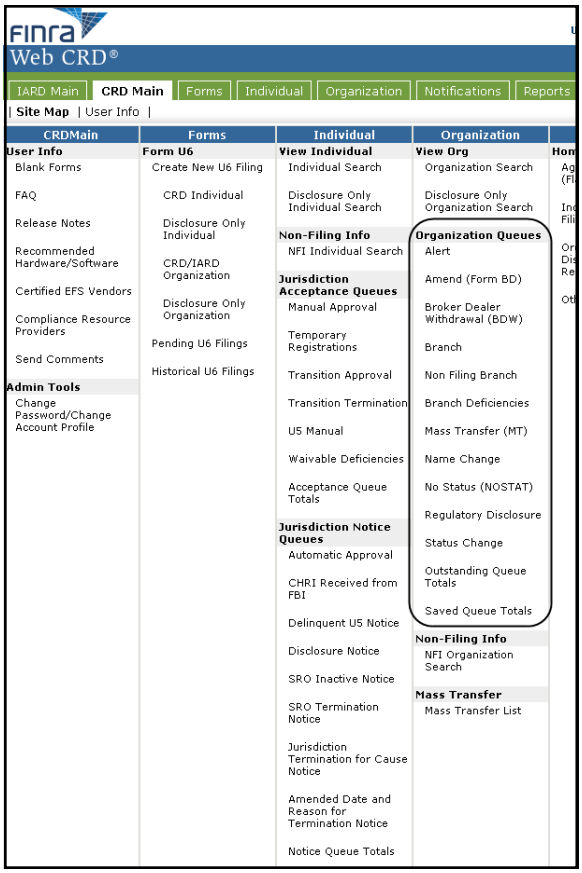
Financial Industry Regulatory Authority

Web CRD — Jurisdiction/SRO Queues for Organizations

The **Jurisdiction/SRO Queues for Organizations** provide the mechanism for jurisdictions and SROs to receive notifications of broker-dealer form filings, branch form filings, registration status changes, outstanding filing deficiencies, disclosure information and mass transfers, as well as, changes to a registrations status. Access Web CRD® at https://crd.finra.org.

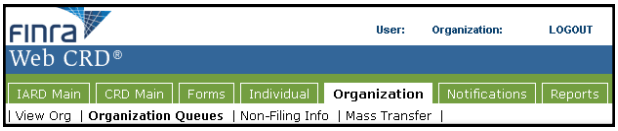
There are two ways to access the **Jurisdiction/SRO Queues for Organizations** in Web CRD.

1. From the **Organization** section of the Web CRD Site Map, click directly on the hyperink for a specific queue.



OR

1. Click the **Organization** tab on the toolbar.



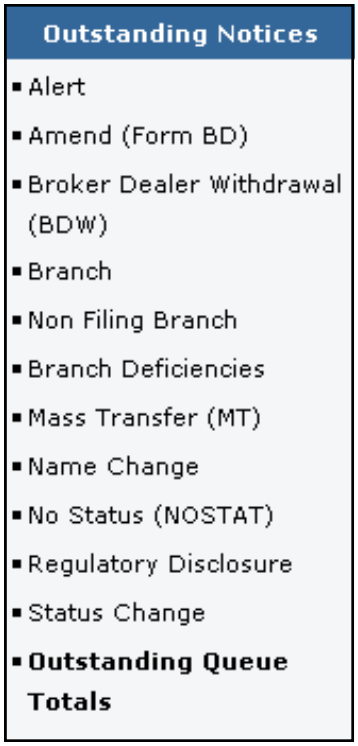
2. Click **Organization Queues** on the sub menu.
3. Click a specific queue on the navigation bar.

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

©2013. FINRA. All rights reserved. Materials may not be reprinted or republished without the express permission of FINRA. Individuals, firms, and data mentioned in these materials are fictitious and are presented exclusively for purposes of illustration or example.

Jurisdiction/SRO Organization Queue Types

There are 11 types of Jurisdiction/SRO queues.



1. **Alert:** Lists notices of broker-dealers who have not corrected deficiencies within 30, 60 or 90 days. Notices are automatically deleted after 120 days.

