

About Form BR

The Form BR is the Uniform Branch Office Registration Form used for branch office registration, notice filing, closing and/or withdrawal. Broker-dealers and State-registered Investment Advisers can use this form to register or notice file their branch offices in the appropriate jurisdictions and/or with SROs. Firms that are required to register and/or notice file with regulators that are not utilizing the electronic filing process should contact the appropriate regulator for specific filing instructions or requirements.

(SEC-registered Investment Advisors will not use Form BR and should continue to adhere to Form ADV instructions regarding reporting branches to SEC.)

NOTE: A revised version of Form BR became effective in April 2014. For a detailed explanation of the changes to the form and impacts to filers, please refer to www.finra.org/crd/branchoffice.

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Questions on Web CRD? Call the FINRA Gateway Call Center at 301-869-6699
8 A.M. - 8 P.M., ET, Monday-Friday.

Access Web CRD

Web CRD can be accessed (2) ways:

1. FINRA Firm Gateway at —> <https://firms.finra.org>, or
2. Directly at —> <https://crd.finra.org>

Enter your **User ID** and **Password**.

If you access via FINRA Firm Gateway, click on the **Web CRD** tab.

Once you have accessed Web CRD, you may navigate through the system as needed.

Accessing Form BR

Form BR can be accessed via the Web CRD® sitemap. Form filing entitlement privileges are required to submit filings via Web CRD. For questions regarding your entitlement privileges, please contact your firm's Super Account Administrator or Account Administrator.

Form BR Filing Types

Filing Types BR	
Initial	
Amendment	←
Closing/Withdrawal	

Form Type	Purpose
Initial	To register or notice file a new branch office with SROs and jurisdictions, as appropriate
Amendment	To add or change information for an existing branch.
Closing/Withdrawal	To terminate a branch office registration or notice filing and/or to withdraw an initial filing prior to approval by an SRO or jurisdiction.

Form BR Sections

You will only see sections that are relevant to the type of filing you are completing (e.g., if you are completing an Initial Form BR filing, you will not see sections for Closing/Withdrawal on the Initial filing).

Section 1. General Information

This section is available for the following Form BR filing types: Initial, Amendment, and Closing/Withdrawal (Read-Only)

- The filing firm's CRD number and main office address will be pre-populated.
- On an Initial filing, a new CRD branch number will be automatically generated for the location.
- The branch address and telephone number are required. Firms may also provide an internal branch code and/or billing code.
- A PO Box number is not permitted in the section titled Branch Address Street 1. When providing a PO Box, enter the address in Branch Address Street 1 and the PO Box in Branch Address Street 2. This address is intended to capture an actual location, not a mailing address.
- The system will verify that the postal code provided is valid for the state where the branch is located.

1. General Information

WARNING: Failure to keep this form current and to file accurate supplementary information on a timely basis, or the failure to keep accurate books and records or otherwise to comply with the provisions of law applying to the conduct of business as a Broker-Dealer or Investment Adviser would violate the federal securities laws, self-regulatory organization rules, and the laws of the jurisdictions, and may result in disciplinary, administrative, injunctive, or criminal action.

A. Applicant CRD Number:

B. Name and principal place of business of firm filing this form

Applicant Name: SECURITIES FIRM

Address:
123 SECURITIES LANE
SUITE 100
ROCKVILLE, MD 20850
USA

C. Firm Billing Code:

D. Branch Code Number:

E. CRD Branch Number: 550718

F. Branch Office Location

Branch Address Street 1:

Branch Address Street 2:

City: **State:** **Postal Code:**

Country:

G. Private Residence Check Box:
If this address is a private residence, check this box.

H. Branch Telephone Number:

I. Branch Facsimile Number:

[« Previous](#) [Save](#) [Next »](#)

Section 2. Registration/Notice Filing/Type of Office/Activities

This section is available for the following Form BR filing types: Initial and Amendment.

- The CRD system will pre-populate the applicable checkboxes for SRO(s) and/or jurisdiction(s) that the applicant may be required to register or notice file the branch with, based on the office location.
- If the form does not allow the user to select jurisdiction where the branch is located, this means that the jurisdiction does not participate in online Form BR submissions. Please refer to the Jurisdiction Fee/Setting Schedule for a list of state branch settings, now available on the CRD and IARD sitemaps.
- The applicant must indicate whether the office is registering as a broker-dealer and/or investment adviser branch location.

