Chapter Six: Firm Queues for Individuals

About this Section

This section contains information pertaining to the navigation and management of firm queues for individuals.

Completion Objectives

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

- Explain queue types
- Manage queues
- Navigate through queues

In this Section

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About Firm Queues for Individuals

CRD notifies firms of events relating to individual registrations through Firm Queues and Alerts.

Notice Queue Types

There are seven (7) types of Notice Queues for firms to receive notifications about individuals:

1. **Registrations** – Contains five (5) different sub-queues:

   Approved Individual Registrations – Displays Broker-dealer Agents' (AGs) registrations that are Approved, Approved Pending Prints, Restricted Approval and Temporary Registration. Individuals remain in queue indefinitely for historical purposes. To view the Approved Individual Registrations Queue, see page 6-6 of Steps for Viewing Approved Individual Registrations Notice Queue.

   Current Individual Deficiencies – Displays an AGs' registrations that are deficient due to one or more of the following: CE Inactive, Disclosure Review, Dual, Exam, Fingerprint, Firm Suspended, Foreign, Funds, FINRA, AR Registration, FA Registration, Pending Firm Approval, Position, Pre-Training Period, Training Period. Individuals remain in the queue indefinitely for historical purposes. To view the Current Individual Deficiencies Queue, see page 6-9 of Steps for Viewing Current Individual Deficiencies Notice Queue.

   Denied Individual Registrations – Displays an AGs' registrations that a regulator has Denied or Rejected. Individuals remain in queue for thirty (30) days. To view the Denied Individual Registrations Queue, see page 6-12 of Steps for Viewing Denied Individual Registrations Notice Queue.

   Pending Individual Registrations – Displays an AGs' non-deficient registrations that are waiting (i.e. Pending) for a Jurisdiction approval. Individuals remain in queue until approved. To view the Pending Individual Registrations Queue, see page 6-15 of Steps for Viewing Pending Individual Registrations Notice Queue.

   Purged Individual Registrations – Displays an AGs' registrations that CRD has purged because the time period to correct the deficiency has been exceeded. Individuals remain in queue for one hundred and twenty (120) days. If a U4 Amendment is not submitted within 120 days, the individual's registration status will be updated from 'Purged' to 'T_NOU5' (termed without submission of a Form U5) and the individual will move from the Purged Individual Registrations Notice Queue to the firm's Termination Queue To view the Purged Individual Registrations Queue, see page 6-18 of Steps for Viewing Purged Individual Registrations Notice Queue.

2. **Disclosure** – Contains two (2) different sub-queues:

   Disclosure Review – Displays AGs that have had disclosures submitted to CRD through a Form U4, U5 or U6 filing. Individuals remain in queue indefinitely for historical purposes. To view the Disclosure Review Notice Queue, see page 6-21 of Steps for Viewing Disclosure Review Notice Queue.

   Outstanding Disclosure Letters – Displays AGs that have a disclosure deficiency or inquiry letter send to the firm electronically that is unresolved. Individuals remain in queue until the outstanding letter and the disclosure difference(s) are resolved. To view the Outstanding Disclosure Letters Notice Queue, see page 6-24 of Steps for Viewing Outstanding Disclosure Letters Notice Queue.

3. **Fingerprint** – Contains three (3) different sub-queues:

   Fingerprint Status Received from FBI – Displays notices from the FBI regarding an AGs' fingerprint card statuses: Clear, Illegible, Returned from FBI with a criminal record, or Returned from FBI and Rejected. Individuals remain in queue for thirty (30) days from the day the status is updated. To view the Fingerprint Status Received form FBI Queue, see page 6-27 of Steps for Viewing Fingerprint Status Received from FBI Notice Queue. **Only firm users with CHRI (Criminal History Record Information) privileges can access this queue**.

Notice Queue Types (Continued)

Inactive Registration Due to Missing Fingerprint – Displays an AGs' registration statuses that changed from Approved Pending Prints to Inactive Prints because a fingerprint card was not received by the Registration and Disclosure Department within thirty (30) days from the initial application. Individuals remain in queue as long as their status is Inactive Prints. To view the Inactive Registrations Due to Missing Fingerprint Cards Queue, see page 6-30 of Steps for Viewing Inactive Registrations Due to Missing Fingerprint Cards Queue Notice Queue.

Notices of Undelivered Fingerprint Cards – Displays notices for AGs who have outstanding fingerprint cards. Individuals remain in queue for thirty (30) days from the date the filing is submitted unless the fingerprint card is received. If the card is not received within thirty (30) days from the filing date, the notice will go to the Inactive Registration Due to Missing Fingerprint Queue. To view the Notices of Undelivered Fingerprint Cards Queue, see page 6-33 of Steps for Viewing Notices of Undelivered Fingerprint Cards Notice Queue.

5. **Continuing Education** – Contains five (5) different sub-queues:

Approaching CE Requirement – Displays list of AGs that are approaching their CE window within twenty-eight (28) days. Individuals remain in queue for twenty-eight (28) days prior to their CE session. To view the Approaching CE Requirement Queue, see page 12-9 of Steps for Viewing Approaching CE Requirement Notice Queue.