2. **Amend (Form BD):** Lists notices of Form BD filings pertaining to firms with one of the following statuses: No Status, Approved, Termination Requested, or Pending Approval. Branch amendments will appear in the Branch queue only and not in the Amend queue. Notices are automatically deleted after 30 days.

3. **Broker-Dealer Withdrawal (BDW):** Lists notices of broker-dealer full or partial withdrawal requests from the user's state or SRO. The status of these firms is Termination Requested. Notices are automatically deleted after 120 days.

4. **Branch:** Notifies the regulator of Form BR filings made for a branch located within a jurisdiction. For SROs, the queue lists all Form BR filings made for branches that registered or notice filed with the SRO. Notices are automatically deleted after 120 days.

5. **Non Filing Branch:** Lists notices of branches whose branch status has changed without a Form BR filing. Notices are automatically deleted after 30 days.

6. **Branch Deficiencies:** Notifies the regulator of deficiencies for each branch office.

7. **Mass Transfer (MT):** Notifies the regulator of the status of Mass Transfers scheduled for firms in that jurisdiction.

8. **Name Change:** Lists notices of broker-dealer name changes. Notices are automatically deleted after 30 days.

9. **No Status:** Lists notices of broker-dealer filings pertaining to firms with a No Status registration status. Notices are automatically deleted after 120 days.

10. **Regulatory Disclosure:** Lists notices of disclosure actions taken by other jurisdictions, the SEC, FINRA, and other SROs through a Form U6. Notices are automatically deleted after 30 days.

11. **Status Change:** Lists notices of registration status changes. Regulators will see all changes that terminate broker-dealers. Notices are automatically deleted after 30 days.

Copyright 2013. FINRA

12. **Outstanding Queue Totals**: Llists all of the queues with the number of items in each queue.

NOTE: SEC users do not have the following queues: Branch, Non Filing Branch, Branch Deficiencies and No Status. SEC users do have a Holding queue.

Working the Queues

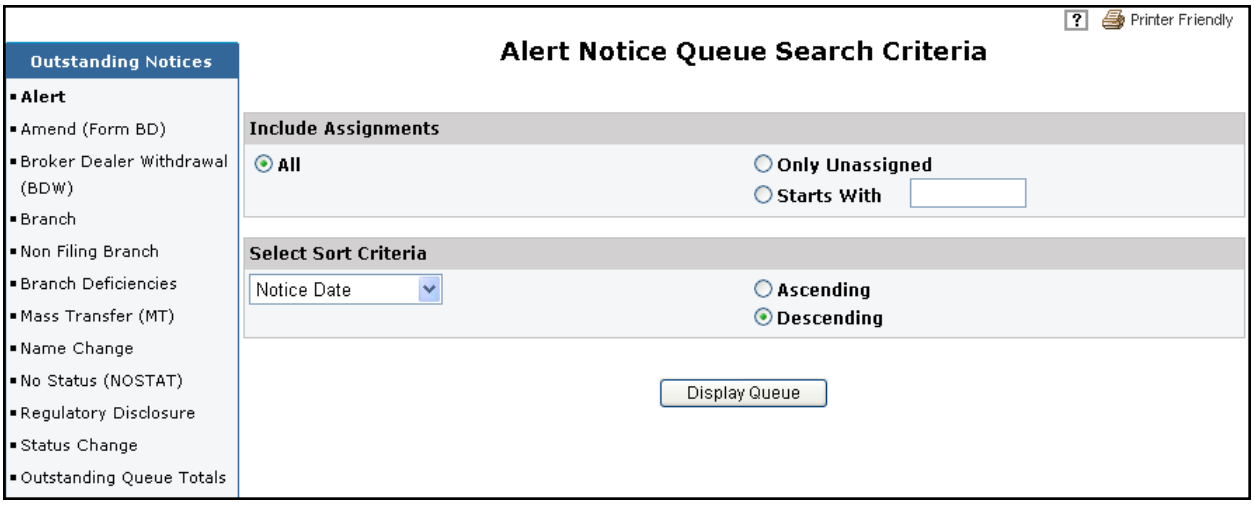
In Organization Queues, you can:

- Sort queue notices
- Review notices
- Change a registration status, if applicable
- Send a notice from the Outstanding Notice Queue to the Saved Notice Queue
- Remove items from the queue

Sorting the Notice Queues

A) You can filter your search to include:
- All Assignments: displays all notices in the queue, regardless of the individual the notice is assigned to
- Only Unassigned
- Starts With: displays notices in the queue assigned to a specific person

B) To review only those notices that are assigned to you:
1. Click the **Starts With** radio button.
2. Enter the first letter of your last name in the text box.
3. Click **Display Queue**.

