Individual on active military duty?</b>	Yes

## Employment History

The top table in this section displays the individual's Office of Employment Address history, as reported in the General Information section of Form U4 and U5 filings. The Office of Employment Address is the branch office the individual is/was Located At or Supervised From.

The bottom table displays the individual's last 10 years of employment information as reported in the Employment History section of the most recent Form U4 filing.

U4 Employment History								
Individual CRD#: 1111111			Individual Name: DOE, JOHN					
Office of Employment Address History								
From	To	Firm	CRD Branch Number	NYSE Branch Code Number	Firm Billing Code	Address	Type of Office	Private Residence
10/02/2006	Present	SECURITIES FIRM (0000)	000005			789 BROKER STREET BOSTON, MA 02116	Located At	No
06/30/2006	09/29/2006	SECURITIES FIRM (0000)	BD Main			456 SECURITIES LANE BOSTON, MA 02109-2608	Located At	No
09/14/1998	09/29/2006	INVESTMENT ADVISER (1111)	000004			123 MAIN STREET BOSTON, MA 02109-2608	Located At	No
Please note that data contained in the U4 EMPLOYMENT HISTORY SCREEN is updated only by a U4 and does not reflect any changes made by the filing of a U5.								
Employment History								
From	To	Name	Investment Related Business?	City	State	Country	Position	
09/2006	Present	SECURITIES FIRM	Y	BOSTON	MA	UNITED STATES	REGISTERED REPRESENTATIVE	
09/1998	09/2006	INVESTMENT ADVISER	Y	BOSTON	MA	UNITED STATES	COMPLIANCE OFFICER	
01/1998	09/1998	HARRY'S HARDWARE STORE	Y	BOSTON	MA	UNITED STATES	MANAGER	

## Registrations Summary

This section links to registration information for an individual for both current and prior employers.

Click on the **Firm Name** hyperlink to view an individual's registration summary with a firm.

Registrations Summary							
Individual CRD#: <a href="#">1111111</a>				Individual Name: DOE, JOHN			
Current Firm(s):							
<b>Registrations Summary With Current Employers</b>							
Firm Name	Firm CRD	Start Date	IARD Regs.	CRD Regs.	SFG Member	Disciplined Firm	
<a href="#">SECURITIES FIRM</a>	<a href="#">0000</a>	01/2011	N	Y	N	N	
Prior Firm(s):							
<b>Registrations Summary With Prior Employers</b>							
Firm Name	Firm CRD	Start Date	End Date	IARD Regs.	CRD Regs.	SFG Member	Disciplined Firm
<a href="#">INVESTMENT ADVISER</a>	<a href="#">1111</a>	07/2010	01/2011	N	N	N	N

A list of registrations the individual holds or has held with the selected employer will display, along with the registration status with the regulator. For a description of all individual registration statuses click on the Registration Status column header

The Filing Date is the date on which the Form U4 filing requesting that registration was submitted. The Status Date is associated with the Registration Status field. The Approval Date is the date on which the registration first received an Approved-equivalent status (e.g. Approved Pending Prints, etc.).

To view status history and details for a registration, click on the **Registration Category** hyperlink. Click [here](#) for a list of possible Individual Registration Statuses and corresponding definitions.

Registrations with Current Employers						
Firm CRD # : <a href="#">1111</a>			Firm Name : SECURITIES FIRM			
Employment Start Date					10/02/2006	
Regulatory Authority	Registration Category	Filing Date	Status Date	<a href="#">Registration Status</a>	Approval Date	
FINRA	<a href="#">GP</a>	10/10/2006	10/10/2006	APPROVED	10/10/2006	
FINRA	<a href="#">GS</a>	10/10/2006	10/10/2006	APPROVED	10/10/2006	
MA	<a href="#">AG</a>	10/10/2006	10/10/2006	APPROVED	10/10/2006	

The **Registration History Details** screen will display:

<b>Regulatory Authority:</b>	FINRA
<b>Registration Category:</b>	GS
<a href="#">Registration Status</a>	<b>Status Effective Date</b>
APPROVED	10/10/2006
<a href="#">DEFICIENT</a>	10/10/2006

## Disclosures

This section of View Individual displays information on current and historical Disclosure events that have been reported for this individual via Form U4. There are six types of disclosure questions on Form U4: criminal, regulatory, civil judicial, customer complaints, terminations and financial. Details for Disclosure events are reported via Disclosure Reporting Pages on Form U4.

