

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 Advisers 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:

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:

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"/>	Jurisdiction: TX
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:
	Other activity

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.

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.

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

No Information Filed.

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.

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.

Add Name	Type Of Activity (Optional)	SSN
REPRESENTATIVE SR, REGGIE CRD# [REDACTED]		XXX-XX-XXXX View SSN

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.

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 <small>CRD# XXXXXXXXXX</small>	Sales

Records per Page: 15 Total Records: 1

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

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

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

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

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# [REDACTED]	[REDACTED] 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.

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

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 					
Records per Page: <input type="text" 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
Records per Page: <input type="text" value="25"/> Total Records: 3					

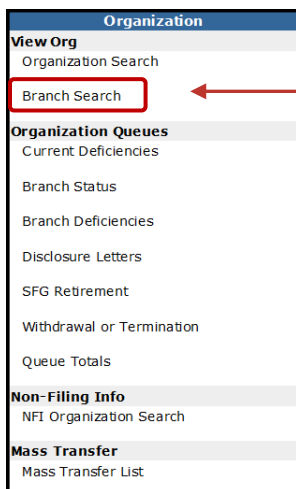
Users have the option to view and/or print sections of the form or to view/print all sections of the form.

View Form Section

- **1. General Information**
- 6. Branch Office Closing
- 8. Signature
- All Sections

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.

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.

Form BR Branch Offices

Organization CRD Number: SECURITIES FIRM	Organization Name: SECURITIES FIRM
Organization SEC Number:	Applicant Name: SECURITIES FIRM
View IA Record	

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 Deficiency Status

Both Non-Deficient Branches Deficient Branches

Filter by Branch Office Type

OSJ Non-OSJ All

Filter by Branch Operational Status

Active Inactive All

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
878296	8484	878296	123 Elm Street Suite 100 Dallas, TX 75001 UNITED STATES	Clear	Active	REPRESENTATIVE, REGGIE (878296)
878296			9509 Key West Avenue Rockville, MD 20850 UNITED STATES	Clear	Active	REPRESENTATIVE, REGGIE (878296)

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	Branch Office Composite	
<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 	Organization CRD Number: 878296 Organization SEC Number: Branch CRD Number: 878296 Branch Code Number: 878296	Organization Name: SECURITIES FIRM Applicant Name: SECURITIES FIRM Branch Office Address: 123 Elm Street Suite 100, Dallas, TX 75001, UNITED STATES 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

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 Re-new	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 Re-new – 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.