CE 2-Year Termed – Displays list of AGs who have become 2-year CE Termed. Individuals remain in queue indefinitely for historical purposes. To view the CE 2-Year Termed Queue, see page 12-11 of Steps for Viewing CE 2-Year Termed Notice Queue.

CE Inactive – Displays list of AGs who became inactive because they did not satisfy the CE requirements. Individuals remain in queue until: (1) CE is completed, or (2) firm terminates the individual, or (3) automatic termination occurs. To view the CE Inactive Queue, see page 12-13 of Steps for Viewing CE Inactive Notice Queue.

CE Satisfied – Displays list of AGs who have satisfied their CE requirements within the specified time frame. Individuals remain in queue indefinitely for historical purposes. To view the CE Satisfied Queue, see page 12-15 of Steps for Viewing CE Satisfied Notice Queue.

Currently CE Required – Displays list of AGs that are required to take the CE session. Individuals remain in queue as long as they are within their CE 120-day requirement and the requirement is incomplete**.** To view the Currently CE Required Queue, see page 12-17 of Steps for Viewing Currently CE Required Notice Queue.

5. **Exams** – Contains two (2) different sub-queues:

Completed Exams – Displays list of AGs' exam results within a specified time frame. Individuals enter queue when the exam grade is posted. To view the Completed Exams Queue, see page 6-36 of Steps for Viewing Completed Exams Notice Queue.

Scheduled Exams – Displays list of AGs that have open exam windows. Individuals remain in queue while the exam is scheduled. To view the Scheduled Exams Queue, see page 6-39 of Steps for Viewing Scheduled Exams Notice Queue.

6. **Termination** – Contains six (6) different sub-queues:

Manual Termination – Displays list of AGs for whom a U5 filing has been filed and has been blocked by a regulator. The registration status is Termination Requested. Individuals remain in queue as long as their registration status reflects Termination Requested. To view the Manual Termination Queue, see page 6-43 of Steps for Viewing Manual Termination Notice Queue.

Temporary Registration Cancellation – Displays list of AGs who have had their temporary registrations revoked. Individuals remain in queue for thirty (30) days. To view the Temporary Registration Cancellation Queue, see page 6-46 of Steps for Viewing Temporary Registration Cancellation Notice Queue.

Termination – Displays list of AGs whose registration(s) have been termed without a U5 filing. Individuals remain in queue for thirty (30) days from the date that the individual's status is administratively terminated. To view the Termination Queue, see page 6-49 of Steps for Viewing Termination Notice Queue.

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Notice Queue Types (Continued)

U5 – Displays list of all Full or Partial U5 filings submitted by a firm. The AGs in this queue have a registration status of Termed or Termination Requested. Individuals remain in queue indefinitely for historical purposes. To view the U5 Queue, see page 6-52 of Steps for Viewing U5 Notice Queue.

U5 Late Fees – Displays list of AGs for whom the firm has been assessed a late U5 fee. A U5 is late if it is filed more than thirty (30) days from the actual date of termination or if no U5 is filed within 30 days of a Relicense U4 filing. Individuals remain in queue indefinitely for historical purposes. To view the U5 Late Fees Queue, see page 6-55 of Steps for Viewing U5 Late Fees Notice Queue.

U5 Required– Displays list of AGs for whom a firm is required to submit a U5 filing. Individuals remain in queue until the U5 is submitted. If a new firm selects Relicense All, it will trigger the U5 Required for all firms with which the individual is registered, if they select Relicense CRD, it will only send U5 Required notices to the BD firms with which he or she is registered. To view the U5 Required Queue; see page 6-58 of Steps for Viewing U5 Required Notice Queue.

Other Firm U5 Filing – Displays list of individuals for whom a U5 filing was submitted by a previous employer. To view the Other Firm U5 Filing Queue, see Steps for Viewing Other Firm U5 Filing Queue, page 6-44.

7. **Filing** – Contains one (1) sub-queue:

Other Firm U4 Filing – This is a new queue to notify firms when a U4 Form is filed for a AG by another broker-dealer or investment adviser that also employs the individual. The purpose of the queue is to provide notice of the U4 filing to the non-filing firm and allow the firm to review the information that was filed. If the firm agreed that the information was correctly reported, it would submit a Concurrence filing, which would indicate that it concurred with and adopted the filing as its own.

Concurrence filings are only required when the initial filing updates U4 information that is relevant to both employing firms (e.g., personal information, residential history, employment history, disclosure questions, or DRPs). Firms are not required to submit Concurrence filings when the U4 filing submitted by the other employer firm amends information that is relevant only to the broker-dealer or investment adviser firm that initially filed the U4 (i.e., changes to registration, office of employment address, billing code, etc. that are specific to the firm making the filing). Firms will receive notice of the other employer firm's U4 filings, regardless of whether or not the U4 filing triggers a Concurrence filing requirement.