### Disclosure Terminology

Disclosure Term	Definition
<b>Occurrence</b>	A disclosure event that is reported to Web CRD via one or more Disclosure Reporting Pages (DRPs) and has been reviewed by a Disclosure Review Analyst. Each occurrence contains details regarding a specific disclosure event.  More than one disclosure question may apply to a specific disclosure event. Therefore, there may be multiple “yes” answers for a particular occurrence. An occurrence can have as many as three sources reporting the same event: Forms U4, U5 and/or U6.
<b>Reportable</b>	An occurrence determined to be reportable in Web CRD via Forms U4 and/or U5.
<b>Disclosable</b>	An occurrence that is disclosed through FINRA BrokerCheck®.
<b>Eligible for Public Disclosure</b>	N/A. The data in this field is no longer used.
<b>Material Difference in Disclosure</b>	The Material Difference Flag applies to dually registered individuals (registered with multiple firms). This flag is set whenever a difference exists between the disclosures reported by the firms with which the individual is registered, in any of the factual Form U4 DRP fields for the same disclosure event.  The flag may be set for all DRP fields except for the summary details/representative commentary field. The flag acts as a notification to the individual's employing firms and regulators.
<b>Event Date</b>	The date the event occurred as reported on the DRP.
<b>First Reported</b>	The date the event was first reported to CRD, i.e., the filing date of the Form U4, U5 or U6 DRP that first reported the event.
<b>Final Resolution</b>	Generally, the date the event was resolved as reported on the DRP.
<b>Questions Answered</b>	The specific question(s) answered in the affirmative in the Disclosure Question section of Forms U4 and/or U5 that pertain to a particular disclosure event/occurrence. The disclosure question(s) checked on the DRP should pertain to the disclosure event being reported on the DRP and correspond to the affirmative response(s) in the Disclosure Questions section of Forms U4 and/or U5.

## Current Disclosure Summary

This screen displays a table of all disclosure events that were reported via Form U4 on one or more Disclosure Reporting Pages (DRPs). Events will only display on this screen after the DRP has been reviewed by a Disclosure Review Analyst.

Current Disclosure Summary									
Individual CRD#: <a href="#">1111111</a>					Individual Name: DOE, JOHN A				
Occurrence	Reportable/ Disclosable		Eligible for Public Disclosure	Material Difference in Disclosure	Composite Filing	Event Date	First Reported	Final Resolution	Questions Answered
	Yes	Yes							
Customer Complaint ( <a href="#">595600</a> )	Yes	Yes		No	<a href="#">U4-AMENDMENT Customer Complaint 01/05/2004 SECURITIES FIRM (0000)</a>	10/15/2010	11/05/2010	02/03/2011	14I(1)(a),14I (1)(c)
Regulatory Action ( <a href="#">595075</a> )	Yes	Yes		No	<a href="#">U6-REGINDVL Regulatory Action 09/04/2002 FINRA U5-FULL Regulatory Action 09/09/2002 SECURITIES FIRM (0000)</a>	02/12/2010			
					<a href="#">U4-AMENDMENT Regulatory Action 09/09/2002 SECURITIES FIRM (0000)</a>	02/12/2010			14E(2),14E (4)

The Occurrence ID Number or the DRP Type (e.g., Regulatory Action) hyperlink will allow you to view the Disclosure Occurrence Composite page. The Composite page consists of the most recent DRP submitted by each filing source (i.e. Form U4, U5 and/or U6) for that disclosure event.

The Filing Type hyperlink (e.g., U4-AMENDMENT) will allow you to view the last form filing that reported the disclosure event. The form filing includes all sections submitted and not just the DRP. You can also view the changes submitted on that particular filing.

The Date hyperlink will allow you to view all DRPs (historical and current) submitted for that disclosure event with the most recent DRP first.

## What is Legacy Disclosure?

Legacy Disclosure is a static snapshot of the individual's disclosure as it existed in Legacy CRD prior to the implementation of Web CRD.