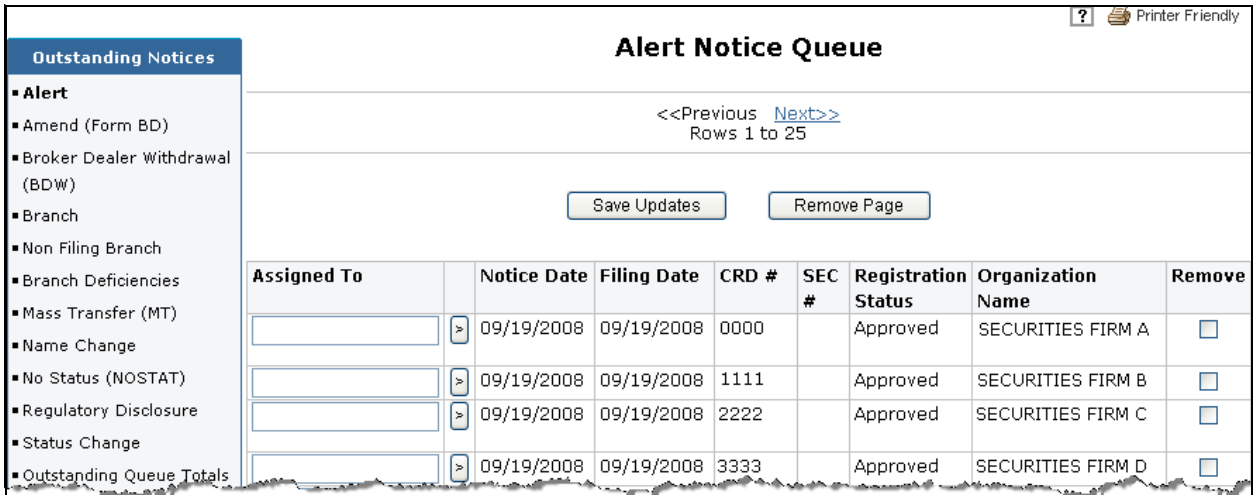


C) You can also select to sort the results by specific column headings in ascending or descending order:
- Assigned To
- Notice Date
- Filing Date
- CRD #
- SEC #
- Registration Status
- Organization Name

