Chapter Three: Getting Started with Web CRD

About this Section

This section contains introductory information for using Web CRD.

Completion Objectives

At the completion of this section the user will be able to:

- Log on Web CRD.
- Navigate through Web CRD.

In this Section

This section contains the following topics:

Topic	See Page
Steps for Logging on Web CRD	3-2
Minimum Hardware and Software Requirements	3-3
Navigating through Web CRD	3-4
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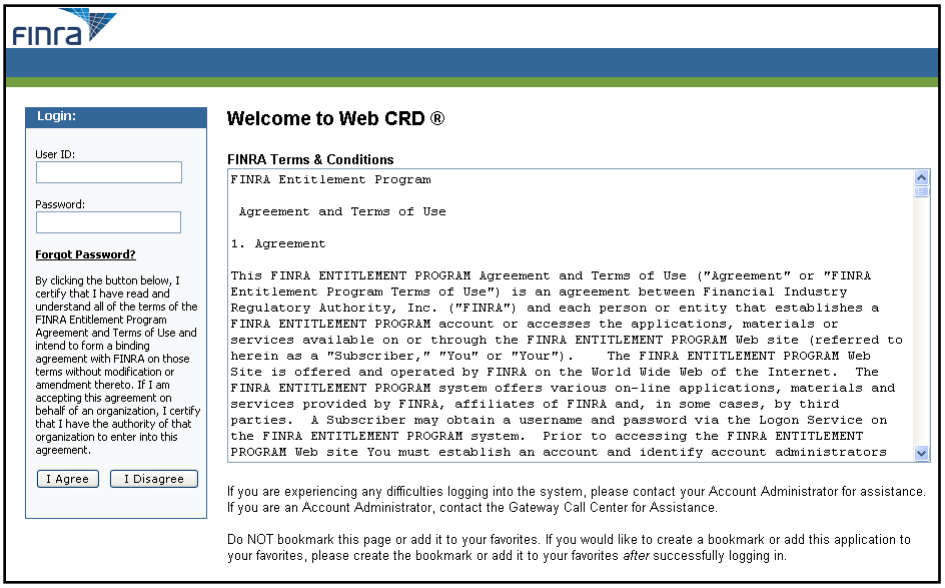
Tool Bar, Menus, Navigation Bar and Icons	3-12

Steps for Logging on Web CRD:

Logging on Web CRD

1. Type https://crd.finra.org from your web browser.

[Result:] The *Welcome to Web CRD* screen opens.



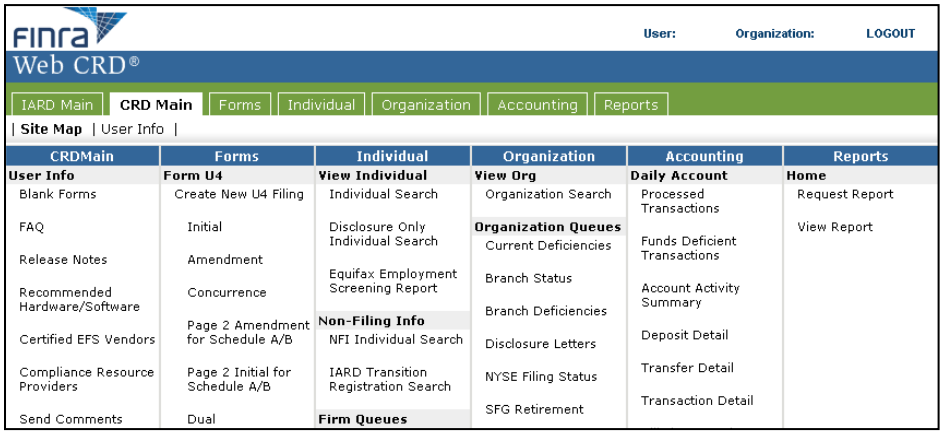
NOTE: Do NOT bookmark the Welcome to Web CRD page or add it to your favorites. If you would like to create a bookmark or add this application to your favorites, please create the bookmark or add it to your favorites *after* successfully logging in.

2. Type **User ID** and **Password** in the fields.

3. Click the **I Agree** button.

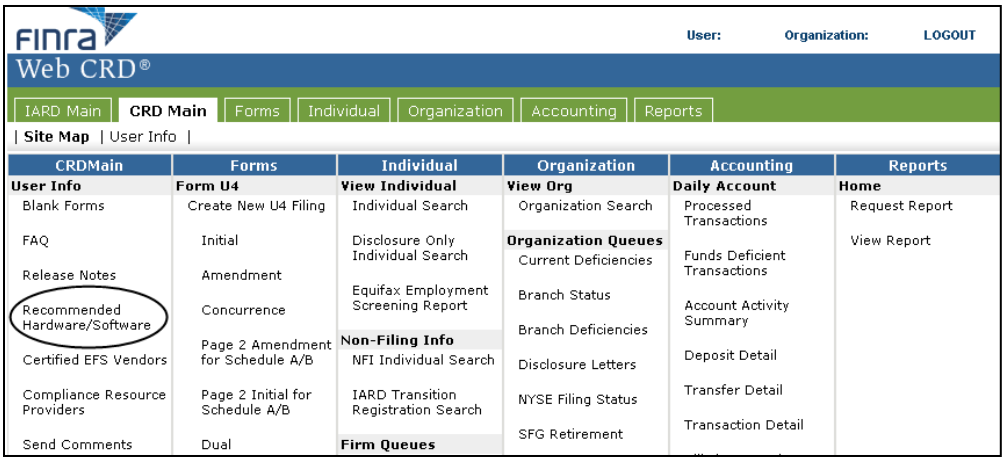
NOTE: Clicking **I Disagree** will prevent you from accessing the application.