Web CRD was deployed in August 1999. Prior to the implementation of Web CRD, Legacy CRD was the system used to capture information submitted by the firms. In August 1999, FINRA converted Legacy disclosure records for only those individuals who had been "active" since November 1996.



## Regulatory Archive and Z Records

This screen contains information specific to an individual's or firm's CRD record that is not or is no longer reportable via Forms U4 and Form U5. (Note: Archived disclosure may still be eligible to be displayed on BrokerCheck. FINRA Rule 8312 governs what is displayed on BrokerCheck. View the rule text [here](#).)

### Examples of information contained in Regulatory Archive and Z Records (not all inclusive):

- Disclosure events that have passed the timeframe required to be reportable
- Historic Customer Complaints
  - FINRA Rule 8312 (b)(2)(G) defines Historic Complaints as the information last reported on Registration Forms relating to customer complaints that are more than two (2) years old and that have not been settled or adjudicated, and customer complaints, arbitrations or litigations that have been settled for an amount less than \$10,000 prior to May 18, 2009 or an amount less than \$15,000 on or after May 18, 2009 and are no longer reported on a Registration Form), provided that any such matter became a Historic Complaint on or after August 16, 1999.
- Written customer complaints and/or arbitrations/civil litigations in which the rep is the subject of the complaint (but not named in the arbitration or civil litigation) (i.e., 1413 and 1415) that were filed more than 24 months ago, and are withdrawn, dismissed, closed without action or settled for less than the threshold amount.
- Certain events that are deemed non-reportable by the disposition, such as:
  - Satisfied judgment/liens
  - Dismissed or denied arbitrations or litigations
  - Arbitrations/litigations settled for less than \$10,000 prior to 05/18/2009
  - Arbitrations/litigations settled for less than \$15,000 on or after 05/18/2009
  - Regulatory events closed without action

Regulatory Archive and Z Records									
Individual CRD#: <a href="#">1111111</a>		Individual Name: DOE, JOHN A							
Occurrence	Reportable/ Disclosable		Eligible for Public Disclosure	Material Difference in Disclosure	Composite Filing	Event Date	First Reported	Final Resolution	Questions Answered
Regulatory Action ( <a href="#">595194</a> )	No	No		No	<a href="#">U4- AMENDMENT Regulatory Action 09/25/2002 (0000)</a>	09/09/2001	09/25/2002	04/19/2002	14E(4)

## Criminal History Record Information (CHRI)

Firms do not receive hard copy fingerprint card search results. Instead, firms receive the dispositions, including CHRI details, electronically. This Disclosure section allows entitled users to view CHRI details for an individual.

**NOTE:** The CHRI hyperlink will only display on the navigation panel if your Web CRD user account is entitled to view CHRI. Contact your firm's Super Account Administrator regarding user entitlement questions.

## Disclosure Letter History

This section displays a history of inquiry and deficiency letters sent by FINRA's Disclosure Review Analysts regarding the individual's reported occurrences. Firms are notified of an outstanding or unresolved Disclosure inquiry or deficiency via the Outstanding Disclosure Letters queue and optional e-mail notification.

Firms performing a pre-registration search on an individual will be able to view unresolved disclosure letters (non-CHRI) that were sent to the individual's current firm.

Click on the date hyperlink to view the letter details.

Individual CRD#: <a href="#">1111111</a>		Individual Name: DOE, JOHN A			
<b>Unresolved Letters</b>					
Date Sent	Letter Type	Occurrence ID	Disclosure Type	Firms Sent To	
<a href="#">08/15/2011</a>	Inquiry	<a href="#">595358</a>	Criminal	Unresolved	SECURITIES FIRM (0000)
<a href="#">07/13/2011</a>	Inquiry	<a href="#">595620</a>	Customer Complaint	Unresolved	SECURITIES FIRM (0000)
<b>Resolved Letters</b>					
Date Sent	Letter Type	Occurrence ID	Disclosure Type	Firms Sent To	
<a href="#">07/30/2003</a>	Inquiry			Resolved	SECURITIES FIRM (0000)
<a href="#">07/30/2003</a>	Deficiency			Resolved	SECURITIES FIRM (0000)

## Exam Information

This section includes all current and historical exam information and if applicable exam waiver information.

The **Exam Appointments** section displays exams that have open begin/end window dates and exams that have appointments scheduled. Exams with scheduled appointments will also show the appointment date and vendor.