2. Registration/Notice Filing/Type of Office/Activities	
A. Register/Notice File Branch Office with SRO/ Jurisdiction:	<input checked="" type="checkbox"/> FINRA <input checked="" type="checkbox"/> NYSE <input checked="" type="checkbox"/> <i>Jurisdiction: TX</i>
C. Type of Branch Office Registration/Notice Filing:	<input checked="" type="checkbox"/> Broker-Dealer <input type="checkbox"/> Investment Adviser

Financial Industry Activities

Applicants are required to select the type of financial industry activities conducted at each branch.

- If the “Other:” option is selected, a description is required.

D. Check all applicable types of financial industry activities conducted by the <i>applicant</i> at this branch office:
<input checked="" type="checkbox"/> Sales <input checked="" type="checkbox"/> Retail <input type="checkbox"/> Institutional <input type="checkbox"/> Investment Advisory Services <input type="checkbox"/> Investment Banking/Underwriting <input type="checkbox"/> Research <input type="checkbox"/> Market Making/Trading <input type="checkbox"/> Back Office Operations <input type="checkbox"/> Public Finance <input checked="" type="checkbox"/> Other: <div style="border: 1px solid red; padding: 2px; width: 150px; margin-top: 2px;"> Other activity </div>

FINRA Office of Supervisory Jurisdiction (OSJ) and Non-OSJ Branches

In Section 2 of Form BR, the applicant must indicate whether the office is a FINRA OSJ or non-OSJ branch.

- If the branch is an OSJ, the applicant must provide the on-site supervisor(s) at the location. Individuals listed as supervisors must hold a current principal registration with the filing firm.
- If the branch is not an OSJ, the applicant must provide the off-site OSJ branch(es) and qualified individual supervisor(s) that are responsible supervising this location.
- Non-OSJ branches must also list an on-site Person-in-Charge (PIC) that serves as a contact for that location. Individuals listed as a PIC must hold an active registration with the filing firm.

E. Is this branch office an *Office of Supervisory Jurisdiction (OSJ)* ?

Yes No

If yes:

(1) Provide the following information for the *Supervisor(s)* physically located at this *OSJ* that is responsible for supervising this branch office.

Supervisor Detail:

No Information Filed.

Add

If no:

(2) Provide the following information for the *OSJ* branch office(s) and *OSJ Supervisor(s)* that have supervisory responsibility for this branch office:

Supervisory OSJ Branch Detail:

No Information Filed.

Add

(3) Provide the *Person(s)-In-Charge* physically located at this branch office:

Person-In-Charge Detail:

No Information Filed.

Add

Click the "Add" buttons to list the appropriate Supervisor/PIC and OSJ branch, if applicable.

FINRA Supervisor/Person in Charge (PIC) Requirements		
FINRA OSJ Branch	On-site Supervisor is required.	PIC is not allowed.
FINRA Non-OSJ Branch	Off-site OSJ branch(es) and individual Supervisor(s) are required.	On-site PIC is required.

Adding an On-site Supervisor/PIC

When clicking the “Add” button to list the appropriate on-site supervisor and/or PIC, a pop-up will display allowing the user to search for the desired individual(s).

- Search by name, CRD number or SSN.
- The default search mode is Simple Search. Users can switch to Advanced Search if needed.

Supervisor/Person-In-Charge Individual Search

Simple Search **Advanced Search**

Search For: Enter Search Text

Tip: You can enter name, CRD number or SSN in the box above.

Search

Switch to Advanced Search

Once the desired individual is located, click the “Add” button next to the individual’s name to add them to your filing. When all individuals have been added, use the “X” icon in the top-right to close the pop-up and return to the form.

Supervisor/Person-In-Charge Individual Search

Simple Search **Advanced Search**

Search For: **Switch to Advanced Search**

Tip: You can enter name, CRD number or SSN in the box above.

Search

Identify the individual for this branch and add them by clicking the corresponding “Add” button located next to the name.