[Result:] *The Web CRD Site Map* opens.

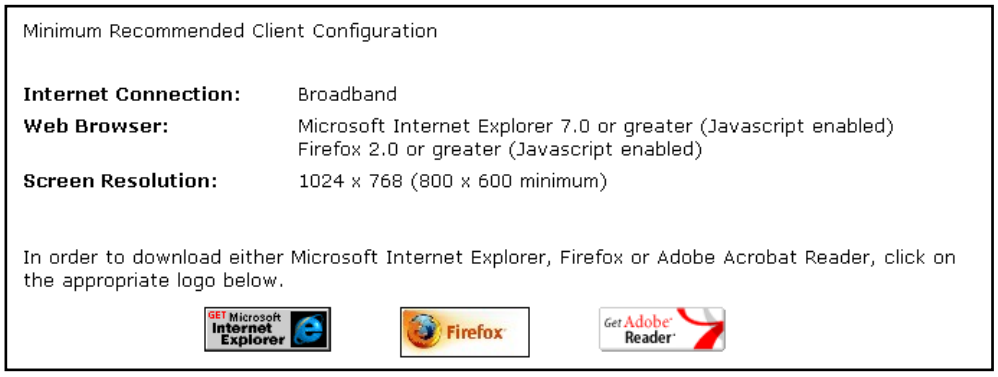


Minimum Hardware and Software Requirements

In order to maximize the efficiency of Web CRD and IARD, it is important that your computer meet the recommended hardware and software requirements for Web CRD and IARD. Users can get the most up to date information by clicking on the Recommended Hardware/Software hyperlink on both the Web CRD and IARD site maps.



[Result:] The Minimum Recommended Client Configuration screen opens.

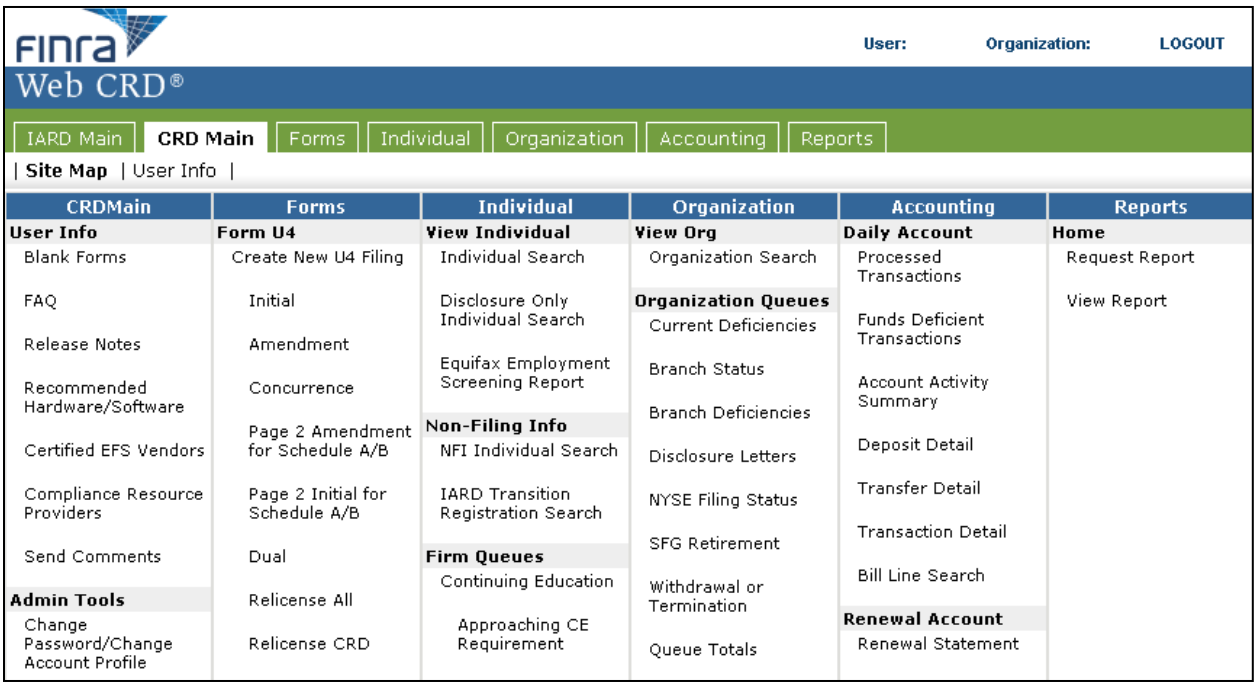


Navigating through Web CRD

Users navigate through Web CRD by using a Site Map, a Tool Bar, Menus, a Navigation Bar and Icons.

Site Map

The Site Map is the first screen after acceptance of Web CRD Terms and Conditions. The Site Map enables users to link to **User Info, Admin Tools**, **Forms**, **Individual**, **Organization**, **Accounting** and **Reports**.



