

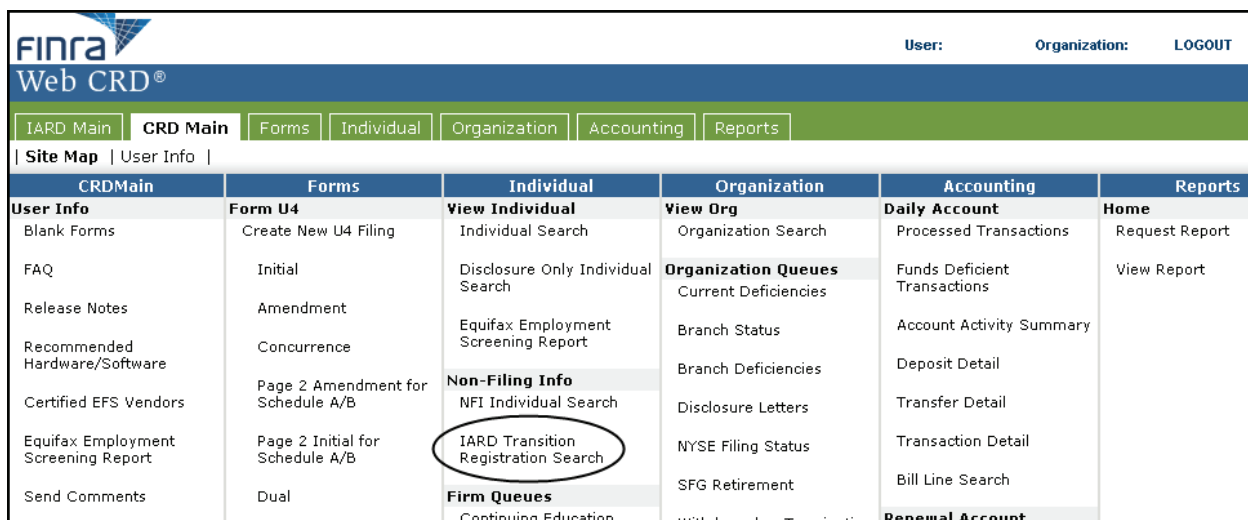
Investment Adviser Representative (Registered Adviser (RA)) Transition is the function in Web CRD® that provides entitled firm users from Investment Adviser-only firms and Broker-Dealer/Investment Adviser firms (joint firms) with the capability of transitioning existing RAs onto Web CRD. Transitioning is for existing RAs who are already registered or licensed in a state(s) through paper filings. Firms must transition RAs currently registered with a state(s) that mandates electronic registrations. If the RAs are not currently registered with a mandated state(s), firms may transition those RAs on a voluntary basis. The Transition Filing adds the individual's current RA registrations onto Web CRD, while ensuring that the firm is not charged for state registration fees it has previously paid. A one-time, non-refundable FINRA Initial Set-up Fee of \$30 is charged for each individual when a firm transitions a currently registered RA. The firm's account must be SUFFICIENT in order to submit an RA Transition Filing. Access Web CRD at <https://crd.finra.org>.

Transitioning an Existing RA onto Web CRD

An Account Administrator must give entitlement for the following privileges:

- CRD
- View Individual
- Individual Non-Filing Information
- IARD Transition Registrations

1. Click the **CRD Main** tab on the toolbar.
2. Click the **IARD Transition Registration Search** link from the Individual column of the Web CRD Site Map.