Records per Page:	15	Total Records:	1
Add	Name	Type Of Activity (Optional)	SSN
Add	REPRESENTATIVE SR, REGGIE CRD# <input type="text"/>		XXX-XX-XXXX View SSN

Records per Page: 15 Total Records: 1

Adding an Off-site OSJ Branch and Supervisor

When clicking the “Add” button to list the appropriate off-site OSJ branch and Supervisor, a pop-up will display allowing the user to search for the desired supervising branch and individual.

- Search by branch or supervisor identifying information.

OSJ branch office and OSJ Supervisor Search

[Hide Search Criteria](#)

Search by CRD Branch Number

CRD Branch Number:

Search by Firm Billing Code

Firm Billing Code:

Search by Branch Code Number

Branch Code Number:

Search by Branch Supervisor/Person-In-Charge

Supervisor/Person-In-Charge CRD#:

Search by Branch Location

City: State:

Postal Code: Country:

Once the desired OSJ and supervisor have been located, click the “Add” button next to the individual’s name to add them to your filing. When all OSJs and supervisors have been added, use the “X” icon in the top-right to close the pop-up and return to the form.

OSJ branch office and OSJ Supervisor Search Results

Identify the OSJ Branch Office and OSJ Supervisor that have supervisory responsibility over this branch and add them by clicking the corresponding “Add” button located next to the Supervisor.

[Back to Search](#)

Records per Page: 15 Total Records: 1					
CRD Branch Number	Firm Billing Code	Branch Code Number	Branch Address	Supervisors	Type Of Activity (Optional)
View Branch	8484	878296	Dallas, TX 75001 UNITED STATES	<input type="button" value="Add"/> REPRESENTATIVE SR. REGGIE CRD# <input type="text"/>	Sales

Records per Page: 15 Total Records: 1

[Back to Search](#)

Section 3. Other Business Activities/Names/Websites

This section is available for the following Form BR filing types: Initial and Amendment.

- Firms must enter any other financial industry activities conducted at the branch office and any other names under which the branch office is conducting business.
- Firms must also provide Website addresses used by the branch office, other than the applicant's primary Website address.

Section 4. Branch Office Arrangements

This section is available for the following Form BR filing types: Initial and Amendment.

- Firms must provide information relating to office sharing arrangements of the branch office.

Section 5. Associated Individuals

This section is only available on the Initial Form BR filing type.

- Firms are able to associate registered individuals with a new branch office.
- Individuals provided on a branch's Associated Individuals list may not be listed on the branch's Supervisor/PIC list in **Section 2. Registration/Notice Filing/Type of Office**.

(Once the Initial Form BR is submitted, updates to an individual's association with the branch office must be made on Form U4.)

Adding Associated Individuals on an Initial Form BR

To associate individuals in Section 5 with a new branch office, click the “Add” button.

5. Associated Individuals

Complete this section for initial filings only.

List all registered individuals other than the *Supervisor(s)/Person(s)-in-Charge* that will be associated with this branch office:

No Information Filed.

→ **Add**

[« Previous](#)

[Next »](#)

Next, a pop-up will display allowing the user to search for the desired individual(s).

- Search by name, CRD number or SSN.
- The default search mode is Simple Search. Users can switch to Advanced Search if needed.

Associated Individual Search

Simple Search **Advanced Search**

Search For: [Switch to Advanced Search](#)

Tip: You can enter name, CRD number or SSN in the box above.

Search

Once the desired individual is located, click the “Add” button next to the individual’s name to add them to your filing. When all individuals have been added, use the “X” icon in the top-right to close the pop-up and return to the form.

Associated Individual Search

Simple Search **Advanced Search**

Search For: [Switch to Advanced Search](#)

Tip: You can enter name, CRD number or SSN in the box above.

Search

Identify the individual for this branch and add them by clicking the corresponding “Add” button located next to the name.

Add	Name	SSN
Add	REPRESENTATIVE SR. REGGIE CRD# XXXXXXXXXX	XXX-XX-XXXX View SSN

Records per Page: 15 Total Records: 1

Records per Page: 15 Total Records: 1

Section 6. Branch Closing / Section 7. Branch Withdrawal

This section is available for the following Form BR filing type: Closing/Withdrawal.