Site Map

The following hyperlinks are utilized from the Web CRD Site Map:

Category	Hyperlink	Description
User Info	**Blank Forms**	Links the user to www.finra.org/crd/forms, where users can access blank PDF versions of Form U4, U5, BD, and BDW for printing purposes only.
User Info	**Broadcast Messages**	Links the user to current Web CRD and registration information.
User Info	**FAQ**	Links the user to the Frequently Asked Questions.
User Info	**Release Notes**	Links the user to all of the Release Notes for upgrades on Web CRD.
User Info	**Recommended Hardware/Software**	Links the user to the Minimum Recommended Hardware/Software Configuration.
User Info	**Certified EFS Vendors**	Links the user to the Certified EFS Vendors on the FINRA.org Web site.
User Info	**Compliance Resource Providers**	Links the user to organizations that offer FINRA firms a discount on products and services that help them comply with securities laws and regulations.
User Info	**Send Comments**	Links the user to the hyperlink to send an e-mail message to Web CRD.

Site Map (Continued)

Category	Hyperlink	Description
Admin Tools	**Account Administration**	Links the user to Account Management. Available for Account Administrators only.
Admin Tools	**Change Password/Change Account Profile**	Links the user to change their password and/or update their profile information.
U4 Form	**Create New U4 Filing**	Links the user to the U4 Filing types.
U4 Form	**Initial**	Links the user to the *Individual Search Criteria* screen for the Form U4 Initial filing for individuals who have never been registered on Web CRD or were last registered more than thirty (30) days ago with a previous firm.
U4 Form	**Amendment**	Links the user to the *Individual Search Criteria* screen for the Form U4 Amendment filing to add or change information on an individual already registered with the filing firm.
U4 Form	**Concurrence**	Links the user to the *Individual Search Criteria* screen for the Form U4 Concurrence filing to concur with information submitted by another firm on an individual also registered with the filing firm.
U4 Form	**Page 2 Amendment for Schedule A/B**	Links the user to the *Individual Search Criteria* screen for a new Page 2 Amendment filing for BD Schedule A/B for individuals that appear on Schedules A or B of the Form BD and provides personal, employment and residential information on Direct or Indirect Owners.
U4 Form	**Page 2 Initial for Schedule A/B**	Links the user to the *Individual Search Criteria* screen for a new Page 2 Initial filing for individuals that appear on Schedules A or B of the Form BD and provides personal, employment and residential information on Direct or Indirect Owners.
U4 Form	**Dual**	Links the user to the *Individual Search Criteria* screen for a new Dual filing for applicants that intend to maintain registrations with two (2) or more unaffiliated broker-dealer and/or investment adviser firms.
U4 Form	**Relicense All**	Links the user to the *Individual Search Criteria* screen for the Form U4 Relicense All filing for individual who wishes to register with a new firm within thirty (30) days from the date of termination with the previous firm(s), and intends to be registered SOLELY with the new firm.
U4 Form	**Relicense CRD**	Links the user to the *Individual Search Criteria* screen for the Form U4 Relicense CRD filing for an individuals who wishes to register as a broker-dealer agent (AG) with a new broker-dealer firm and terminate his or her AG positions with any other firms (i.e., the other firms will submit U5 filings on the individual), but leave any broker-dealer associations he or she may have current. The investment adviser representative (RA) status will not be affected.
U4 Form	**Relicense IA**	Links the user to the *Individual Search Criteria* screen for the Form U4 Relicense IA filing. Relicense IA filing type is not applicable to AGs.
U4 Form	**Pending U4 Filings**	Links the user to the *Individual Search Criteria* screen to access Pending U4 filings that have not been submitted to Web CRD.
U4 Form	**Historical U4 Filings**	Links the user to the *Individual Search Criteria* screen to access Historical Form U4 filings submitted by the corresponding firm.

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Site Map (Continued)

Category	Hyperlink	Description
U5 Form	**Create New U5 Filing**	Links the user to the filing types for U5.
U5 Form	**Full**	Links the user to the *Individual Search Criteria* screen for a Full U5 filing.
U5 Form	**Partial**	Links the user to the *Individual Search Criteria* screen for a new Form U5 Partial filing.
U5 Form	**Amendment**	Links the user to the *Individual Search Criteria* screen for a new Form U5 Amendment filing.
U5 Form	**Pending U5 Filings**	Links the user to the *Individual Search Criteria* screen to access Pending U5 filings that have not been submitted to Web CRD.
U5 Form	**Historical U5 Filings**	Links the user to the *Individual Search Criteria* screen to access Historical U5 filings submitted by the corresponding firm.
BR Form	**Create New BR Filing**	Links the user to the filing types for BR Form.
BR Form	**Initial**	This filing type is used to register or notice file a new branch office with SROs and jurisdictions as appropriate. The term register typically refers to a process that requires an approval by a SRO or jurisdiction. The term "notice file" typically refers to regulators' requirement to be notified of any changes to firms' branch office information; however, an approved status is not required.
BR Form	**Amendment**	This filing type is used to add or change information on a BR Form that was previously submitted. The applicant must update the Form BR information by submitting amendments whenever the information on file becomes inaccurate or incomplete for any reason (e.g. branch office address or types of activities has changed). Form BR amendments are submitted electronically.
BR Form	**Closing/Withdrawal**	This filing type is used to terminate a branch office registration and/or to withdraw an initial filing prior to approval by a SRO or jurisdiction.
BR Form	**Pending BR Filings**	Links the user to the B*ranch Search Criteria* screen to access Pending branch filings that have not been submitted to Web CRD.
BR Form	**Historical BR Filings**	Links the user to the *Branch Search Criteria* screen to access Historical branch filings submitted by the firm.
BD Form	**Create New BD Filing**	Links the user to the filing types for Form BD.
BD Form	**Amendment**	Links the user to a new Form BD Amendment filing.
BD Form	**Pending BD Filing**	Links the user to Pending Filing Search Criteria for Form BD filings that have not been submitted to Web CRD.
BD Form	**Historical BD Filings**	Links the user to Historical Filing Search Results for Form BD filings submitted by the firm.
BDW Form	**Create New BDW Filings**	Links the user to the filing types for Form BDW.
BDW Form	**Full**	Links the user to a Full Form BDW filing.
BDW Form	**Partial**	Links the user to a new Partial Form BDW filing.
BDW Form	**Pending BDW Filings**	Links the user to Pending Filing Search Criteria for Form BDW filings that have not been submitted to Web CRD.