The queue displays the RA's name and CRD number, whether the individual is registered in CRD or IARD, and the filing date and filing type of the filing submitted by the other firm, as well as the filing firm's name and CRD number. In addition, the queue displays a form-filing link, which will allow firms to create a Concurrence or Amendment filing directly from the queue rather than having to exit the queue in order to access Form Filing. The Concurrence filing link will only display when the U4 filing triggers a Concurrence filing requirement. The Amendment filing link will always be displayed. To view the Other Firm U4 Filing Queue, see page 6-61 of Steps for Viewing Other Firm U4 Filing Notice Queue. To view additional information on Material Difference, see page 13-25.

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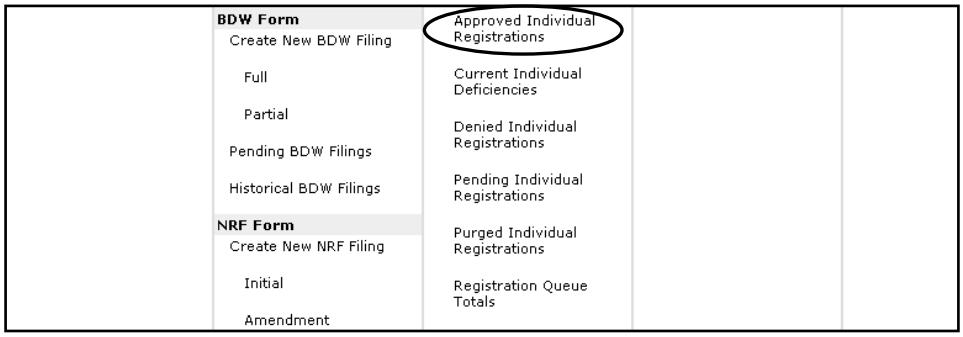
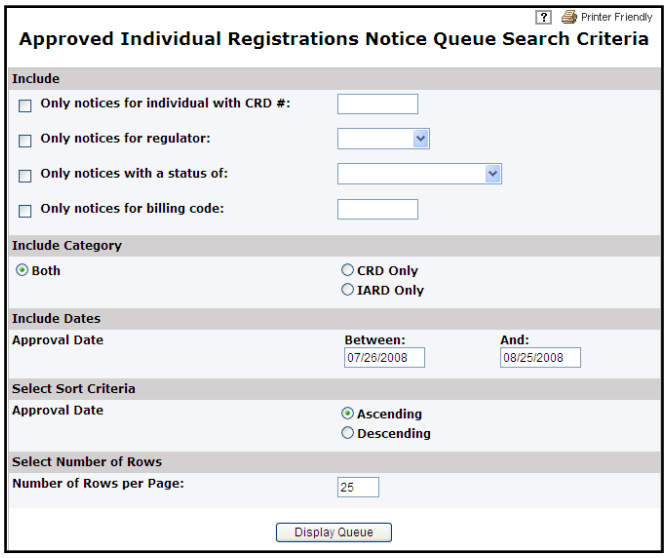
Alerts

The Alerts list the critical registration-related queues and the number of AGs listed in each queue. The Alert Notifications should be checked frequently to ensure that the firm is aware of any critical registration-related notifications.

There are eight (8) types of Alerts for firms to receive notifications about individuals:

1. **Denied Individual Registrations** - Denied Individual Registrations displays Item Count in Denied Individual Registrations Queue.
2. **Inactive Registration due to Missing Fingerprint Card -** Inactive Registration due to Missing Fingerprint Card displays Item Count in Inactive Registration due to Missing Fingerprint Card Queue.
3. **CE Inactive** - CE Inactive displays Item Count in CE Inactive Queue.
4. **Currently 2-Year Termed** - Currently 2-Year Termed displays Item Count In Currently 2-Year Termed Queue.
5. **Termination** - Termination displays Item Count in Termination Queue.
6. **U5 Required** - U5 Required displays Item Count in U5 Required Queue.
7. **Temporary Registration Cancellation** - Temporary Registration Cancellation displays Item Count in Temporary Registration Cancellation Queue.
8. **Manual Termination** - Manual Termination displays Item Count in Manual Termination Queue.

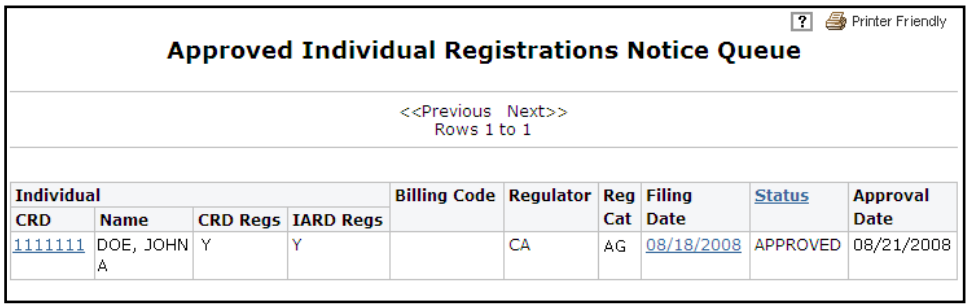
Steps for Viewing Approved Individual Registrations Notice Queue:

Access Approved Individual Registrations Notice Queue	There are two ways to access individuals in the Approved Individual Registrations Notice Queue: 1. From the CRD Site Map, click the **Approved Individual Registrations** hyperlink.  **<u>OR</u>** 1a. Click the **Individual** Tab from the Tool Bar, choose **Firm Queues** from the Sub-menu and click **Registrations** from the Navigation Bar.
Approved Individual Registrations Notice Queue Search	**[Result:]** CRD defaults to the *Approved Individual Registrations Notice Queue Search Criteria* screen.  **NOTE**: The Registration Queue Totals section lists total number of items in registrations queues.

Approved Individual Registrations Notice Queue Search (Continued)	When the Queue screen criteria screen opens, select a combination or one of the following options: 2. If searching for a specific individual, place a check mark in the **Only notices for individual with CRD #** box and type the individual CRD Number in the field. **NOTE:** If a check mark is selected, CRD requires the completion of the corresponding field. 3. If searching by Branch Office, place a check mark in the **Only notices for billing code** box and type the Billing Code in the field. **NOTE:** A Billing Code is a number assigned by a firm to its branch office(s). 4. If searching for individuals in a specific jurisdiction, click the **Only notices for regulator** box and choose the appropriate regulator. 5. If searching for individuals with a specific approval type, click the **Only notices with a status of** box and choose the appropriate approval type. 6. Click the **CRD Only** radio button. **NOTE:** CRD defaults to Both. Clicking the Both radio button will display AGs and RAs. 7. Type an **Approval Date** Range in the **[Between:]** and **[And:]** fields. **NOTE:** CRD defaults to the last thirty (30) days. A maximum of thirty (30) days is allowed. 8. If searching for individuals by the earliest **Approval Date**, click the **Ascending** radio button. **OR** 8a. If searching for individuals by the most recent **Approval Date**, click the **Descending** radio button. **NOTE:** CRD defaults to Ascending. 9. If searching by a specific number of rows, type the **Number of Rows per Page** in the field. **NOTE:** CRD defaults to twenty-five (25) rows. A maximum of fifty (50) rows is allowed per page. 10. Click the **Display Queue** button.

View Approved Individual Registrations Notice Queue

[Result:] The *Approved Individual Registrations Notice Queue* screen opens.



Printer Friendly

Approved Individual Registrations Notice Queue

<<Previous Next>>
Rows 1 to 1

Individual				Billing Code	Regulator	Reg Cat	Filing Date	Status	Approval Date
CRD	Name	CRD Regs	IARD Regs						
1111111	DOE, JOHN A	Y	Y		CA	AG	08/18/2008	APPROVED	08/21/2008

To view additional information on an individual's record, select one of the following options:

11. To view an individual's Composite Information, click the appropriate **CRD** hyperlink.

12. To view an individual's Form Filing History in View Individual, click the **Filing Date** hyperlink.

13. To view individual registration status definitions, click the **Status** hyperlink.

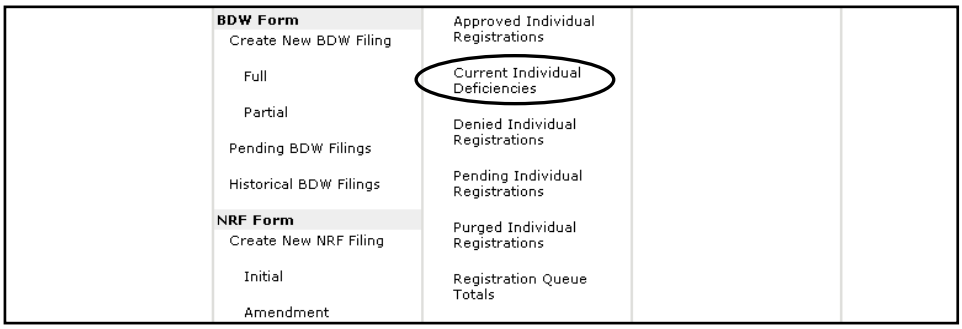
NOTE: An individual's name may be listed multiple times in the queue based on the number of jurisdictions in which he or she has deficiencies. The CRD Regs and IARD Regs columns indicate whether an individual is an AG or an RA.