Copyright 2013. FINRA

Working the Queues Notices

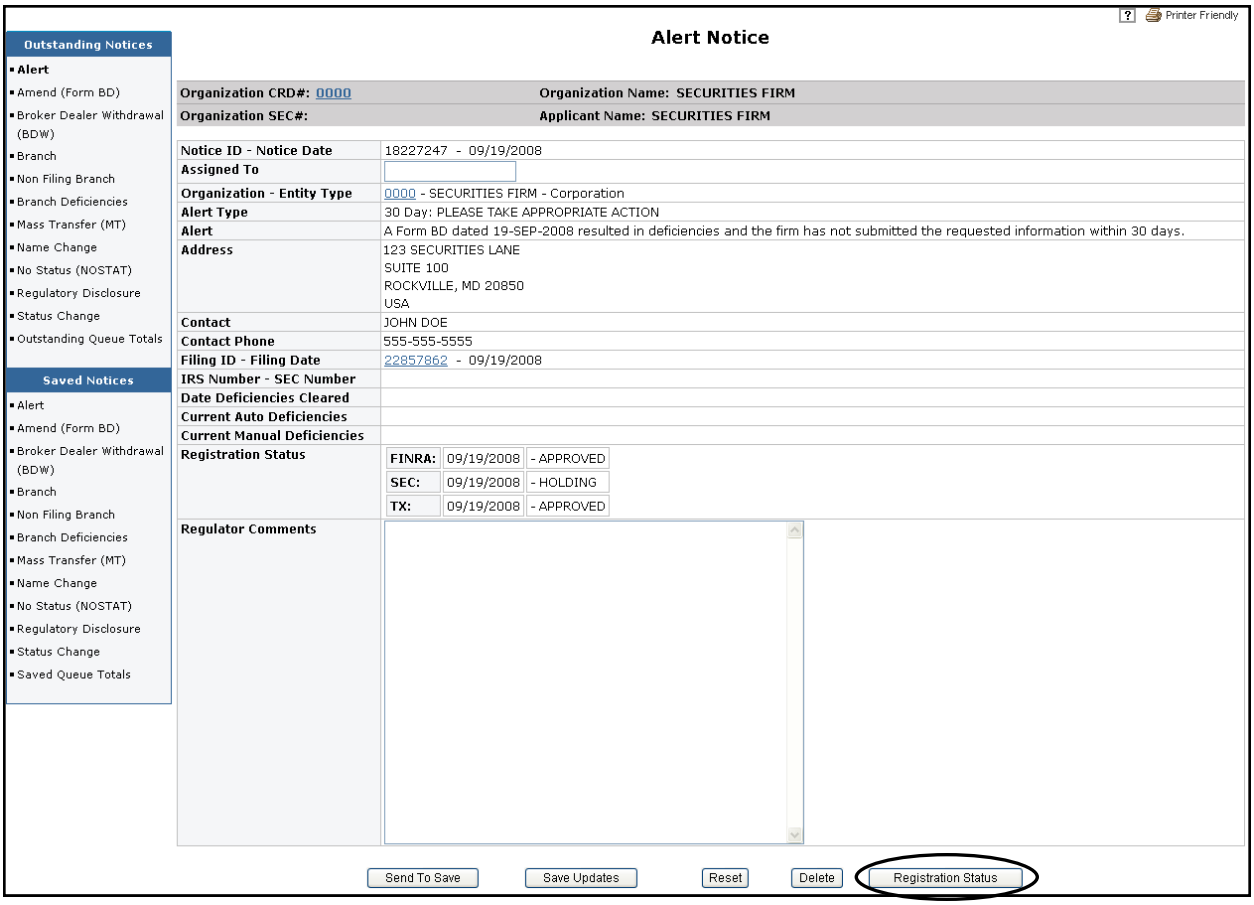
- You may assign queue items to staff members by entering the staff member's name in the **Assigned To** field and clicking **Save Updates**.
- Click the arrow in the gray box to display details of the *Notice Queue* screen.
- Select the **Remove** box and click **Save Updates** to remove a specific notice from the queue.
- Click **Remove Page** to remove all of the notices on the page.



Tips for Working a *Notice* Screen

- Click the **Firm's CRD number** to view the firm's record in View Organization
- Click **Send to Save** to remove the notice from the Outstanding Notice Queue and place it into the Saved Notice Queue to work on at a later time.
- Click **Save Updates** to save the current content of Regulator Comments and the check marks that indicate that you reviewed the section or deficiency.
- Click **Registration Status** to bring up the screen to change the registration status of the firm. Clicking this button links you to the **Non Filing Information** section for **Organizations**.

An example of an *Alert Notice* screen in shown on page 5.