FINRA Web CRD®					
User: Organization: LOGOUT					
IARD Main CRD Main Forms Individual Organization Accounting Reports					
Site Map User Info					
CRDMain	Forms	Individual	Organization	Accounting	Reports
User Info	Form U4	View Individual	View Org	Daily Account	Home
Blank Forms	Create New U4 Filing	Individual Search	Organization Search	Processed Transactions	Request Report
FAQ	Initial	Disclosure Only Individual Search	Organization Queues	Funds Deficient Transactions	View Report
Release Notes	Amendment	Equifax Employment Screening Report	Branch Status	Account Activity Summary	
Recommended Hardware/Software	Concurrence	Non-Filing Info	Branch Deficiencies	Deposit Detail	
Certified EFS Vendors	Page 2 Amendment for Schedule A/B	NFI Individual Search	Disclosure Letters	Transfer Detail	
Equifax Employment Screening Report	Page 2 Initial for Schedule A/B	IARD Transition Registration Search	NYSE Filing Status	Transaction Detail	
Send Comments	Dual	Firm Queues	SFG Retirement	Bill Line Search	
		Continuing Education	Withdrawal or Termination	Renewal Account	

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

3. Enter identifying information on the *Transition Registration Search Criteria* screen.
4. Click **Search**.

? Printer Friendly

Non-Filing Information

- NFI Individual Search
- IARD Transition Registration Search

Transition Registration Search Criteria

Search by CRD Number

CRD Number :

Search by Social Security Number

SSN (xxx-xx-xxxx):

Search by Name

Last Name:

Middle Name:

First Name:

Perform "sounds-like" search

Filter by Other Information

Birthdate (mm/dd/yyyy):

Select Number of Rows

Number of Rows per Page:

5. If a match is made, click the **Name** hyperlink, **or**, if no match is made, complete the **Create a New Individual** section.

When completing the Create a New Individual section, make sure you enter the Social Security Number twice. Suffix and Middle Name are optional.

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Non-Filing Information

- NFI Individual Search
- IARD Transition Registration Search

Transition Registration Search Results

<<Previous Next>>
 Rows 1 to 22

Name	CRD	Birth Date
DOE, JOHN A	1111111	03/03/1968

<<Previous Next>>
 Rows 1 to 22

Create a New Individual

SSN:	<input style="width: 90%;" type="text"/>	SSN (again):	<input style="width: 90%;" type="text"/>
Last Name:	DOE	First Name:	JOHN
Middle Name:	<input style="width: 90%;" type="text"/>	Suffix:	<input style="width: 90%;" type="text"/>
Birth Date:	<input style="width: 90%;" type="text"/> (MM/DD/YYYY)		

7. Complete the **NFI Transition Request** in its entirety. Make sure you place a check mark in the RA box(es) for each jurisdiction with which the individual wishes to transition.

NOTE: Broker-Dealer/Investment Adviser (Joint Firms)-If the individual you wish to transition is currently registered with your firm as a Broker-Dealer Agent (AG), only the **Jurisdiction** section of the *NFI Transition Registration Request* screen will appear.

8. Click **Submit Request**.

NFI Transition Registration Request	
Individual CRD#: 1111111	Individual Name: DOE, JOHN, A
Firm CRD # : 0000	Firm Name : SECURITIES FIRM
<input type="button" value="Submit Request"/>	
<p style="color: red;">When you submit the U4 amendment as part of the RA Transition Process, you should complete the amendment in its entirety and submit it immediately to Web CRD/IARD. A partially completed amendment, saved as a "Pending Filing", will be stored as a read only version if a jurisdiction updates the RA's status before you have submitted the completed filing. If this happens, you can't continue processing the saved filing and would need to restart the entire amendment process.</p>	
Employment Information	
Individual SSN:	xxx-xx-xxxx
Employment Start Date:	<input type="text"/>
JURISDICTION	RA
California	<input type="checkbox"/>
Florida	<input type="checkbox"/>
Kentucky	<input type="checkbox"/>
South Carolina	<input type="checkbox"/>
West Virginia	<input type="checkbox"/>
Wisconsin	<input type="checkbox"/>

If the Transition Filing was successfully submitted, the following message will appear at the top of the screen, "The transition registration request has been submitted successfully".

Once a Transition Filing has been submitted, a Form U4 Amendment must be submitted for the individual within 30 days if no current Form U4 is on file in Web CRD. The jurisdiction(s) with which the RA transitioned should be contacted for specific time guidelines.