Steps for Viewing Current Individual Deficiencies Notice Queue:

Access Current Individual Deficiencies Notice Queue

There are two ways to access individuals in the Current Individual Deficiencies Notice Queue:

1. From the CRD Site Map, click the **Current Individual Deficiencies** hyperlink.

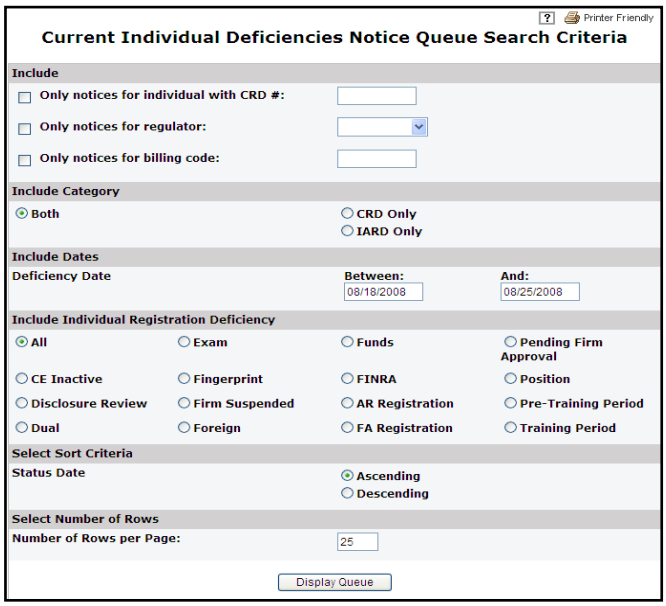


OR

1a. Click the **Individual** Tab from the Tool Bar, choose **Firm Queues** from the Sub-menu, click **Registrations** from the Navigation Bar and choose **Current Individual Deficiencies**.

Current Individual Deficiencies Notice Queue Search

[Result:] The *Current Individual Deficiencies Notice Queue Search Criteria* screen opens.

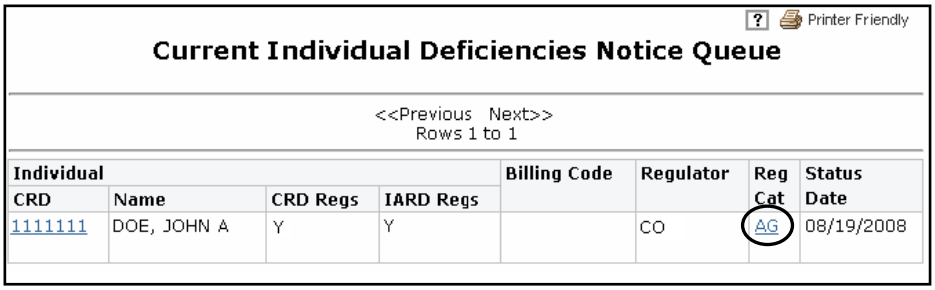


Current Individual Deficiencies Notice Queue Search (Continued)	When the Queue screen criteria screen opens, select a combination or one of the following options: 2. If searching for a specific individual, place a check mark in the **Only notices for individual with CRD #** box and type the individual CRD Number in the field. **NOTE:** If a check mark is selected, CRD requires the completion of the corresponding field. 3. If searching for individuals in a specific jurisdiction, click the **Only notices for regulator** box and choose the appropriate regulator. 4. If searching by Branch Office, place a check mark in the **Only notices for billing code** box and type the Billing Code in the field. **NOTE:** A Billing Code is a number assigned by a firm to its branch office(s). 5. Click the **CRD Only** radio button. **NOTE:** CRD defaults to Both. Clicking the Both radio button will display AGs and RAs. 6. Type a **Deficiency Date** Range in the **[Between:]** and **[And:]** fields. **NOTE:** CRD defaults to the last 30 (thirty) days. A maximum of thirty (30) days is allowed. 7. If searching for a specific Deficiency type, click the appropriate **Include Individual Registration Deficiency** radio button. **NOTE**: Only one radio button may be checked. **OR** 7a. Click the **ALL** button for a comprehensive list of deficiencies. 8. If searching for individuals by the earliest **Filing Date**, click the **Ascending** radio button. **OR** 8a. If searching for individuals by the most recent **Filing Date**, click the **Descending** radio button. **NOTE:** CRD defaults to Ascending. 9. If searching by a specific number of rows, type the **Number of Rows per Page** in the field. **NOTE:** CRD defaults to twenty-five (25) rows. A maximum of fifty (50) rows is allowed per page.

Current Individual Deficiencies Notice Queue Search (Continued)

10. Click the **Display Queue** button.

[Result]: The *Current Individual Deficiencies Notice Queue* screen opens.



Printer Friendly

Current Individual Deficiencies Notice Queue

<<Previous Next>>
Rows 1 to 1

Individual				Billing Code	Regulator	Reg Cat	Status Date
CRD	Name	CRD Regs	IARD Regs				
1111111	DOE, JOHN A	Y	Y		CO	AG	08/19/2008

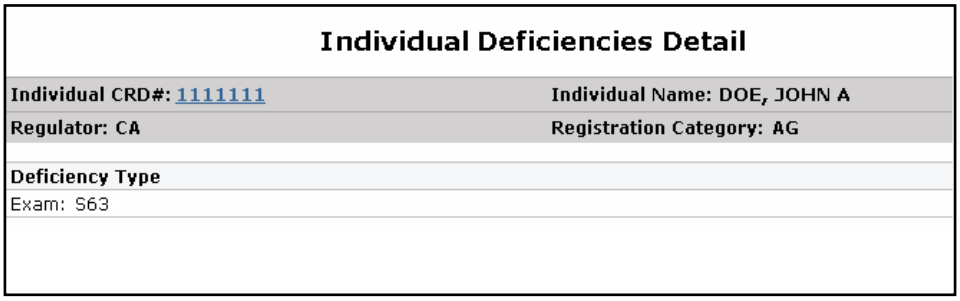
To view additional information on an individual's record, select one of the following options:

11. To view an individual's deficiencies, click the appropriate individual **CRD** number hyperlink, click **Deficiencies** from the Navigation Bar and click the **Firm Name** hyperlink.