- The **Branch Closing** section appears when the branch has an Approved registration or Open notice filing status.
- The **Branch Withdrawal** section appears when a branch has a Pending or Deficient registration request, or a Deficient Notice Filing request.
- Both sections will appear on the filing if the applicant has both a pending/deficient and an approved/open status with different regulators.
- A future date cannot be entered as the closing or withdrawal date (except during the Renewal period).
- The address provided for the Location of Books and Records cannot be the same as the address of the branch that is closing.

Section 8. Signature

This section is required for all Form BR filing types.

Accessing Form BR

Form BR can be accessed via the Web CRD® sitemap. Form filing entitlement privileges are required to submit filings via Web CRD. For questions regarding your entitlement privileges, please contact your firm's Super Account Administrator or Account Administrator.

Section 8. Signature

This section is required for all Form BR filing types.

Pending BR 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 BR filings through the Site Map or the Forms tab.

Enter the appropriate search criteria, such as **CRD Branch Number**, and click **Search**.

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

Pending Filing Search
BR

[Hide Search Criteria](#)

Search by CRD Branch Number

CRD Branch Number:

Search by Firm Billing Code

Firm Billing Code:

Search by Branch Code Number

Branch Code Number:

Filter by current user

Filings initiated by current user only:

Select Sort Criteria

Creation Date: Ascending Descending

Section 8. Signature

This section is required for all Form BR filing types.

Pending BR Filings (Continued)

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.

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

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

Pending Filing Search BR										
Show Search Criteria <input checked="" type="checkbox"/>										
Records per Page: <input type="button" value="25"/> Total Records: 1										
<u>Filing ID</u>	<u>Submission Status</u>	<u>Filing Type</u>	<u>CRD Branch Number</u>	<u>CC Status</u>	<u>Creation Date</u>	<u>User ID</u>	<u>Submission Type</u>	<u>Expected Purge Date</u>	<u>Delete</u>	
42193374	Pending Submission	Initial	623678	Fail	12/04/2015	USERID1	WEB	02/05/2016	Delete	

Historical BR Filings

The Historical Filings feature allows users to view and/or print Form BR filings submitted by your firm. Firms can access historical BR filings from the Site map or the Forms tab.

Enter the appropriate search criteria, such as **CRD Branch Number**, and click **Search**.

Form BR Historical Filings Search

[Hide Search Criteria](#)

Search by CRD Branch Number

CRD Branch Number:

Search by Firm Billing Code

Firm Billing Code:

Search by Branch Code Number

Branch Code Number:

Search by Branch Supervisor/Person-In-Charge

Supervisor/Person-In-Charge CRD#:

Search by Branch Location

City: State:

Postal Code: Country:

Filter by Branch Office Type

OSJ Non-OSJ All

Filter by Branch Operational Status

Active Inactive All

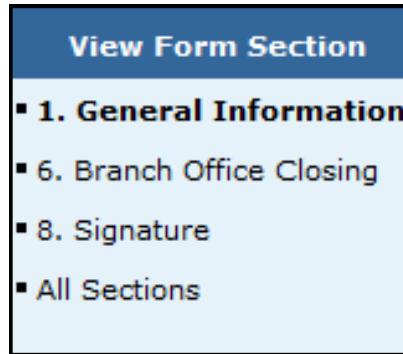
Historical BR Filings (Continued)

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

NOTE: The **User ID** of the user that submitted the filing will display. Non-FINRA users will only see the ID of users from their own organization.

Form BR Historical Filings Search					
Show Search Criteria <input type="button" value="▼"/>					
Records per Page: <input type="button" value="25"/> Total Records: 3					
Filing Date	Filing ID	Filing Type	Source	User ID	Submission Type
03/20/2015	38708092	Closure	FIRMA (1111)	USERID1	WEB
01/12/2015	38210016	Amendment	FIRMA (1111)	USERID1	WEB
09/24/2013	35296209	Initial	FIRMA (1111)	USERID1	WEB