Site Map (Continued)

Category	Hyperlink	Description
BDW Form	**Historical BDW Filings**	Links the user to Historical Filing Search Results for Form BDW filings submitted by the firm.
NRF Form	**Create New NRF Filing**	Links the user to the filing types for Form NRF.
NRF Form	**Initial**	Links the user to the *Individual Search Criteria* screen for the form NRF filing.
NRF Form	**Amendment**	Links the user to the *Individual Search Criteria* screen for the form NRF Amendment filing.
NRF Form	**Pending NRF Filings**	Links the user to the *Pending Filing Search Criteria* screen to access Pending Form NRF filings that have not been submitted to Web CRD.
NRF Form	**Historical NRF Filings**	Links the user to the *Historical Filing Search Criteria* screen to access Historical Form NRF filings submitted by the corresponding firm.
View Individual	**Individual Search**	Links the user to the *Individual Search Criteria* screen for an individual's record. These individuals have a Web CRD number.
View Individual	**Disclosure Only Individual Search**	Links the user to the *Disclosure Only Individual Search Criteria* screen for an individual's record that is not registered nor has a Web CRD number. These individuals would only have disclosure information on record.
View Individual	**Equifax Employment Screening Report**	Provides access to the "Equifax Employment Screening Report" (Persona Plus™) for subscribed firms.
Non-Filing Info	**NFI Individual Search**	Links the user to the *NFI Individual Search Criteria* screen for an individual's non-filing information.
Firm Queues	**Continuing Education**	Links the user to five (5) different sub-queues: Approaching CE Requirement, CE 2-Year Termed, CE Inactive, CE Satisfied and Currently CE Required.
Firm Queues	**Approaching CE Requirement**	Links the user to the *Search Criteria* screen for individuals that must meet continuing education requirements in the near future (30 days).
Firm Queues	**CE 2-Year Termed**	Links the user to the *Search Criteria* screen for all individuals who have become CE 2-Year Termed. Notices enter this queue when the Self-Regulatory Organization's (SRO's) registration statuses for this individual become CE 2-Year Termed due to being CE Inactive for two (2) years.
Firm Queues	**CE Inactive**	Links the user to the *Search Criteria* screen for individuals who are inactive due to failure to comply with continuing education requirements.
Firm Queues	**CE Satisfied**	Links the user to the *Search Criteria* screen for individuals who have satisfied their continuing education requirements.
Firm Queues	**Currently CE Required**	Links the user to the *Search Criteria* screen for individuals that are required to take the CE session.
Firm Queues	**Disclosure**	Links the user to two (2) different sub-queues: Disclosure Review and Outstanding Disclosure Letters.

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Site Map (Continued)

Category	Hyperlink	Description
Firm Queues	**Disclosure Review**	Links the user to the *Search Criteria* screen for individuals that have had recent (within the last thirty (30) days) disclosures submitted to Web CRD through a U4, U5 or U6 filing.
Firm Queues	**Outstanding Disclosure Letters**	Links the user to the *Search Criteria* screen for individuals that have disclosure deficiency letters or inquiry letters that are unresolved.
Firm Queues	**Disclosure Queue Totals**	Links the user to a screen displaying the total number of items in each of the Disclosure Queues.
Firm Queues	**Exams**	Links the user to two (2) different sub-queues: Completed Exams and Scheduled Exams.
Firm Queues	**Completed Exams**	Links the user to the *Search Criteria* screen for individuals that have completed exams, with the exam results.
Firm Queues	**Scheduled Exams**	Links the user to the *Search Criteria* screen for individuals that have had exams scheduled for them.
Firm Queues	**Filing**	Links the user to the *Other Firm U4 Filing Notice Queue Search Criteria* screen.
Firm Queues	**Other Firm U4 Filing**	Links the user to the *Other Firm U4 Filing Notice Queue Search Criteria* screen for AGs that are dually registered (i.e., employed by your firm and at least one other unaffiliated broker-dealer and/or Investment Adviser firm) and another firm has submitted a U4 Form filing on one of your registered persons.
Firm Queues	**Filing Queue Totals**	Links the user to a screen displaying the total number of items in the Filing Queue.
Firm Queues	**Fingerprint**	Links the user to three (3) different sub-queues: Fingerprint status Received from FBI, Inactive Registrations Due to Missing Fingerprint Cards and Notices of Undelivered Fingerprint Cards.
Firm Queues	**Fingerprint Status Received from FBI**	Links the user to the *Search Criteria* screen for notices from the FBI regarding an AGs' fingerprint card statuses: Clear (CLER), Illegible(ILEG), Returned from FBI with a criminal record (RAPP**)**, or Returned from FBI and Rejected (REJT).
Firm Queues	**Inactive Registrations Due to Missing Fingerprint Cards**	Links the user to the *Search Criteria* screen for individuals whose registration status changed from Approved Pending Prints to Inactive Prints because a fingerprint card was not received by Web CRD within thirty (30) days from the initial application.
Firm Queues	**Notices of Undelivered Fingerprint Cards**	Links the user to the *Search Criteria* screen for notices for individuals who have outstanding fingerprint cards. These notices will be generated if no fingerprint card is submitted to Web CRD within the thirty (30) day time period.
Firm Queues	**Fingerprint Queue Totals**	Links the user to a screen displaying the total number of items in each of the Fingerprint Queues.
Firm Queues	**Registrations**	Links the user to five (5) different sub-queues: Approved Individual Registration, Current Individual Deficiencies, Denied Individual Registration, Pending Individual Registration and Purged Individual Registrations. There is also a Registration Queue Totals screen.