OR

11a. To view a specific deficiency detail, click the specific position hyperlink in the **Reg Cat** column.

[Result]: The *Current Individual Deficiencies Detail* screen opens



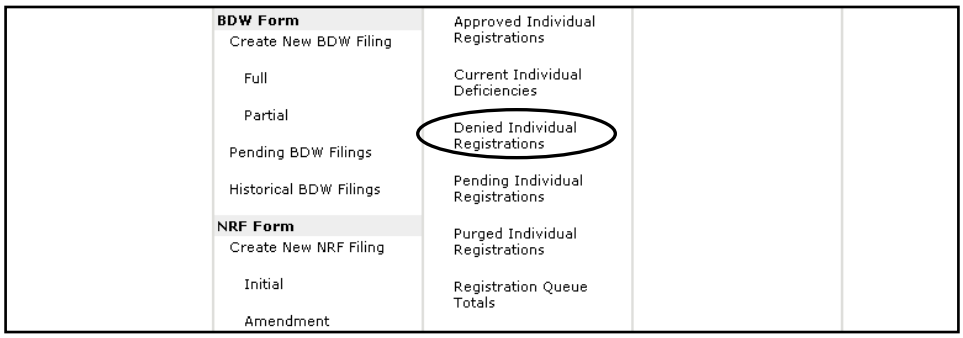
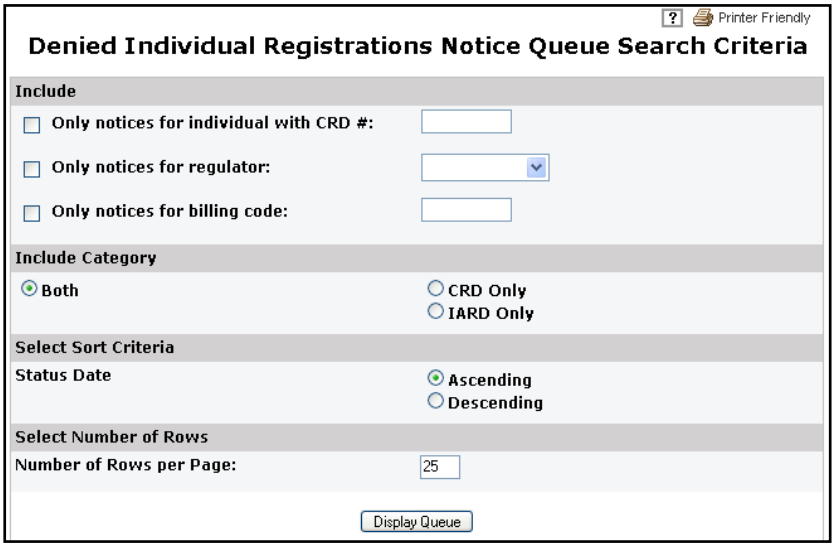
Individual Deficiencies Detail

Individual CRD#: 1111111	**Individual Name: DOE, JOHN A**
Regulator: CA	**Registration Category: AG**

Deficiency Type
Exam: S63

NOTE: An individual's name may be listed multiple times in the queue based on the number of jurisdictions in which he or she has deficiencies. The CRD Regs and IARD Regs columns indicate whether an individual is an AG or RA.

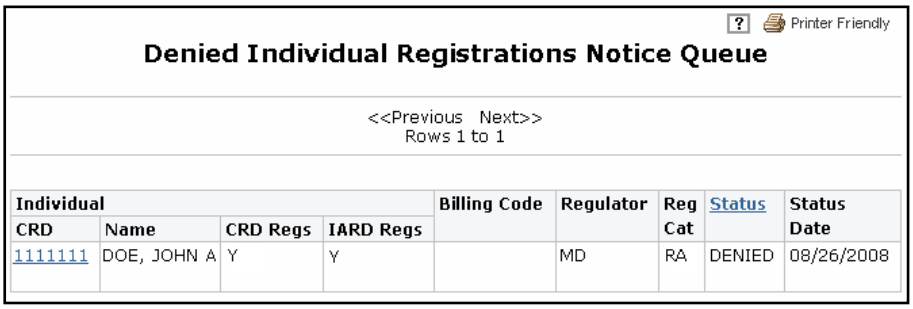
Steps for Viewing Denied Individual Registrations Notice Queue:

Access Denied Individual Registrations Notice Queue	There are two ways to access individuals in the Denied Individual Registrations Notice Queue: 1. From the CRD Site Map, click the **Denied Individual Registrations** hyperlink.  **<u>OR</u>** 1a. Click the **Individual** Tab from the Tool Bar, choose **Firm Queues** from the Sub-menu, click **Registrations** from the Navigation Bar and choose **Denied Individual Registrations**.
Denied Individual Registrations Notice Queue Search	**[Result:]** The *Denied Individual Registration Notice Queue Search Criteria* screen opens. 

