

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

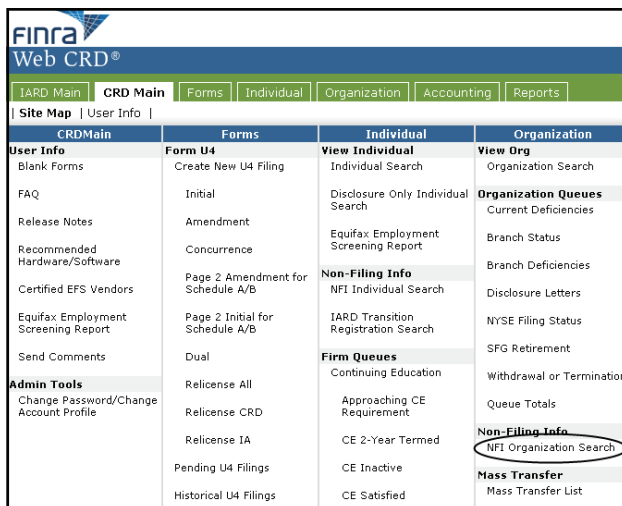
There are two ways to access the **Firm Notification** functionality in Web CRD:

**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.

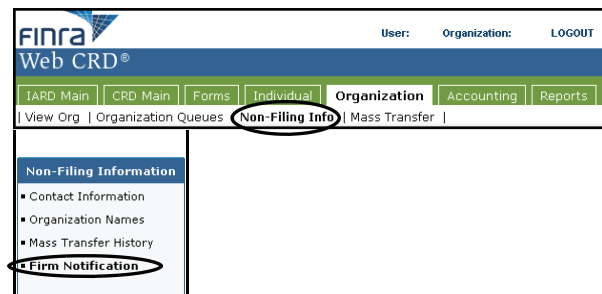
OR

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.



The screenshot shows the Web CRD site map with the 'Organization' tab selected. The 'Non-Filing Info' section is highlighted, and 'NFI Organization Search' is circled in red.

CRDMain	Forms	Individual	Organization
<b>User Info</b>	<b>Form U4</b>	<b>View Individual</b>	<b>View Org</b>
Blank Forms	Create New U4 Filing	Individual Search	Organization Search
FAQ	Initial	Disclosure Only Individual Search	<b>Organization Queues</b>
Release Notes	Amendment	Equifax Employment Screening Report	Branch Status
Recommended Hardware/Software	Concurrence	<b>Non-Filing Info</b>	Branch Deficiencies
Certified EFS Vendors	Page 2 Amendment for Schedule A/B	NFI Individual Search	Disclosure Letters
Equifax Employment Screening Report	Page 2 Initial for Schedule A/B	IARD Transition Registration Search	NYSE Filing Status
Send Comments	Dual	<b>Firm Queues</b>	SFG Retirement
<b>Admin Tools</b>	Relicense All	Continuing Education	Withdrawal or Termination
Change Password/Change Account Profile	Relicense CRD	Approaching CE Requirement	Queue Totals
	Relicense IA	CE 2-Year Termed	<b>Non-Filing Info</b>
	Pending U4 Filings	CE Inactive	NFI Organization Search
	Historical U4 Filings	CE Satisfied	<b>Mass Transfer</b>
			Mass Transfer List



The screenshot shows the Web CRD toolbar with the 'Organization' tab selected. The 'Non-Filing Info' sub-menu is open, and 'Firm Notification' is circled in red.

Organization
View Org
Organization Queues
<b>Non-Filing Info</b>
Mass Transfer

Non-Filing Information

- Contact Information
- Organization Names
- Mass Transfer History
- Firm Notification**