The **Exam History** section displays exams that have been taken.

Pass results will not display scores. Non-passing exam results (Fail, No Show, etc.) and scores will display only until an exam of Pass is received. After that, all prior non-passing results for that exam will not display.

**Exam Validity** indicates if a passed/waived exam is still valid for registration purposes, including a future expiration date (if applicable). Select the Exam Validity link to view the status and description.

The **Waiver** section displays any waivers that have been granted.

Exam Information									
Individual CRD#: <a href="#">1111111</a>				Individual Name: DOE, JOHN					
Exam Appointments									
Exam	Enrollment ID	Appointment Status	Appointment Date	Vendor	Confirmation Number	Vendor Center ID	Location	Window Begin Date	Window End Date
S63	36665256							04/20/2018	08/18/2018
Exam History									
Exam	Enrollment ID	Exam Status	Status Date	Exam Date	Grade	Score	Window Begin Date	Window End Date	<a href="#">Exam Validity</a>
S1E	37394356	Credit	08/09/2018						Valid
S7	2462694	Official Result	02/15/2013	02/14/2013	Passed		01/12/2013	05/12/2013	Valid
S65	24626935	Official Result	06/22/2011	04/20/2011	Passed				Expired
S66	24626936	Window Expired	11/18/2002				07/18/2002	11/15/2002	N/A

**NOTE:** Passing an exam does not indicate that the individual has been approved for the corresponding registration category. Review the Registration Summary to see current registration statuses.

## Fingerprint Cards

This section displays all current and historical fingerprint card information. Firms can only access fingerprint information for individuals currently employed by that firm.

To view the history of the fingerprint card, click the **Bar Code** hyperlink.

The status date is the date the fingerprint status was changed.

To view the description of the Status, click the **Status** hyperlink.

Visit [this page](#) for additional information about tracking the status of fingerprint card submissions.

Fingerprint Cards						Printer Friendly
Individual CRD#: <a href="#">1111111</a>			Individual Name: DOE, JOHN			
Firm Name	BarCode	Received Date	Status Date	Status	BarCode Re-Associated	
TRAINING FIRM ( <a href="#">0000</a> )	<a href="#">9923119357</a>	03/13/2002	03/15/2002	XXXX	N	

**NOTE:** To view the FBI response to fingerprint card submissions, users need to have View Fingerprint Statuses (BD-Only) entitlement. Users without this entitlement will not see the FBI response. The response will be masked with "XXXX".

A **Show Statuses** button will display for users that have **View Fingerprint Statuses (BD-Only)** entitlement. Click the button to view the FBI response. The system audits the use of the **Show Statuses** button.

Fingerprint Cards						Printer Friendly
Individual CRD#: <a href="#">1111111</a>			Individual Name: DOE, JOHN			
Firm Name	BarCode	Received Date	Status Date	Status	BarCode Re-Associated	
TRAINING FIRM ( <a href="#">0000</a> )	<a href="#">9923119357</a>	03/13/2002	03/15/2002	XXXX	N	

## Fingerprint Cards (cont.)

When the button is selected, the user will be presented with **Fingerprint CHRI Terms and Conditions**. Click **Accept**.

**Fingerprint CHRI Terms and Conditions** ✖

NOTICE: You have requested access to FBI-maintained Criminal History Record Information (CHRI), which includes information collected by criminal justice agencies on individuals consisting of identifiable descriptions and notations of arrests, indictments, informations, or other formal criminal charges (and any disposition arising therefrom) sentencing, correctional supervision, and release.

Under provisions set forth in 28 C.F.R. § 50.12, both governmental and nongovernmental entities authorized to submit fingerprints and receive FBI identification records must notify the individuals fingerprinted that the fingerprints will be used to check the criminal history records of the FBI. Identification records obtained from the FBI may be used solely for the purpose requested and may not be disseminated outside the receiving department or related agency. Only current CHRI may be used to deny a license or registration. If the information on the record is used to disqualify an applicant, the official making the determination of suitability for licensing or employment must provide the applicant the opportunity to complete, or challenge the accuracy of, the information contained in the FBI identification record. The deciding official should not deny the license or employment based on the information in the record until the applicant has been afforded a reasonable time to correct or complete the information, or has declined to do so. An individual should be presumed not guilty of any charge/arrest for which there is no final disposition stated on the record or otherwise determined. If the applicant wishes to correct the record as it appears in the FBI's Criminal Justice Information Services Division records system, the applicant should be advised that the procedures to change, correct or update the record are set forth in 28 CFR § 16.34.