Denied Individual Registrations Notice Queue Search (Continued)	When the Queue screen criteria screen opens, select a combination or one of the following options: 2. If searching for a specific individual, place a check mark in the **Only notices for individual with CRD #** box and type the individual CRD Number in the field. **NOTE:** If a check mark is selected, CRD requires the completion of the corresponding field. 3. If searching for individuals in a specific jurisdiction click the **Only notices for regulator** box and choose the appropriate regulator. 4. If searching by Branch Office, place a check mark in the **Only notices for billing code** box and type the Billing Code in the field. **NOTE:** A Billing Code is a number assigned by a firm to its branch office(s). 5. Click the **CRD Only** radio button. **NOTE:** CRD defaults to Both. Clicking the Both radio button will display AGs and RAs. 6. If searching for individuals by the earliest **Status Date**, click the **Ascending** radio button. **OR** 6a. If searching for individuals by the most recent **Status Date**, click the **Descending** radio button. **NOTE:** CRD defaults to Ascending. 7. If searching by a specific number of rows, type the **Number of Rows per Page** in the field. **NOTE:** CRD defaults to twenty-five (25) rows. A maximum of fifty (50) rows is allowed per page. 8. Click the **Display Queue** button.

View Denied Individual Registrations Notice Queue

[Result:] The *Denied Individual Registrations Notice Queue* screen opens.



Printer Friendly

Denied Individual Registrations Notice Queue

<<Previous Next>>
Rows 1 to 1

Individual				Billing Code	Regulator	Reg Cat	Status	Status Date
CRD	Name	CRD Regs	IARD Regs					
1111111	DOE, JOHN A	Y	Y		MD	RA	DENIED	08/26/2008

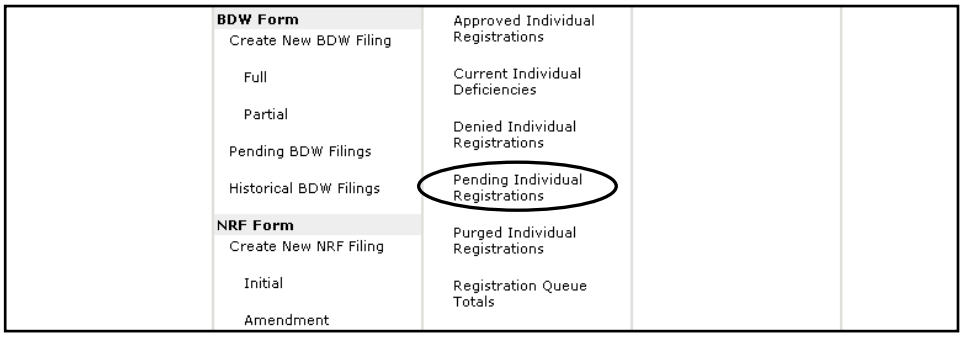
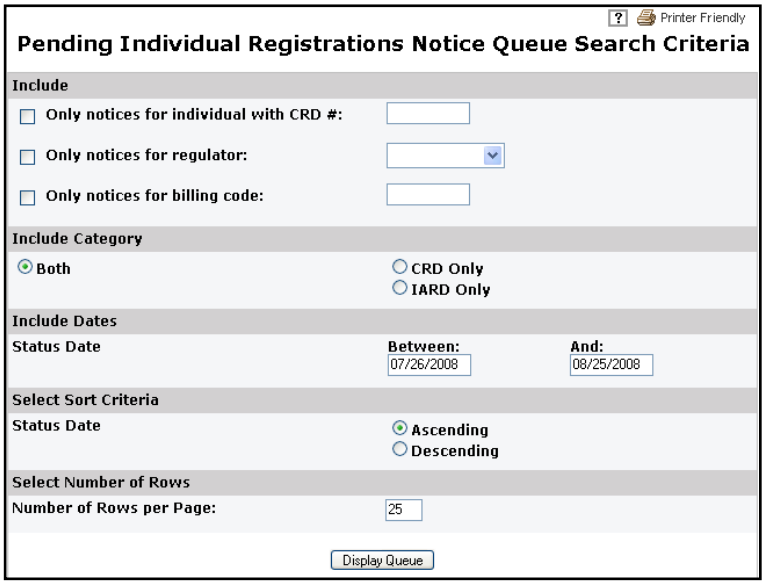
To view additional information on an individual's record, select one of the following options:

9. To view an individual's Composite Information, click the appropriate **CRD** hyperlink.

10. To view individual registration status definitions, click the **Status** hyperlink.

NOTE: An individual's name may be listed multiple times in the queue based on the number of jurisdictions in which he or she is denied. The CRD Regs and IARD Regs columns indicate whether an individual is an AG or RA.