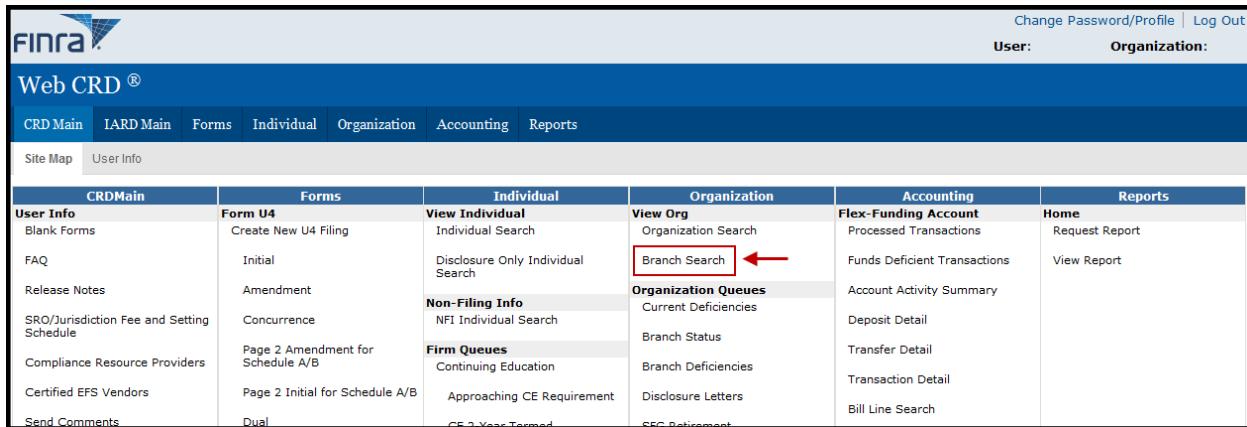
Users have the option to view and/or print sections of the form or to view/print all sections of the form.



Branch Office Information in View Organization

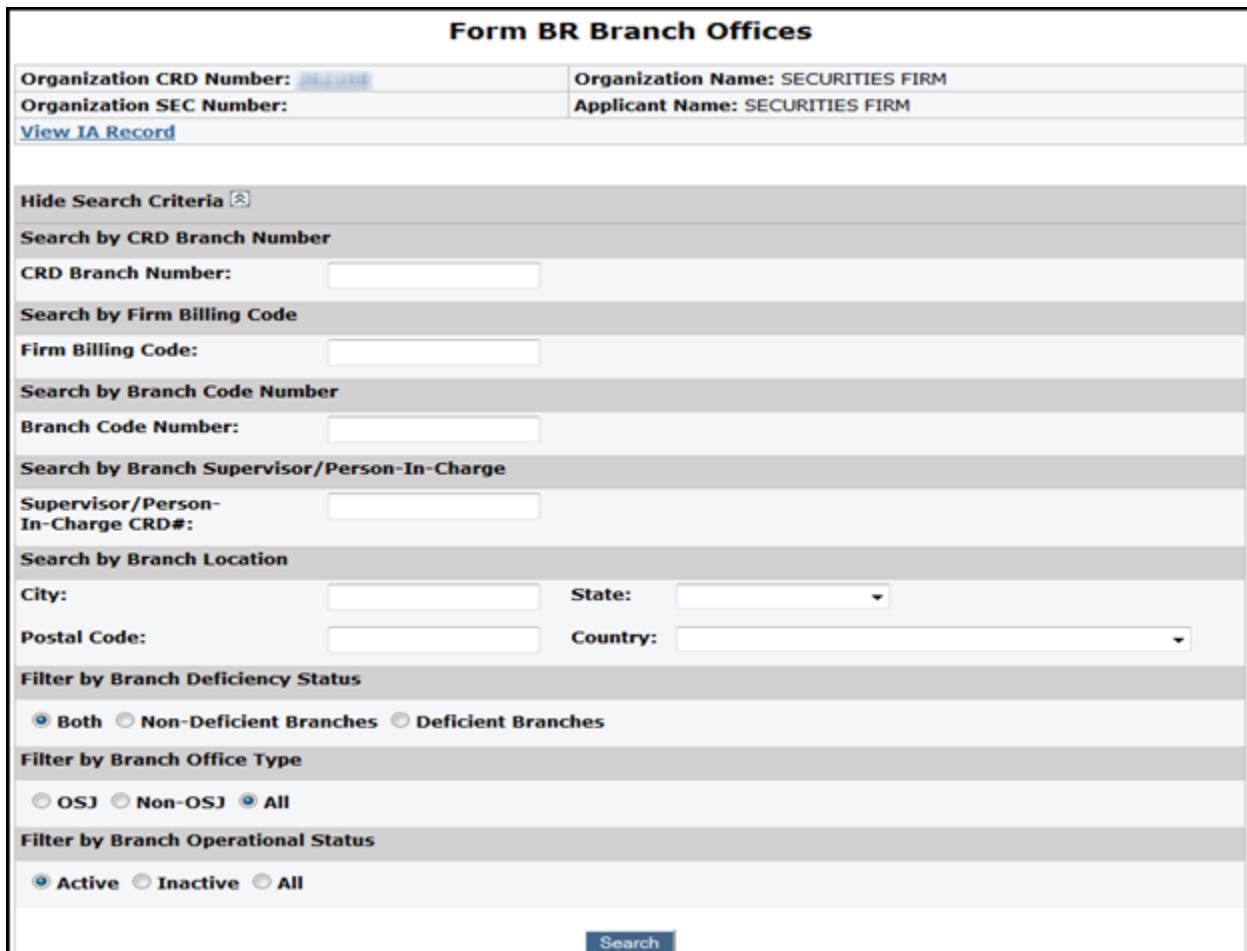
The Form BR Branch Offices section of View Organization allows firms to view current and historical Branch Office information for branches registered via Form BR.