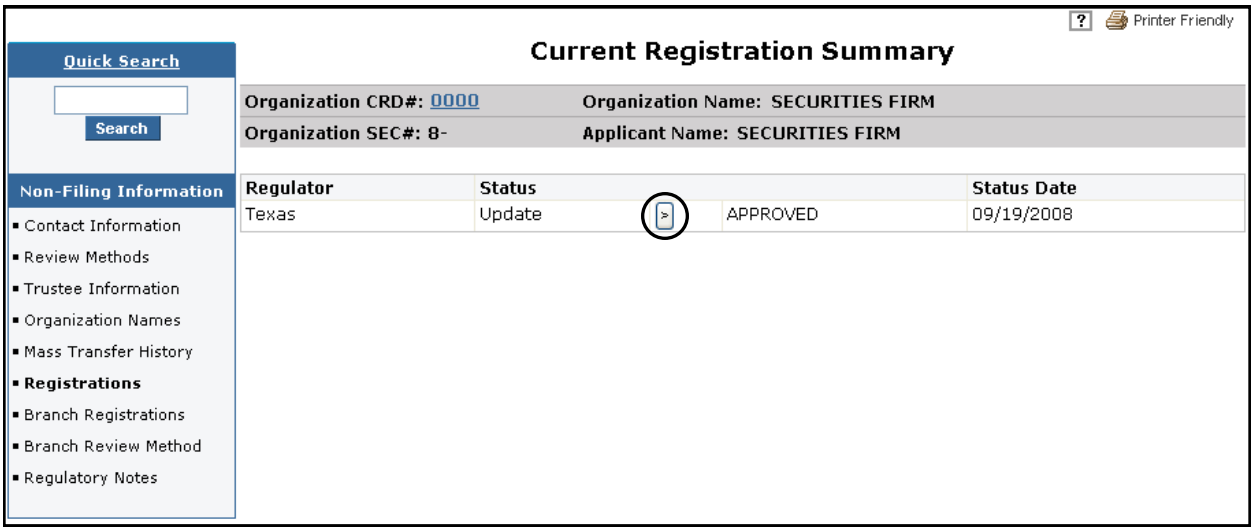
Changing a Firm's Registration Status

Changing a firm's registration status must be completed in the Non Filing Info queues of Web CRD. Clicking **Registration Status** from a *Notice* screen will allow you to access the Non Filing Info queues.

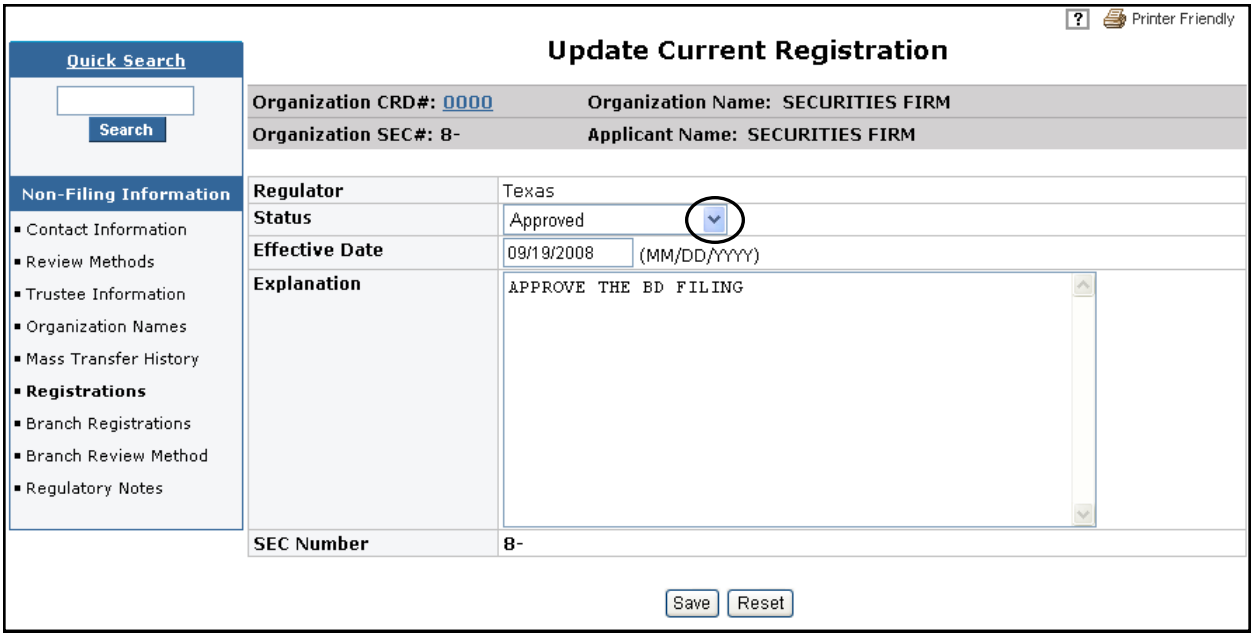
To change a firm's registration, complete the following steps.

1. From the *Notice* screen click **Registration Status**.

2. From the *Current Registration Summary* screen, click the **Status Update** arrow in the gray box to access the *Update Current Registration* screen.



3. From the *Update Current Registration* screen, click the **Status** drop-down arrow and choose a registration status.



4. Enter an **Effective Date**.
5. Enter an **Explanation** of the status change.
6. Click **Save**.