Financial Industry Regulatory Authority

Web CRD — SRO Queues for Individuals

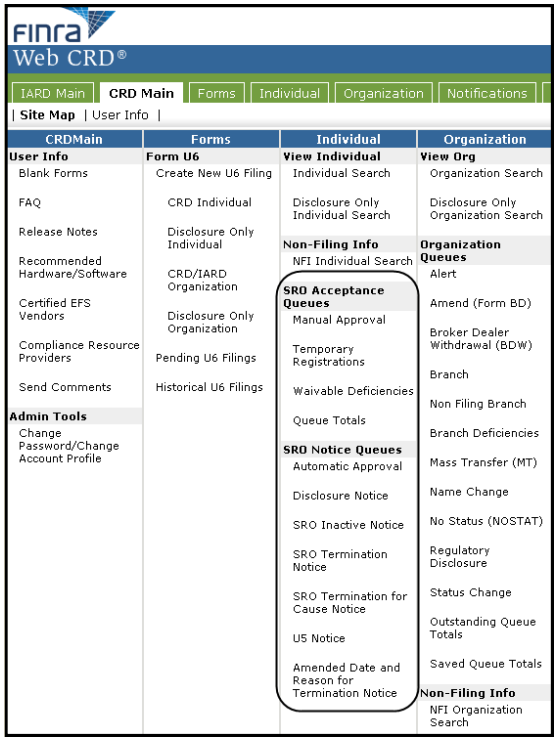
SRO Queues for Individuals provide the mechanism for SROs to receive and manage registration requests for each SRO, as well as, to receive status updates from Web CRD®. Web CRD can be accessed at https://crd.finra.org.

There are two types of SRO Queues:

1. **Acceptance Queues** allow an SRO to monitor registration requests, make registration status changes for individuals that are registered with the SRO, and change the basic review method or relicensing review method for individuals that are registered with the SRO.
2. **Notice Queues** allow an SRO to monitor status updates for individuals registered with the SRO.

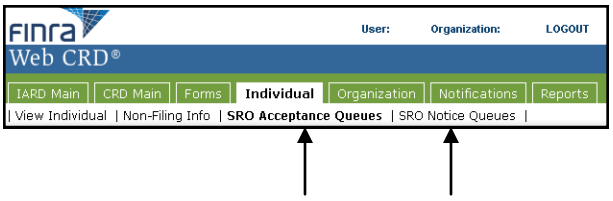
There are two ways to access SRO Queues for Individuals:

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

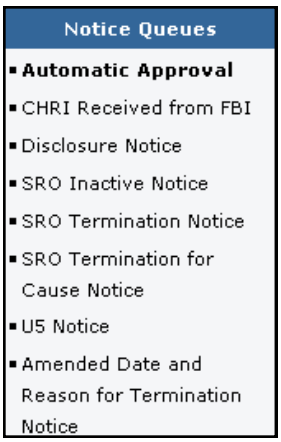


OR

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



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



NOTE: The SRO 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 the Gateway Call Center at **301-869-6699**
8 A.M. - 8 P.M., ET, Monday-Friday.

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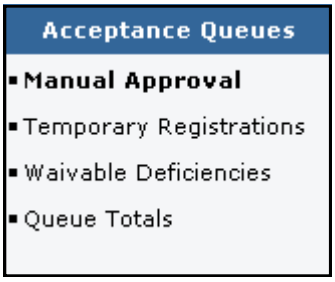
Types of SRO Acceptance Queues



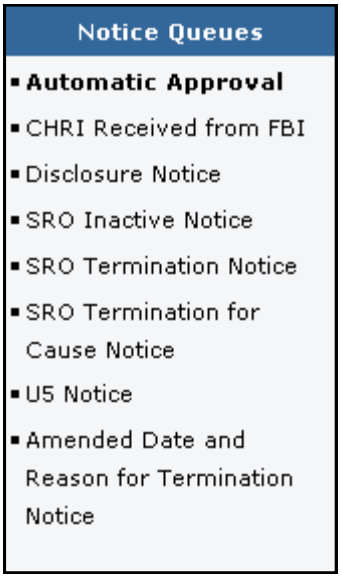
- **Manual Approval:** Lists individuals with registration requests that require manual approval. The registration requests in this queue have no waivable deficiencies, have an approved FINRA registration, and have a Pending registration status with the SRO. Registration statuses can be updated as follows: Approved, Denied, Pending, Rejected, or Restricted Approval. Items will remain in this queue until the individual's registration status is changed to any status other than Pending.

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

- **Waivable Deficiencies:** Lists individuals with registration deficiencies (Exam, Dual, Dual AG/RA and FINRA-AR and Training Periods) that an SRO can clear. The registration requests in this queue have no non-waivable deficiencies, (Disclosure and Fingerprint) and have approved FINRA registrations. Registration statuses can be updated as follows: Approved, Restricted, Denied, Rejected, or Deficient. Items remain in this queue until the status is changed to any status other than Deficient.

