

Web CRD	Firm Notification
----------------	--------------------------

Firm Notification is the Web CRD[®] function that provides entitled users at broker-dealer, investment adviser, and broker-dealer/investment adviser firms (joint firms), with the capability to request automatic e-mail reminders whenever significant registration-related changes occur. To access the Firm Notification functionality, logon to Web CRD at: <https://crd.finra.org>.

Accessing Firm Notification

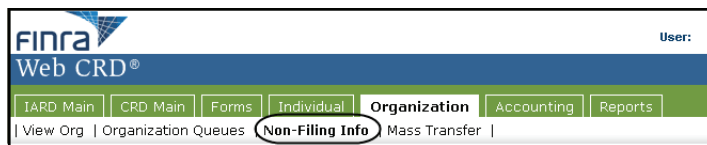
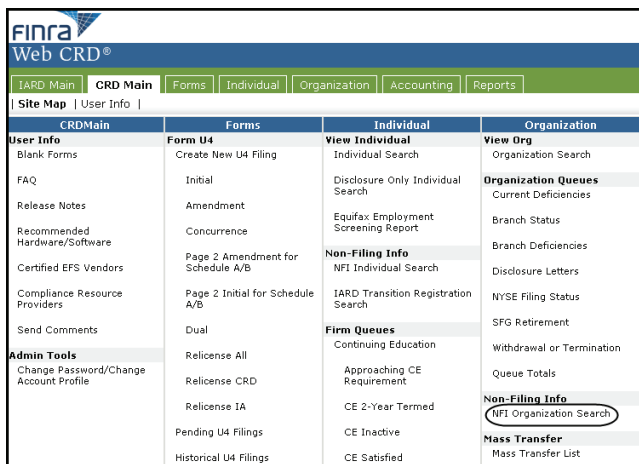
There are two ways to access the **Firm Notification** functionality in Web CRD:

NOTE: Be sure your Account Administrator has entitled you to the Web CRD Maintain Firm Notification privilege. In addition, firm Notifications are not accessible through IARD. Investment adviser firms must access Firm Notification via Web CRD.

1. From the **Organization** section of the Web CRD site map, click **NFI Organization Search**.
2. Click **Firm Notification** from the navigation panel.

OR

1. Click the **Organization** tab on the Web CRD toolbar.
2. Click on **Non-Filing Info** from the sub-menu.
3. Click **Firm Notification** from the navigation panel.



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

Notification Types

There are 32 Firm Notification Types that can be requested. They are:

Notification Types	Registration
	<input type="checkbox"/> Notify when an individual's examination status changes <input type="checkbox"/> Notify when an individual has a fingerprint updated with a status of ILEG - BD Only <input type="checkbox"/> Notify when an individual's registration is Inactive Prints with the Firm - BD Only <input type="checkbox"/> Notify when an individual's registration request is T_NOUS <input type="checkbox"/> Notify when an individual with deficient registration is Eligible to Purge within the next 30 days <input type="checkbox"/> Notify when an individual has a fingerprint updated with a status of RAPP - BD Only <input type="checkbox"/> Notify when an individual's registration request has been Denied. <input type="checkbox"/> Notify when an individual's registration has been Revoked. <input type="checkbox"/> Notify when a registered individual enters Firm Temporary Registration Cancellation Queue <input type="checkbox"/> Notify when a U5 is submitted by another firm
	Disclosure <input type="checkbox"/> Notify when a Bankruptcy has expired for a registered individual with the firm <input type="checkbox"/> Notify when a Customer Complaint has expired for a registered individual with the firm <input type="checkbox"/> Notify when a U6 is filed against a registered firm <input type="checkbox"/> Notify when a U6 is filed against an individual registered with the firm <input type="checkbox"/> Notify when a registered individual enters Firm Outstanding Disclosure Letters Notice Queue <input type="checkbox"/> Notify when a registered individual has an Outstanding Disclosure Letter more than 30 days old <input type="checkbox"/> Notify when a letter enters the Organization Disclosure Letters Queue
	CE <input type="checkbox"/> Notify when a registered individual is within 30 days of the end of his or her CE Required window - BD Only <input type="checkbox"/> Notify when a registered individual is within 90 days of the end of his or her CE Required window - BD Only <input type="checkbox"/> Notify when registered individuals receive an INCOMPLETE result for a CE session - BD Only <input type="checkbox"/> Notify when a registered individual enters Firm CE Inactive Queue - BD Only
	Other <input type="checkbox"/> Notify when Firm account balance is 'Deficient' <input type="checkbox"/> Notify when firm account balance has gone below \$0.00 <input type="checkbox"/> Notify when firm account balance has gone below \$10,000.00 <input type="checkbox"/> Notify when firm account balance has gone below \$3,000.00 <input type="checkbox"/> Notify when firm account balance has gone below \$500.00 <input type="checkbox"/> Notify when firm has an outstanding Form BD deficiency <input type="checkbox"/> Notify when a filing has failed submission <input type="checkbox"/> Notify when a registered individual enters Other Firm U4 Filing Notice Queue <input type="checkbox"/> Notify when registered individuals are within 10 days of CE Inactive or Prints Inactive statuses
	Branch <input type="checkbox"/> Notify when a branch registration is approved <input type="checkbox"/> Notify when a branch is deficient