Site Map (Continued)

Category	Hyperlink	Description
Firm Queues	**Approved Individual Registrations**	Links the user to the *Search Criteria* screen for all approved individual registrations. Statuses: Approved; Approved Pending Prints; Restricted Approval; and Temporary Registration.
Firm Queues	**Current Individual Deficiencies**	Links the user to the *Search Criteria* screen for individuals whose registration is deficient due to one or more of the following deficiencies: Continuing Education; Dual; Exam; Fingerprint; Foreign; Funds; FINRA; AR Registration; FA Registration; Pending Firm Approval; Prerequisite Position; Disclosure Review; Training Period; Pre-Exam Training Period; and/or Firm Suspended.
Firm Queues	**Denied Individual Registrations**	Links the user to the *Search Criteria* screen for individual registrations that a regulator has denied or rejected. Statuses: Denied; and Rejected.
Firm Queues	**Pending Individual Registrations**	Links the user to the *Search Criteria* screen for non-deficient individual registrations that are waiting for SRO or Jurisdiction approval. Status: Pending.
Firm Queues	**Purged Individual Registrations**	Links the user to the *Search Criteria* screen for deficient registrations that the Web CRD system has purged because the time period to correct the deficiency has been exceeded.
Firm Queues	**Registration Queue Totals**	Links the user to a screen displaying the total number of items in each of the Registration Queues.
Firm Queues	**Termination**	Links the user to the *Manual Terminations Notice Queue Search Criteria* screen.
Firm Queues	**Manual Termination**	Links the user to the *Search Criteria* screen for individuals for whom a U5 has been filed but have been blocked by a regulator. The registration status is "Termination Requested."
Firm Queues	**Temporary Registration Cancellation**	Links the user to the *Search Criteria* screen for individuals who have had temporary registrations revoked.
Firm Queues	**Termination**	Links the user to 6 different sub-queues: Manual Termination, Temporary Registration Cancellation, Termination, U5, U5 Late Fees and U5 Required.
Firm Queues	**U5**	Links the user to the *Search Criteria* screen for all full or partial U5s submitted by your firm. The individuals in this queue have a registration status of Termed or Termination Requested.
Firm Queues	**U5 Late Fees**	Links the user to the *Search Criteria* screen for individuals who have been assessed a fee for filing a late Form U5.
Firm Queues	**U5 Required**	Links the user to the *Search Criteria* screen for individuals for whom your firm is required to submit a Form U5 to terminate their association with your firm.
Firm Queues	**Other Firm U5 Filing**	Links the user to the Other Firm U5 Filing Notice Queue Search Criteria to search for individuals for whom a U5 filing was submitted by a previous employer.

Site Map (Continued)

Category	Hyperlink	Description
Firm Queues	**Termination Queue Totals**	Links the user to a screen displaying the total number of items in each of the Termination Queues.
Firm Queues	**Alerts**	Links the user to eight (8) different types of critical registration-related notifications as follows: CE Inactive, Currently CE 2-Year Termed, Denied Individual Registrations, Inactive Registrations Due to Missing Fingerprint Cards, Manual Termination, Temporary Registration Cancellation, Termination and U5 Required.
View Org	**Organization Search**	Links the user to View Organization for the corresponding firm.
Organization Queues	**Current Deficiencies**	Links the user to a list of the firm's current Form BD and BDW deficiencies by filing date. The number of days deficient is also displayed. Link is available to obtain deficiency detail information. Notices remain in the queue until the deficiency is satisfied.
Organization Queues	**Branch Status**	Lists the statuses of the branch office filings for your firm. Items remain in the queue historically.
Organization Queues	**Branch Deficiencies**	Lists the deficiency for each branch office. Items remain in queue until the deficiency is satisfied.
Organization Queues	**Disclosure Letters**	Links the user to the Disclosure Letters Queue screen to view electronic Disclosure alerts sent to the firm.
Organization Queues	**NYSE Filing status**	Lists the status of a branch office that is registering with the New York Stock Exchange. Items remain in the queue historically.
Organization Queues	**SFG Requirement**	Links the user to a list of retiring firms from the simultaneous filing group, by date of retirement. Notices remain in the queue for 120 days.
Organization Queues	**Withdrawal or Termination**	Links the user to a list of the firm's withdrawal or termination notices by effective date. The screen includes the regulator, reason and the effective date. Notices remain in the queue for 120 days.
Organization Queues	**Queue Totals**	Links the user to a screen displaying the total number of items in each of the Organization Queues.
Non-Filing Info	**NFI Organizational Search**	Links the user to the corresponding firm's non-filing information including the Contact Information, Organization Names, Mass Transfer History and Firm Notifications.
Mass Transfer	**Mass Transfer List**	Links the user to any corresponding mass transfers for the firm (if applicable). For further assistance please contact the Regulatory Review and Disclosure department via the Gateway Call Center at 301-869-6699.
Daily Account	**Processed Transactions**	Links the user to details transactions that have been submitted to and processed by Web CRD. While these transactions have been processed by Web CRD, they will not be deducted from a firm's account balance until the next business day.
Daily Account	**Funds Deficient Transactions**	Links the user to details of transactions by broker-dealers that have been submitted to the Web CRD, but have not been processed because the firm's Account Status is deficient.
Daily Account	**Account Activity Summary**	Links the user to the *Search Criteria* screen for summary information by date range for payments, transfers, and all transactions, as well as a beginning and ending balance.