FINRA uses and disseminates CHRI pursuant to U.S. Federal Bureau of Investigation (FBI) authority (28 U.S.C. § 534) and U.S. Securities and Exchange Commission (SEC) authority (Section 17(f)(2) of the Securities Exchange Act of 1934). Use of this information is governed by federal and state regulations and is subject to the following conditions:

- (1) only statutorily (federal and/or state) authorized recipients may view CHRI;
- (2) authorized recipients may view CHRI only for appropriate regulatory purposes;
- (3) authorized recipients may not deny a license or employment based on the information in the record until the subject has been afforded a reasonable time to correct or complete the information, or has declined to do so;
- (4) authorized recipients may not disseminate CHRI absent appropriate statutory authority, and
- (5) any person or entity violating federal or state regulations governing access to or use of CHRI may be subject to criminal and/or civil penalties.

Violation of federal or state regulations governing access to or use of CHRI may result in termination of an organization's Web CRD access to CHRI.

By clicking the button below and proceeding to view this individual's CHRI, I certify that I have read and understand all of the terms set forth above and that I am, or my employer is, an authorized recipient of CHRI pursuant to federal and, if applicable, state statutory authority and I am viewing this information for an appropriate regulatory purpose. I understand that I may use only current CHRI to deny a license or registration. I agree to abide by all of the terms and conditions stated above and acknowledge that unauthorized use or dissemination of CHRI may result in the imposition of criminal and/or civil penalties and/or the termination of my organization's Web CRD access to CHRI.

The FBI response will display:


Fingerprint Cards					
Individual CRD#: <a href="#">1111111</a>			Individual Name: DOE, JOHN		
Firm Name	BarCode	Received Date	Status Date	<a href="#">Status</a>	BarCode Re-Associated
TRAINING FIRM ( 0000)	<a href="#">9923119357</a>	03/13/2002	03/15/2002	CLER	N


**NOTE:** Only users with View Fingerprint Statuses (BD-Only) entitlement will see the FBI response. Users without this entitlement will see the FBI response masked with "XXXX".

## Registration Comments

This section displays any registration related comments entered by FINRA on behalf of the firm to explain Date of Termination and/or Reason for Termination related anomalies on an individual's record. Firms now have the ability to amend the Date of and Reason for Termination via a Form U5 Amendment filing. Therefore, as of May 18, 2009 Registration Comments are no longer accepted. Registration Comments that were submitted prior to May 18, 2009 will continue to display in View Individual.

To view the **Registration Comment**, click on the **Date Created** hyperlink.

?  Printer Friendly			
<b>Registration Comments</b>			
Individual CRD#: <a href="#">1111111</a>		Individual Name: DOE, JOHN A	
Date Created	Title	Creator	Last Update
<a href="#">09/20/2002</a>	TERMINATION DATE	FINRA	09/20/2002

?  Printer Friendly	
<b>Registration Comments</b>	
Individual CRD#: <a href="#">1111111</a>	
Individual Name: DOE, JOHN A	
<b>Created:</b>	09/20/2002
<b>Creator:</b>	FINRA
<b>Last Updated:</b>	09/20/2002
<b>Title:</b>	TERMINATION DATE
<b>Type:</b>	Registration Comment
<b>Note:</b>	THE CORRECT DATE OF TERMINATION FROM 0000 SHOULD BE 9/08/2002.

## Individual Pre-Registration Qualifications

This section displays registration qualifications for individuals currently registered with the firm or seeking registration with them. Information displayed includes the individual's Regulator and Jurisdiction Registration Qualifications and Individual CE information.

To view Individual Pre-Registration Qualifications information enter the **Expected Form U4 Submission Date** and click **Submit**.