Firms can search for branches using the **Branch Search** link on the CRD Main page.



The screenshot shows the FINRA Web CRD main menu. At the top right, there are links for 'Change Password/Profile' and 'Log Out'. Below that, 'User:' and 'Organization:' dropdown menus are shown. The main menu has tabs for 'CRD Main', 'IARD Main', 'Forms', 'Individual', 'Organization', 'Accounting', and 'Reports'. Under 'Organization', there is a sub-menu with 'View Org', 'Organization Search', and 'Branch Search' (which is highlighted with a red box and an arrow pointing to it). Other items in this sub-menu include 'Non-Filing Info', 'NFI Individual Search', 'Firm Queues', 'Continuing Education', 'Approaching CE Requirement', 'CE 3-Year-Termed', and 'SEC Retirement'. The 'Branch Search' link is located in the 'Organization' sub-menu under 'Organization Search'.

Some of the criteria users can search by are: CRD Branch Number, Firm Billing Code, Branch Code Number, Supervisor/PIC, or Branch Location. Or the search criteria can be left blank to return a list of all branch offices.



The screenshot shows the 'Form BR Branch Offices' search interface. At the top, there are fields for 'Organization CRD Number' and 'Organization SEC Number', both of which are set to 'SECURITIES FIRM'. Below these are buttons for 'View IA Record' and 'Hide Search Criteria'.

The search interface is divided into several sections:

- Search by CRD Branch Number:** A field for 'CRD Branch Number'.
- Search by Firm Billing Code:** A field for 'Firm Billing Code'.
- Search by Branch Code Number:** A field for 'Branch Code Number'.
- Search by Branch Supervisor/Person-In-Charge:** A field for 'Supervisor/Person-In-Charge CRD#:'.
- Search by Branch Location:** Fields for 'City', 'State' (with a dropdown menu), 'Postal Code', and 'Country' (with a dropdown menu).
- Filter by Branch Deficiency Status:** Radio buttons for 'Both', 'Non-Deficient Branches', and 'Deficient Branches'.
- Filter by Branch Office Type:** Radio buttons for 'OSJ', 'Non-OSJ', and 'All'.
- Filter by Branch Operational Status:** Radio buttons for 'Active', 'Inactive', and 'All'.

At the bottom right of the search interface is a 'Search' button.

Branch Office Information in View Organization (Continued)

Once the branch search results are displayed, click on the CRD Branch Number hyperlink to view the branch office information for the selected location.