The Continuing Education (CE) notifications noted below are automatically e-mailed to the FINRA member firms' CE Regulatory Contact person as listed in the FINRA Contact System (FCS), in addition to, any individual(s) you choose to receive notifications from the Firm Notification functionality in Web CRD.

- Notify when a registered individual is within 30 days of the end of his or her CE Required window - BD Only
- Notify when a registered individual is within 90 days of the end of his or her CE Required window - BD Only
- Notify when registered individuals receive an INCOMPLETE result for a CE session - BD Only
- Notify when a registered individual enters Firm CE Inactive Queues - BD Only

For new FINRA member firms, the Member Firm Email Notification Contact Form in the Membership Application Process (MAP) kit must be completed identifying an individual(s) to receive the 3 CE notifications, as well as, the following 2 Registration notifications listed below.

- Notify when an individual's registration is Inactive Prints with the Firm - BD Only
- Notify when a registered individual enters Firm Temporary Registration Cancellation Queue

Maintaining Firm Notification Information

Once Firm Notification has been accessed, Web CRD will automatically default to the *Maintain Firm Notification Info* screen. If there are existing contacts, their names are displayed indicating the telephone number, e-mail address and the specific notification type(s) the contact person receives. Different individuals can be selected as contacts to receive different firm notifications.

The steps for maintaining firm notification information are:

1. Click the **Add New** button or click the **Email Address** hyperlink to create or edit an existing e-mail contact screen.

Printer Friendly

Maintain Firm Notification Info

Organization CRD#: 0000	Organization Name: SECURITIES FIRM
Organization SEC#:	Applicant Name: SECURITIES FIRM

Contact Name	Phone Number	Email Address	Notification Type(s)	Disabled
JOHN DOE	555-555-5555	john.doe@securitiesfirm.com	Account Deficient Approaching CE-30 Approaching CE-90 Bankruptcy Expiration Branch Registration Approved Registration Eligible to Purge within 30 days Withdrawn	No

Add New

2. Type the Contact Name, Contact Phone Number and Email Address in the fields.

Printer Friendly

Maintain Firm Notification Request

Organization CRD#: 0000	Organization Name: SECURITIES FIRM
Organization SEC#:	Applicant Name: SECURITIES FIRM

Contact Name	<input style="width: 95%;" type="text"/>
Contact Phone Number	<input style="width: 95%;" type="text"/>
Email Address	<input style="width: 95%;" type="text"/>
Notification Types	Registration <input type="checkbox"/> Notify when an individual's examination status changes <input type="checkbox"/> Notify when an individual has a fingerprint updated with a status of ILEG - BD Only <input type="checkbox"/> Notify when an individual's registration is Inactive Prints with the Firm - BD Only <input type="checkbox"/> Notify when an individual's registration request is T_NOU5 <input type="checkbox"/> Notify when an individual with deficient registration is Eligible to Purge within the next 30 days <input type="checkbox"/> Notify when an individual has a fingerprint updated with a status of RAPP - BD Only

3. Select the box(es) to specify notification type (FINRA Member Firms should select, at a minimum, the five notifications specified on page 2.)
4. Click **Save**.

To stop notifications, follow the steps listed below:

1. Click the **NFI Organization Search**
2. Click **Firm Notification**
3. Click the **Email Address** link for the contact information you would like to update.
4. Select the box(es) of the notification(s) you would like to stop.
5. Click **Save**.

NOTE: FINRA will contact a firm if there is a non-deliverable e-mail address listed on the *Firm Notification Information* screen. If the firm cannot be contacted or if a valid e-mail address can not be obtained, FINRA will disable the Firm Notification for that specific e-mail address. The firm will need to contact the Registration and Disclosure Department to re-enable the Firm Notification.