Financial Industry Regulatory Authority

Web CRD — Jurisdiction Queues for Individuals

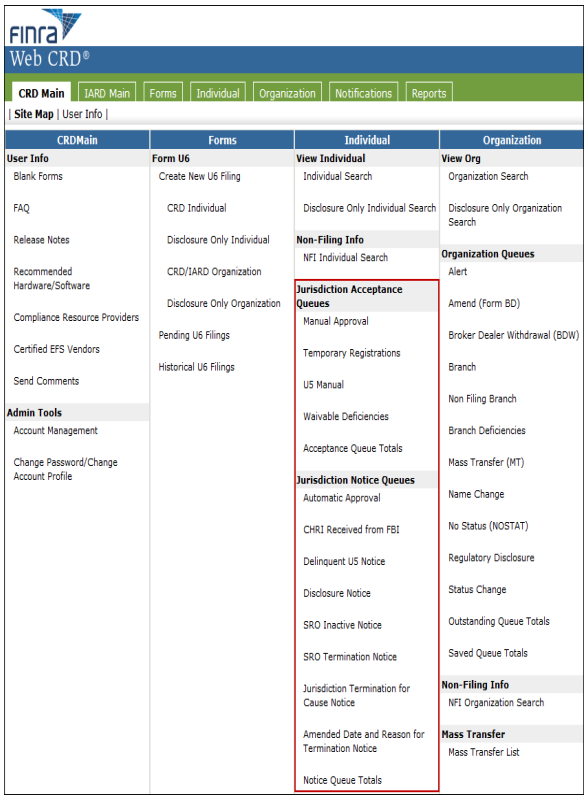
Jurisdiction Queues for Individuals provide the mechanism for jurisdictions to receive and manage registration requests for their jurisdiction, as well as, to receive status updates from Web CRD®. Access Web CRD at https://crd.finra.org.

Jurisdiction Queues consists of:

1. Acceptance Queues
2. Notice Queues

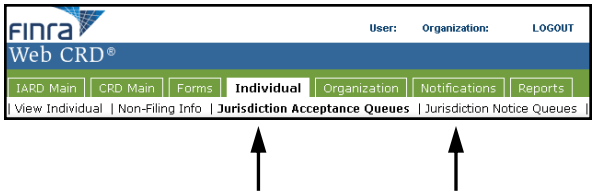
There are two ways to access **Jurisdiction Queues for Individuals** in Web CRD:

From the **Individual** section of the site map, click directly on the the link for a specific queue.



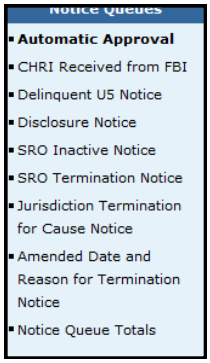
OR

Click the **Individual** tab on the toolbar.



Click **Jurisdiction Acceptance Queues** or **Jurisdiction Notice Queues** from the sub-menu.

Click a specific queue from the navigation bar to the left of the screen.



NOTE: The Jurisdiction individual Notice and Acceptance Queues have separate entitlements. This enables Account Administrators to designate specific users entitlement to review individual updates (Notice) and to change registration statuses (Acceptance) separately.

Questions on Web CRD? Call Regulatory User Support at **240-386-4242**
8 A.M. - 8 P.M, ET, Monday through Friday.

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Acceptance Queues

Acceptance Queues allow regulators to monitor registration requests, make registration status changes for individuals that are registered with their jurisdiction, and change the basic review method or relicensing review method for individuals that are registered with their jurisdiction.

- **Manual Approval:** Lists individuals with registrations that the jurisdiction must manually approve. A registration status can be updated as follows: Approved, Abandoned, Denied, Pending, Rejected or Restricted Approval. The registration requests in this queue have no waivable deficiencies, require manual approval, have an approved FINRA registration, and have a Pending registration status in your jurisdiction. Items leave this queue once the individual's registration status is changed to any status other than Pending.

- **Temporary Registrations:** Lists individuals holding a 30 day temporary relicensing registration. The jurisdiction may manually approve these registrations or the jurisdiction may elect to let the 30 days expire, which allows Web CRD to automatically approve the registration. Registration requests in this queue have an approved FINRA registration, no waivable deficiencies, relicensing registration with the temporary registration page completed and the relicensing method allowed for temporary approval.

- **U5 Manual:** Lists U5 requests that a regulator has blocked or stopped from occurring automatically. The registration status of these individuals is Termination Requested.

- **Waivable Deficiencies:** Lists individuals with registration deficiencies that the jurisdiction can clear (Exam, Dual, FINRA-AR, etc.). The registration requests in this queue do not have non-waivable deficiencies (Disclosure, Fingerprint, etc.) and have approved FINRA registrations.

- **Acceptance Queue Totals:** Lists of all the Acceptance Queues with the number of broker-dealer agents (AG) and RAs in each queue.