- **Queue Totals:** Lists the total items in the Acceptance Queues.

Types of SRO Notice Queues



- **Automatic Approval:** Lists notices of registration requests that have been automatically approved by an SRO. Notices remain in this queue until they are manually deleted.

- **CHRI Received from FBI:** Lists notices of individuals registered or requesting registration with an SRO, who have a RAPP criminal record. The **CHRI Received from FBI** queue requires specific entitlement and is only viewable by designated CHRI regulators.

- **Disclosure Notice:** Lists notices of disclosure filings against individuals with registrations within an SRO. SRO users of Web CRD can change the individual's Relicensing or Basic Review Methods from this queue. Notices will remain in this queue until they are manually deleted.

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Notice Queues

- **Automatic Approval**
- CHRI Received from FBI
- Disclosure Notice
- SRO Inactive Notice
- SRO Termination Notice
- SRO Termination for Cause Notice
- U5 Notice
- Amended Date and Reason for Termination Notice

- **SRO Inactive Notice:** Lists notices of individuals whose registration(s) is inactive due to a registration status of Inactive Prints, Inactive Continuing Education; or Suspended. Notices remain in this queue until the status is changed to a status that is not inactive.

- **SRO Termination Notice:** Lists notices of individuals who have a registration(s) with your SRO; however, have terminated by another SRO without a Form U5 filing. Notices will remain in this queue for 30 days, unless they are manually deleted.

- **SRO 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 or amended Form U5. Individuals with an updated Reason for Termination will also display in this queue.

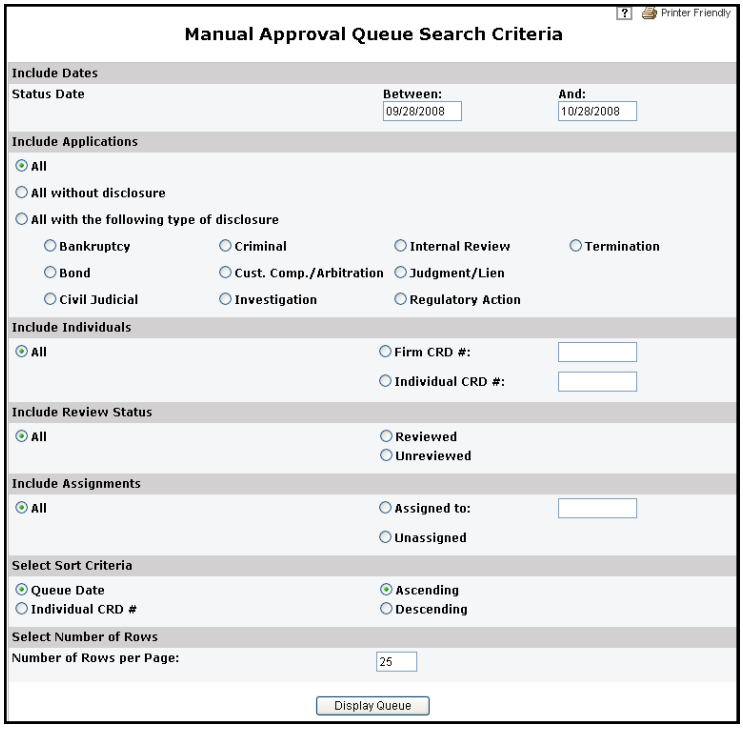
- **U5 Notice:** Lists notices of individuals who have requested a Form U5 termination within an SRO during the filing date time period selected.

- **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.

Performing a Search

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

1. Choose your search criteria by selecting the appropriate radio buttons.
2. Press the **Enter** key or click **Display Queue** to view the search results.



Search Tips:

- Certain radio button selections require the completion of a corresponding a text box (e.g., for example, **Firm CRD #:**, **Individual CRD #**)
- The maximum date range is 30 days, for queues that search by a date range.
- If the radio button for a specific type of disclosure (Bankruptcy, Bond, Criminal, etc.) is selected, Web CRD requires that the **All with the following type of disclosure** radio button be selected.

Working the Queues

In the Queues, you can:

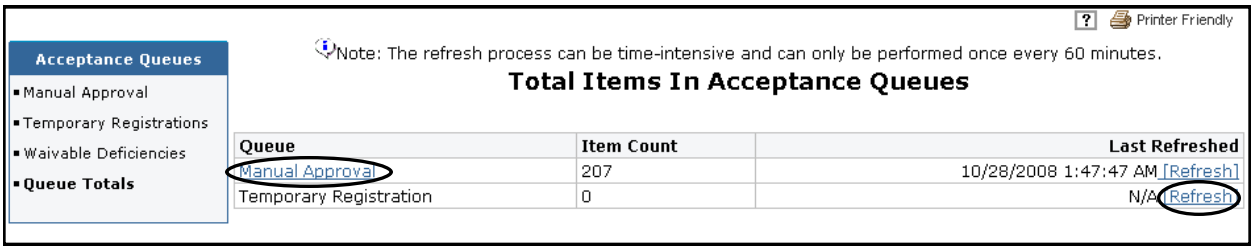
⇒ Review individual information:
- View the individual's CRD record
- View any Regulatory Notes
- View the individuals Basic Review Method and Relicensing Method in your SRO
- View the firm's CRD record