**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 30 Firm Notification Types that can be requested. They are:

<p><b>Registration</b></p> <p><input type="checkbox"/> Notify when an individual's examination status changes</p> <p><input type="checkbox"/> Notify when an individual has a fingerprint updated with a status of ILEG - BD Only</p> <p><input type="checkbox"/> Notify when an individual's registration is Inactive Prints with the Firm - BD Only</p> <p><input type="checkbox"/> Notify when an individual's registration request is T_NOU5</p> <p><input type="checkbox"/> Notify when an individual with deficient registration is Eligible to Purge within the next 30 days</p> <p><input type="checkbox"/> Notify when an individual has a fingerprint updated with a status of RAPP - BD Only</p> <p><input type="checkbox"/> Notify when an individual's registration request has been Denied.</p> <p><input type="checkbox"/> Notify when an individual's registration has been Revoked.</p> <p><input type="checkbox"/> Notify when a registered individual enters Firm Temporary Registration Cancellation Queue</p> <p><input type="checkbox"/> Notify when a U5 is submitted by another firm</p> <p><b>Disclosure</b></p> <p><input type="checkbox"/> Notify when a Bankruptcy has expired for a registered individual with the firm</p> <p><input type="checkbox"/> Notify when a Customer Complaint has expired for a registered individual with the firm</p> <p><input type="checkbox"/> Notify when a U6 is filed against a registered firm</p> <p><input type="checkbox"/> Notify when a U6 is filed against an individual registered with the firm</p> <p><input type="checkbox"/> Notify when a registered individual enters Firm Outstanding Disclosure Letters Notice Queue</p> <p><b>CE</b></p> <p><input type="checkbox"/> Notify when a registered individual is within 30 days of the end of his or her CE Required window - BD Only</p> <p><input type="checkbox"/> Notify when a registered individual is within 90 days of the end of his or her CE Required window - BD Only</p> <p><input type="checkbox"/> Notify when registered individuals receive an INCOMPLETE result for a CE session - BD Only</p> <p><input type="checkbox"/> Notify when a registered individual enters Firm CE Inactive Queue - BD Only</p> <p><b>Other</b></p> <p><input type="checkbox"/> Notify when Firm account balance is 'Deficient'</p> <p><input type="checkbox"/> Notify when firm account balance has gone below \$0.00</p> <p><input type="checkbox"/> Notify when firm account balance has gone below \$10,000.00</p> <p><input type="checkbox"/> Notify when firm account balance has gone below \$3,000.00</p> <p><input type="checkbox"/> Notify when firm account balance has gone below \$500.00</p> <p><input type="checkbox"/> Notify when firm has an outstanding Form BD deficiency</p> <p><input type="checkbox"/> Notify when a filing has failed submission</p> <p><input type="checkbox"/> Notify when a registered individual enters Other Firm U4 Filing Notice Queue</p> <p><input type="checkbox"/> Notify when registered individuals are within 10 days of CE Inactive or Prints Inactive statuses</p> <p><b>Branch</b></p> <p><input type="checkbox"/> Notify when a branch registration is approved</p> <p><input type="checkbox"/> Notify when a branch is deficient</p>
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The 3 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 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

<b>Organization CRD#:</b> <a href="#">0000</a>		<b>Organization Name:</b> SECURITIES FIRM		
<b>Organization SEC#:</b>		<b>Applicant Name:</b> SECURITIES FIRM		

Contact Name	Phone Number	Email Address	Notification Type(s)	Disabled
JOHN DOE	555-555-5555	<a href="mailto:john.doe@securitiesfirm.com">john.doe@securitiesfirm.com</a>	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

<b>Organization CRD#:</b> <a href="#">0000</a>		<b>Organization Name:</b> SECURITIES FIRM	
<b>Organization SEC#:</b>		<b>Applicant Name:</b> SECURITIES FIRM	

<b>Contact Name</b>	<input style="width: 95%;" type="text"/>
<b>Contact Phone Number</b>	<input style="width: 95%;" type="text"/>
<b>Email Address</b>	<input style="width: 95%;" type="text"/>
<b>Notification Types</b>	<b>Registration</b> <ul style="list-style-type: none"> <li><input type="checkbox"/> Notify when an individual's examination status changes</li> <li><input type="checkbox"/> Notify when an individual has a fingerprint updated with a status of ILEG - BD Only</li> <li><input type="checkbox"/> Notify when an individual's registration is Inactive Prints with the Firm - BD Only</li> <li><input type="checkbox"/> Notify when an individual's registration request is T_NOUS</li> <li><input type="checkbox"/> Notify when an individual with deficient registration is Eligible to Purge within the next 30 days</li> <li><input type="checkbox"/> Notify when an individual has a fingerprint updated with a status of RAPP - BD Only</li> <li><input type="checkbox"/> Notify when an individual's registration request has been Denied</li> </ul>

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.