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Site Map (Continued)

Category	Hyperlink	Description
Daily Account	**Deposit Detail**	Links the user to the *Search Criteria* screen for detailed information about specific deposits. Note: Deposits received before 3:00 PM, ET, will be available the next business day.
Daily Account	**Transfer Detail**	Links the user to the *Search Criteria* screen for detailed information about specific transfers between accounts (for affiliated firms) and firm requested funds withdrawals.
Daily Account	**Transaction Detail**	Links the user to the *Search Criteria* screen for detailed information about all transactions (e.g., registration fees, exam fees, disclosure processing fees) submitted to Web CRD. Adjustments made to an account and manual charges (e.g., Media Source products) are also shown. This query does not include items listed in Transfer Detail or Deposit Detail.
Daily Account	**Bill Line Search**	Links the user to the *Search Criteria* screen for specific transactions by Web CRD number, Web CRD Transaction number or Charge Code (a unique code for every fee that is generated) by a given date range. For firms that are both broker-dealers and investment advisers, searches can be performed for IA-only transactions or Web CRD-only transactions.
Renewal Account	**Renewal Statement**	Links the user to corresponding firm's renewal statement.
Renewal Account	**Account Activity Summary**	Links the user to the *Search Criteria* screen for summary information by date range for payments, transfers, and all transactions, as well as a beginning and ending balance for the renewal account.
Renewal Account	**Deposit Detail**	Links the user to the *Search Criteria* screen for detailed information about specific deposits. Note: Deposits received before 3:00 PM, ET, will be available the next business day for the renewal account.
Renewal Account	**Transfer Detail**	Links the user to the *Search Criteria* screen for detailed information about specific transfers between accounts (for affiliated firms) and firm requested funds withdrawals for the renewal account.
Renewal Account	**Transaction Detail**	Links the user to the *Search Criteria* screen for detailed information about all renewal transactions and adjustments made to the renewal account.
Renewal Account	**Bill Line Search**	Links the user to the *Search Criteria* screen for specific transactions by Web CRD number, Web CRD Transaction number or Charge Code (a unique code for every fee that is generated) by a given date range. For firms that are both broker-dealers and investment advisers, searches can be performed for IA-only transactions or Web CRD-only transactions.
Home	**Request Report**	Links the user to a list of reports that may be requested directly from Web CRD.
Home	**View Report**	Links the user to a list of reports requested by the firm. Each report name is a hyperlink used to view the report.

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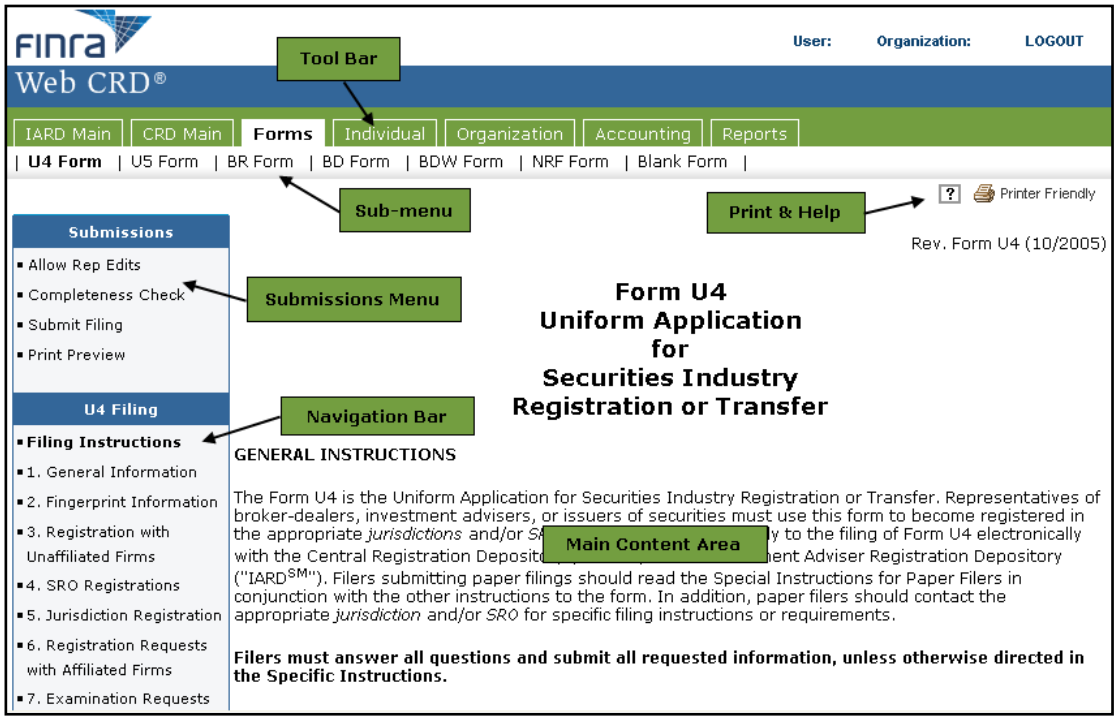
Tool Bar, Menus, Navigation Bar and Icons

Each screen is designed with a **Main Content Area**, **Submissions Menu**, **Navigation Bar**, **Tool Bar**, **Sub-menu**, **Print Icon** and **Help Icon**.