⇒ Change a Registration Status

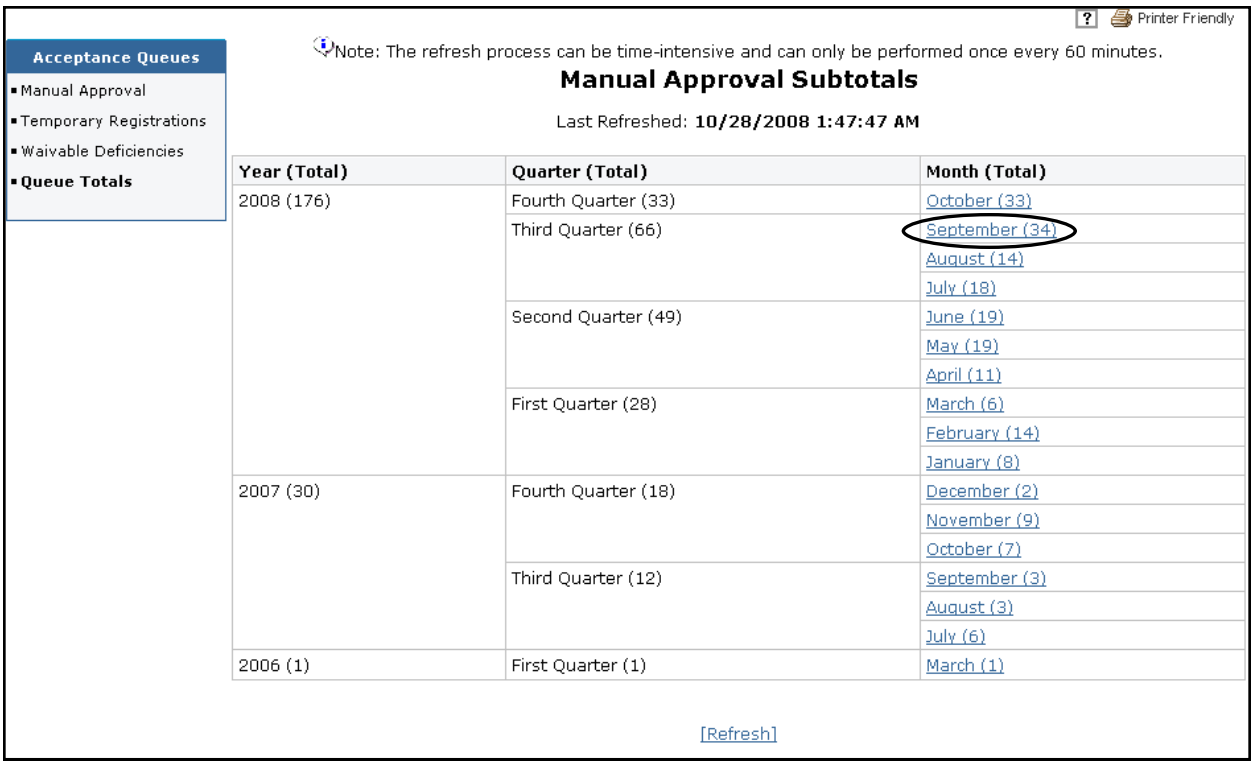
⇒ Change a review or Relicensing Method

Using Queue Totals

- Check **Queue Totals** first to determine if there are any items in the queues that need to be reviewed.
- Click the desired **Queue** link, to access specific subtotals, as shown in the example below.
- Click **Refresh**, on far right of the screen, to update the item count totals.



- Click the link for the desired month to access a specific queue(s) for that given month.



Printer Friendly

Acceptance Queues

- Manual Approval
- Temporary Registrations
- Waivable Deficiencies
- **Queue Totals**

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

Manual Approval Subtotals

Last Refreshed: **10/28/2008 1:47:47 AM**

Year (Total)	Quarter (Total)	Month (Total)
2008 (176)	Fourth Quarter (33)	October (33)
	Third Quarter (66)	September (34)
		August (14)
		July (18)
	Second Quarter (49)	June (19)
		May (19)
		April (11)
	First Quarter (28)	March (6)
		February (14)
		January (8)
2007 (30)	Fourth Quarter (18)	December (2)
		November (9)
		October (7)
	Third Quarter (12)	September (3)
		August (3)
		July (6)
2006 (1)	First Quarter (1)	March (1)

[Refresh]