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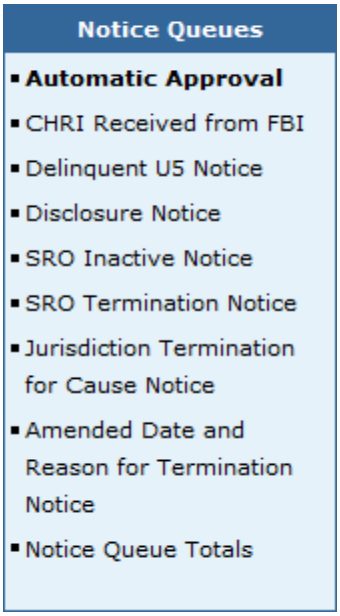
Notice Queues

Notice Queues allow regulators to monitor status updates for individuals registered in their jurisdiction.



- **Automatic Approval:** Lists notices of registrations that have been automatically approved in the jurisdiction. Notices remain in this queue, unless they are manually deleted.
- **CHRI Received from FBI:** Lists all individuals registered or registering with the jurisdiction that have Criminal History Record Information. This queue includes a fingerprint barcode hyperlink that links to the CHRI. Specific CHRI entitlement is required for access to this queue.
- **Delinquent U5 Notice:** Lists AGs and RAs whose current employers have filed a Form U4 - Relicense filing, but whose prior employers have yet to file U5 form filings.
- **Disclosure Notice:** Lists notices of disclosure filings against individuals with registrations in the jurisdiction. Notices remain in this queue unless they are manually deleted.
- **SRO Inactive Notice:** Lists notices of individuals that have an inactive registration(s) due to a registration status of Inactive Prints, CE Inactive or Suspension. Notices remain in this queue until the status changes to a status that is not inactive.
- **SRO Termination Notice:** Lists notices of individuals who are registered in your jurisdiction and who have had registration(s) terminated by an SRO without filing a Form U5. Notices remain in this queue for 30 days, unless they are manually deleted.
- **Jurisdiction Termination for Cause Notice:** Lists notices of individuals who have been terminated for cause (e.g., Discharged, Permitted to Resign or Other) or have a **Yes** answer(s) and DRP(s) submitted on a full Form U5.
- **Amended Date and Reason for Termination Notice:** Lists all individuals who are registered with the jurisdiction or were registered with the jurisdiction and have had either the date or the reason for termination updated on a U5 Amendment filing.
- **Notice Queue Totals:** Lists six of the Notice Queues with the number of AGs and RAs in each queue.

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Performing a Search

Before working an Acceptance Queue or a Notice Queue, you must first perform a search. The *Search Criteria* screen allows you to filter your search to customize your results.

Choose your search criteria by selecting the appropriate radio buttons, if applicable, enter identifying information.

Select **Display Queue** to view the queue.

Search Tips

- Certain radio button selections require the completion of a corresponding a text box (e.g., for example, **Firm CRD #:**, **Individual CRD #**)

- For queues that search by date range, the range can be from 30 to 60 days, depending on the queue.

Working Acceptance Queues

In the Acceptance Queues, you can:

- Review individual information:
  - View an individual's CRD record by clicking the CRD number.
  - View any Regulatory Notes by clicking Y under Regulatory Note.
  - View an individual's Basic Review and Relicensing method in your jurisdiction by clicking the individual's name under Name/Review Method.
  - View the firm's CRD record by clicking the firm's CRD number.

- Change the individual's Registration Status.

- Change or add a Registration Status Note.

- Change the Review or Relicensing method.

Working Notice Queues

In the Notice Queues, you can:

- Review individual information:
  - View the individual's CRD record by clicking the CRD number.
  - View any Regulatory Notes by clicking Y under Regulatory Note.
  - View the firm's CRD record.
- Remove an entire page of notices from the queue.

Tips for Using Acceptance and Notice Queue Totals

- Access **Acceptance Queue Totals**, or **Notice Queue Totals** from the navigation bar.
- Check Queue Totals first to determine if there are items listed that need reviewing.
- Click the **AG Count** or **RA Count** link of the desired queue, to access the *AG Subtotals or RA Subtotals* screen.

Note: The refresh process can be time-intensive and can only be performed once every 60 minutes.

Total Items In Acceptance Queues

Queue	AG Count	RA Count	Last Refreshed
Manual Approval Queue	79	66	6/10/2014 11:26:57 AM [Refresh]
Temporary Registrations Queue	15	0	6/10/2014 11:26:57 AM [Refresh]
U5 Manual Queue	7	0	6/10/2014 11:26:59 AM [Refresh]

Queue	Dual	Dual AG/RA	Exam	AR Registration	Last Refreshed
Waivable Deficiencies Queue	0	0	289	0	6/10/2014 11:28:04 AM [Refresh]

- Click **Refresh**, on far right of the screen, to update the item count totals.