Individual Pre-Registration Qualifications Report								
Individual CRD#: 1111111			Individual Name: DOE, JOHN					
Expected Form U4 Submission Date: 3/23/2017			<a href="#">New Search</a>					
<b>Eligible SRO Registrations (Qualifications-Based Assessment)</b>								
Listed below are SRO registrations for which the above candidate <u>may</u> be eligible without having to take and pass an appropriate qualification examination if a Form U4 is filed on the date entered above for the candidate. The eligible registrations are based solely on selected qualification information available in the CRD system regarding the candidate and your firm. The eligible registrations <u>do not</u> account for deficiencies outside of qualifications (e.g., funds or disclosure). This report is designed to assist your firm in the pre-registration process; it should not be relied on as a guarantee of a successful registration. Your firm is responsible for determining the status of the candidate at the time of application for registration.								
Click <a href="#">here</a> for more information about the qualification registration codes.								
Regulator	Principal Registrations	Representative Registrations						
FINRA	PG, SU	CD, CN, CS, DR, GS, IE, IR, MR, OR, OS, PR, RG						
BOX Options Exchange LLC	SU	CD, CN, GS, IE, OR						
Bats BYX Exchange, Inc.		CD, CN, GS, IE						
Bats BZX Exchange, Inc.		CD, CN, GS, IE						
Bats EDGA Exchange, Inc.	SU	CD, CN, GS, IE						
Bats EDGX Exchange, Inc.	SU	CD, CN, GS, IE						
C2 Options Exchange, Incorporated	SU	CD, CN, GS, IE						
Chicago Board Options Exchange	SU	CD, CN, GS, IE						
Chicago Stock Exchange	SU	CS, DR, GS, MR, OR						
ISE Gemini, LLC	BM	CD, GS, IE						
ISE Mercury, LLC	BM	CD, GS, IE						
International Securities Exchange	BM	CD, GS, IE						
Investors' Exchange LLC		CD, CN, GS, IE						
MIAX PEARL, LLC	SU	CD, CN, GS, IE						
Miami International Securities Exchange, LLC	SU	CD, CN, GS, IE						
NYSE Arca, Inc.	SU	CD, CN, GS, IE						
NYSE MKT LLC	BM, SM	CD, CN, CS, DR, GS, IE, IR, MR, PR						
Nasdaq BX, Inc.	SU	GS, IE, OR						
Nasdaq PHLX LLC	SU	GS, IE						
Nasdaq Stock Market	SU	CD, CN, CS, GS, IE, IR, OR						
New York Stock Exchange	BM, SM	CD, CN, CS, DR, GS, IE, IR, MR, PR						
<b>Eligible Jurisdiction Licenses/Registrations</b>								
Listed below are jurisdiction licenses/registrations for which the above candidate <u>may</u> be eligible without having to take and pass an appropriate qualification examination if a Form U4 is filed on the date entered above for the candidate. The eligible licenses/registrations are based solely on selected qualification information available in the CRD system regarding the candidate and your firm (including the jurisdictions in which your firm is currently registered). The eligible licenses/registrations <u>do not</u> account for deficiencies outside of qualifications (e.g., funds or disclosure) or for initial application review by a jurisdiction. Please note that some jurisdictions may have different requirements for <a href="#">AG</a> and <a href="#">RA</a> registration or may not permit dual registration.								
<b>Jurisdiction Registrations</b>								
Agent (AG)	Yes							
Investment Adviser Representative (RA)	No							
<b>Individual Continuing Education (CE) Information</b>								
This section displays the current CE information of the above candidate. Your firm is responsible to determine what CE requirements will apply to this individual on the anticipated date of the U4 filing.								
<b>Individual CE Information</b>								
Current CE Status	REQUIRED							
CE Base Date	02/20/2009							
Session Type	201							
<b>Current CE Requirements</b>								
Requirement Type	Enrollment ID	Session	Status	Status Date	Window Dates	Result	Foreign Deferred	Military Deferred
Anniversary	34769785	201	REQUIRED	02/20/2017	02/20/2017 - 06/19/2017		N	N

**NOTE:** The date entered cannot be a past date or exceed 60 days into the future.

To clear the screen, click New Search, enter the **Expected Form U4 Submission Date** and click **Sub-**

Individual Pre-Registration Qualifications	
Individual CRD#: 1111111	Individual Name: DOE, JOHN
Expected Form U4 Submission Date: <input type="text"/>	<input type="button" value="Submit"/> <input type="button" value="New Search"/>