Tool Bar

Located across the top of the Web CRD screen, the tabs on the **Tool Bar** provide access to the different Web CRD functions (i.e., **CRD Main, Forms, Organization, Accounting** and **Reports**).

Tabs	Description
CRD Main	Links the user to the Site Map.
Forms	Links the user to the electronic versions and instructions for Form U4, U5, U6, BR, BD, BDW, and NRF.
Individual	Links the user to Individual Processing including View Individual, Non-Filing Info and Firm Queues.
Organization	Links the user to Organization including View Org, Organization Queues, Non-Filing Info and Mass Transfer.
Accounting	Links the user to Accounting including Daily Account and Renewal Account.
Reports	Links the user to Reports.

Tool Bar, Menus, Navigation Bar and Icons (Continued)

Sub-menu

Located directly beneath the **Tool Bar**, a **Sub-menu** provides quick navigational capability to link to various sub functions of the Tool Bar.

Forms Tab

Sub-menu links from Forms Tab	Description
U4 Form	Links to all Form U4 filing types.
U5 Form	Links to all Form U5 filing types.
BR Form	Links to all Form BR filing types.
BD Form	Links to all Form BD filing types.
BDW Form	Links to all Form BDW filing types.
NRF Form	Links to all Form NRF filing types.
Blank Form	Links the user to www.finra.org/crd/forms, where users can access blank PDF versions of Form U4, U5, U6, BD, and BDW for printing purposes only.

Individual Tab

Sub-menu links from the Individual Tab	Description
View Individual	Links the user to the Search Criteria screen for an individual's record which includes Individual Search and Disclosure Only Individual Search.
Non-Filing Info	Links the user to the Search Criteria screen for an individual's non-filing information.
Firm Queues	Links the user to Individual Firm Queues including Continuing Education, Disclosure, Exams, Fingerprint, Registrations, Terminations and Alerts.

Organization Tab

Sub-menu links from the Organization Tab	Description
View Org	Links the user to the BD record of the firm.
Organization Queues	Links the user to Organization Queues including Current Deficiencies, Branch Status, Branch Deficiencies, Disclosure Alert, NYSE Filing Status, SFG Retirement, Withdrawal or Termination and Queue Totals.
Non-Filing Info	Links the user to the corresponding firm's non-filing information including the Contact Information, Organization Names, Mass Transfer History and Firm Notifications.
Mass Transfer	Links the user to any corresponding Mass Transfers for the firm (if applicable).

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Tool Bar, Menus, Navigation Bar and Icons (Continued)

Accounting Tab

Sub-menu links from the Accounting Tab	Description
Daily Account	Links the user to Daily Accounts Queues and Daily Account Information.
Renewal Account	Links the user to the Renewal Statement and Renewal Account Information.
Web CRD-IARD E-Pay Application	Links the user to the E-Pay application login screen.

Reports Tab

Sub-menu links from the Reports Tab	Description
Home	Links the user to Reports including the Request Report and View Report screens.

Navigation Bar

Located on the left side of the screen, the Navigation Bar provides access to different Web CRD sections within a specific function.

Submissions Menu

Located in the Navigation Bar for the Form Filing function only.

Submissions Menu	Description
Allow Rep Edits	Allows a representative access to the Form U4 filing through a different URL address: https://filing.crd.finra.org/crdmain with the reference number of the filing.
Completeness Check	Completeness Check is an automated system check that enables the firm to locate errors in the filing prior to submission. All Completeness Check errors must be corrected before the filing can be submitted.
Submit Filing	Submit Filing submits the completed filing to Web CRD for processing.
Print Preview	Print Preview allows a user to view or print a Form in its entirety.

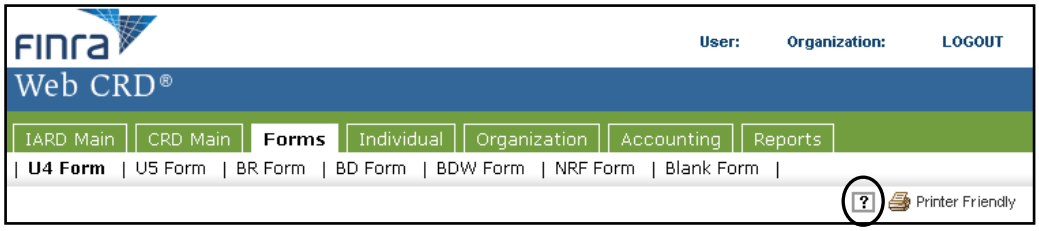
Main Content Area

Located in the center of the screen, this is the area where data is entered or viewed. Some fields are "read only" and some fields may be edited.