Records per Page: 25 Total Records: 2						
CRD Branch Number	Firm Billing Code	Branch Code Number	Branch Location	Branch Deficiency Status	Branch Operational Status	Supervisor/PIC
123456789	8484	878296	123 Elm Street Suite 100 Dallas, TX 75001 UNITED STATES	Clear	Active	REPRESENTATIVE, REGGIE (mailto:reggie@firm.com)
123456789			9509 Key West Avenue Rockville, MD 20850 UNITED STATES	Clear	Active	REPRESENTATIVE, REGGIE (mailto:reggie@firm.com)
Records per Page: 25 Total Records: 2						

Web CRD defaults to the Branch Composite screen, which displays a snapshot of current information for the branch.

Select from the links on the left navigation panel to view additional branch information, such as: Branch Registration/Notice Filing Status, Branch Deficiencies, Currently Associated Individuals, Branch Address History, Supervisor/Person-In-Charge History, and Branch Office Filing History.

View Branch Information <ul style="list-style-type: none"> ▪ Back To Previous Menu ▪ Branch Office Composite ▪ Branch Registration/Notice Filing Status ▪ Branch Deficiencies ▪ Currently Associated Individuals ▪ Branch Address History ▪ Supervisor/ Person-In-Charge History ▪ Branch Office Filing History ▪ Return to Search Results 	<h3>Branch Office Composite</h3> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">Organization CRD Number: 123456789</td> <td style="width: 50%;">Organization Name: SECURITIES FIRM</td> </tr> <tr> <td>Organization SEC Number:</td> <td>Applicant Name: SECURITIES FIRM</td> </tr> <tr> <td>Branch CRD Number: 123456789</td> <td>Branch Office Address: 123 Elm Street Suite 100, Dallas, TX 75001, UNITED STATES</td> </tr> <tr> <td>Branch Code Number: 878296</td> <td>Firm Billing Code: 8484</td> </tr> <tr> <td colspan="2"> </td> </tr> <tr> <td>Current Branch Operational Status</td> <td>Active</td> </tr> <tr> <td>Branch Office Telephone Number</td> <td>555-555-5555</td> </tr> <tr> <td>Branch Office Facsimile Number</td> <td></td> </tr> <tr> <td>Private Residence</td> <td>Yes</td> </tr> <tr> <td>FINRA District</td> <td>6-Dallas</td> </tr> <tr> <td>Type of Branch Office Registration/Notice Filing</td> <td>Broker-Dealer</td> </tr> <tr> <td>Office of Municipal Supervisory Jurisdiction as defined under MSRB?</td> <td>No</td> </tr> <tr> <td>Office of Supervisory Jurisdiction?</td> <td>Yes</td> </tr> </table>	Organization CRD Number: 123456789	Organization Name: SECURITIES FIRM	Organization SEC Number:	Applicant Name: SECURITIES FIRM	Branch CRD Number: 123456789	Branch Office Address: 123 Elm Street Suite 100, Dallas, TX 75001, UNITED STATES	Branch Code Number: 878296	Firm Billing Code: 8484	 		Current Branch Operational Status	Active	Branch Office Telephone Number	555-555-5555	Branch Office Facsimile Number		Private Residence	Yes	FINRA District	6-Dallas	Type of Branch Office Registration/Notice Filing	Broker-Dealer	Office of Municipal Supervisory Jurisdiction as defined under MSRB?	No	Office of Supervisory Jurisdiction?	Yes
Organization CRD Number: 123456789	Organization Name: SECURITIES FIRM																										
Organization SEC Number:	Applicant Name: SECURITIES FIRM																										
Branch CRD Number: 123456789	Branch Office Address: 123 Elm Street Suite 100, Dallas, TX 75001, UNITED STATES																										
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Current Branch Operational Status	Active																										
Branch Office Telephone Number	555-555-5555																										
Branch Office Facsimile Number																											
Private Residence	Yes																										
FINRA District	6-Dallas																										
Type of Branch Office Registration/Notice Filing	Broker-Dealer																										
Office of Municipal Supervisory Jurisdiction as defined under MSRB?	No																										
Office of Supervisory Jurisdiction?	Yes																										

Branch Registration Statuses

Status	Status Code	Description
Abandoned	ABANDONED	This status is manually set for a branch that has not submitted required information to a regulator within the time period specified by the regulator.
Approved	APRVD	This status is set when the branch is approved.
Restricted Approval	APRVDRSTRD	This status is set when the branch is restricted in some manner to the kinds of business that is being transacted.
Closed/Termed	CLSDTRMD	This status is set when a Form BR is filed to close the branch.
Closed/Termed - No Form BR	CLSDTRMDNOBR	This status is set when the branch has been closed without a Form BR filing.
Closed/ Termed - Mass Transfer	TRMDMT	This status is set when a branch with an approved-equivalent registration is closed due to a Mass Transfer.
Closed/ Termed - Mass Transfer - No Registration	CLSDTRMDMTNOREG	This status is set when a branch with a non approved registration is closed due to a Mass Transfer.
Closed/ Termed-Failure to Renew	FAILDTORNW	This status is set when a firm fails to renew with a jurisdiction, and the branch had an approved-equivalent status.
Closed/ Termed- Failure to Renew – No Registration	CLSDTRMDFTR-NOREG	This status is set when a firm fails to renew with a jurisdiction, and the branch did not have an approved status.
Deficient	DFCNT	This status is set when the branch is deficient and further action needs to occur.
Pending	PNDNG	This status is set when the branch requires manual approval from a regulator.
Rejected	RJCTD	This status is set when the branch registration is set to rejected.
Revoked	RVKD	This status is set when a regulator revokes the branch's registration.

Branch Registration Statuses (Continued)

Status	Status Code	Description
Suspended	SPNDD	This status is set when the branch registration has been suspended.
Term Requested	TERMREQ	This status is set when a Form BR is filed to close a branch and the branch termination review method is "manual".
Term Requested- No Registration	TERMREQ-NOREG	This status is set when a Form BR is filed to close a branch with a non approved registration and the branch termination review method is "manual".
Withdrawn	WTHDN	This status is set when the branch is closed because of a Form BR filing and the previous status was Deficient or Pending.
Withdrawn-No Form BR Filed	WTHDNNOBR	This status is set when the branch is closed without a Form BR filing and the previous status was Deficient or Pending.

Branch Notice Filing Statuses

Status	Status Code	Description
Closed	CLSD	This status is set when the branch is closed via a Form BR filing.
Closed No Form BR Filed	CLSDNOBR	A status indicating the branch is closed without a Form BR filing.
Closed- Failure to Renew	FAILDTORNW	This status is set when a firm fails to renew with a jurisdiction, and the branch had an approved-equivalent status.
Closed - Mass Transfer	CLSDMT	This status is set when a branch with an approved-equivalent registration is closed due to a Mass Transfer.
Deficient	DFCNT	This status is set when the branch is deficient and further action needs to occur.
Open	OPEN	This status is set when the branch is Opened via a Form BR filing.

Branch Deficiencies

Status Code	Description
FUNDS	Branch Registration/Notice Filing requests have not been processed due to insufficient funds in the Flex-Funding Account.
FINRAOSJSPRVQUALS	FINRA OSJ Supervisor is no longer qualified.
FINRAPRNCPLOSJSPRVQL	FINRA OSJ Supervisor no longer holds current FINRA principal position.
FINRAPRNCPLSPRVQUALS	FINRA Branch Supervisor no longer holds FINRA principal position.
FINRASPRVPICQUALS	A listed Supervisor or Person-in-Charge for FINRA Branch is no longer qualified.
NOSPRVPIC	The only listed Supervisor or Person-in-Charge is no longer with Branch.
NYSEOSJSPRVQUALS	NYSE OSJ Supervisor is no longer qualified.
NYSEPRNCPLOSJSPRVQL	NYSE OSJ Supervisor no longer holds principal position.
NYSEPRNCPLSPRVQUALS	NYSE Branch Supervisor no longer holds principal position.
NYSESPRVPICQUALS	A listed Supervisor or Person-in-Charge for NYSE Branch is no longer qualified.
OSJNACTV	A listed OSJ Branch is inactive.
OSJNOSPRV	A listed OSJ Branch has no valid OSJ Supervisor.
OSJNOSPRVEMPLT	A listed OSJ Supervisor is no longer associated with that OSJ Branch.
PNDNGFIRM	The filing firm does not have an Approved/Open status with the requested regulator.