Tool Bar, Menus, Navigation Bar and Icons (Continued)

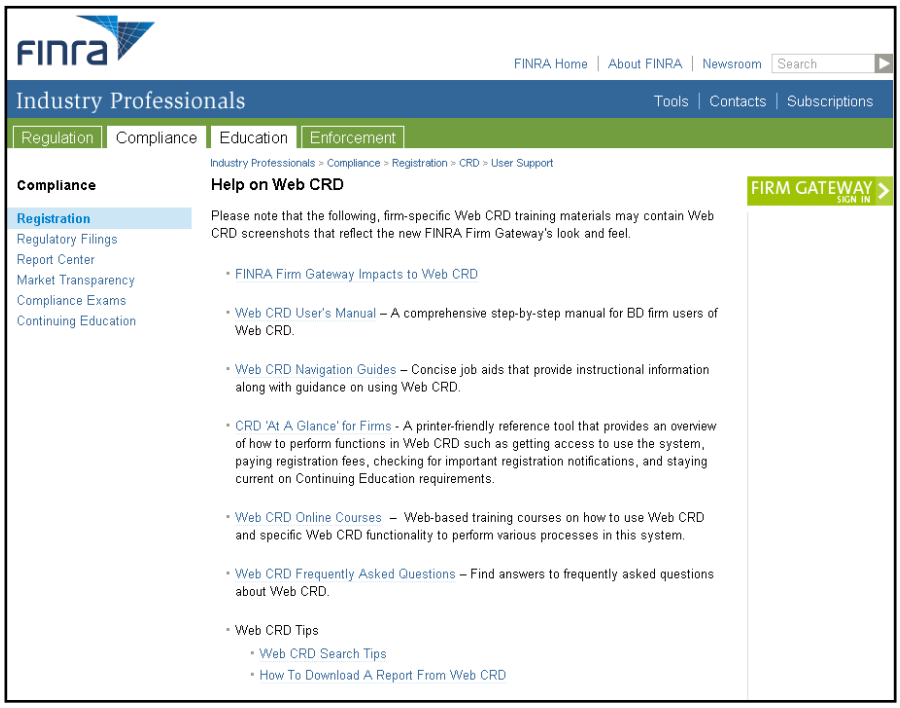
Accessing Help Text

1. Select the ? Icon located on each screen to access the **Help** menu.



NOTE: Help is not accessible from the Site Map.

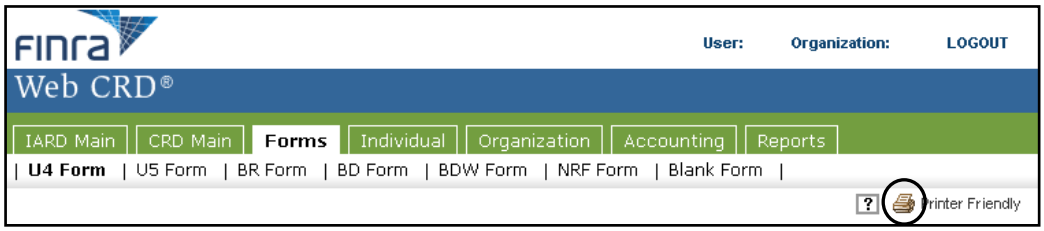
[Result:] A second browser window opens and the user is directed to www.finra.org/crd/help.



Tool Bar, Menus, Navigation Bar and Icons (Continued)

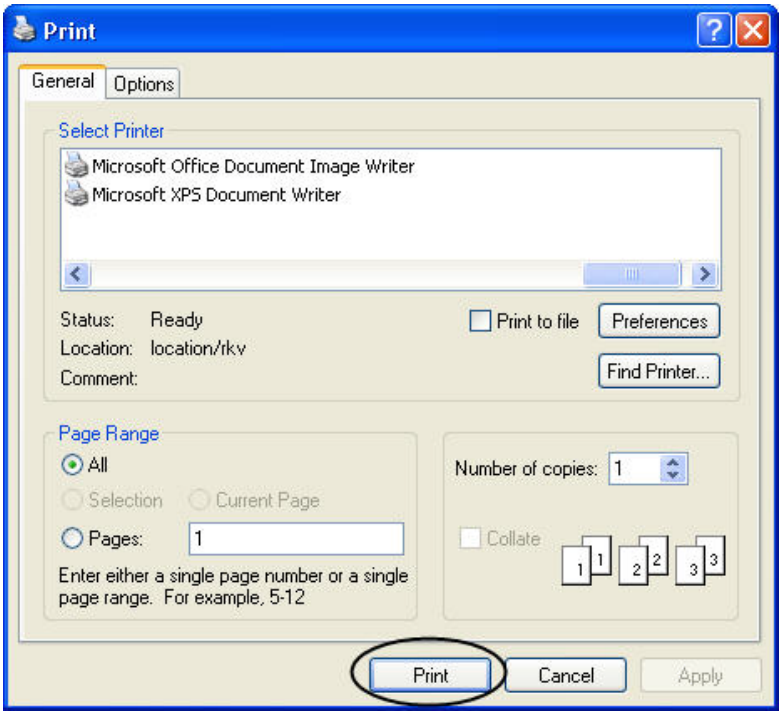
Printing Information

1. Click the Icon located on each screen to print information from a screen without the Tool Bar, Menus and Icons.



NOTE: The Print icon is not accessible from the Site Map.

[Result:] The Print Dialogue box opens.



2. Click the **Print** button to print the data previewed on the current screen.