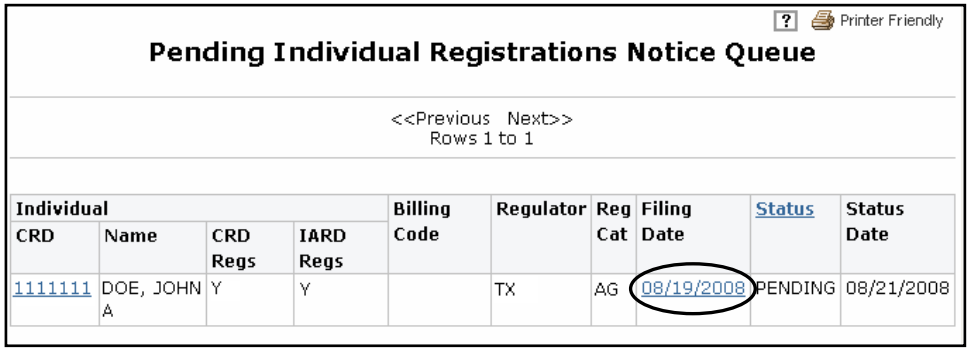
Steps for Viewing Pending Individual Registrations Notice Queue:

Access Pending Individual Registrations Notice Queue	There are two ways to access individuals in the Pending Individual Registrations Notice Queue: 1. From the CRD Site Map, click the **Pending Individual Registrations** hyperlink.  **OR** 1a. Click the **Individual** Tab from the Tool Bar, choose **Firm Queues** from the Sub-menu, click **Registrations** from the Navigation Bar and choose **Pending Individual Registrations**.
Pending Individual Registrations Notice Queue Search	**[Result:]** The *Pending Individual Registration Notice Queue Search Criteria* screen opens. 

Pending Individual Registrations Notice Queue Search (Continued)	When the Queue screen criteria screen opens, select a combination or one of the following options: 2. If searching for a specific individual, place a check mark in the **Only notices for individual with CRD #** box and type the individual CRD Number in the field. **NOTE:** If a check mark is selected, CRD requires the completion of the corresponding field. 3. If searching by Branch Office, click the **Only notices for billing code** box and type the Billing Code in the field. **NOTE:** A Billing Code is a number assigned by a firm to its branch office(s). 4. If searching for individuals in a specific jurisdiction, click the **Only notices for regulator** box and choose the appropriate regulator. 5. Click the **CRD Only** radio button. **NOTE:** CRD defaults to Both. Clicking the Both radio button will display AGs and RAs. 6. Type a **Status Date** Range in the **[Between:]** and **[And:]** fields. **NOTE:** CRD defaults to the last thirty (30) days. A maximum of thirty (30) days is allowed. 7. If searching for individuals by the earliest **Status Date**, click the **Ascending** radio button. **OR** 7a. If searching for individuals by the most recent **Status Date**, click the **Descending** radio button. **NOTE:** CRD defaults to Ascending. 8. If searching by a specific number of rows, type the **Number of Rows per Page** in the field. **NOTE:** CRD defaults to twenty-five (25) rows. A maximum of fifty (50) rows is allowed per page. 9. Click the **Display Queue** button.

View Pending Individual Registrations Notice Queue

[Result:] The *Pending Individual Registrations Notice Queue* screen opens.



Printer Friendly

Pending Individual Registrations Notice Queue

<<Previous Next>>
Rows 1 to 1

Individual				Billing Code	Regulator	Reg Cat	Filing Date	Status	Status Date
CRD	Name	CRD Regs	IARD Regs						
1111111	DOE, JOHN A	Y	Y		TX	AG	08/19/2008	PENDING	08/21/2008

To view additional information on an individual's record, select one of the following options:

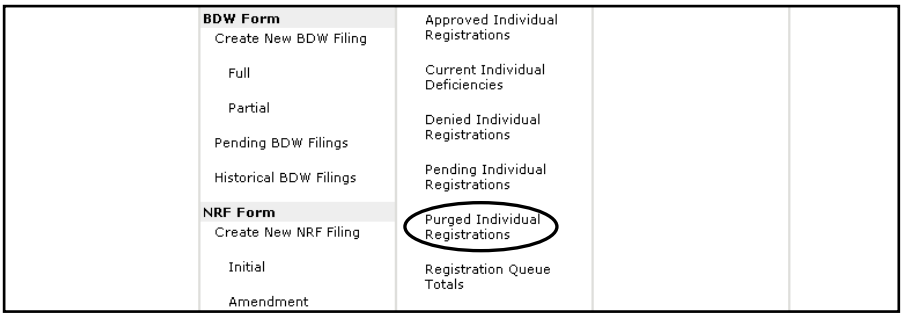
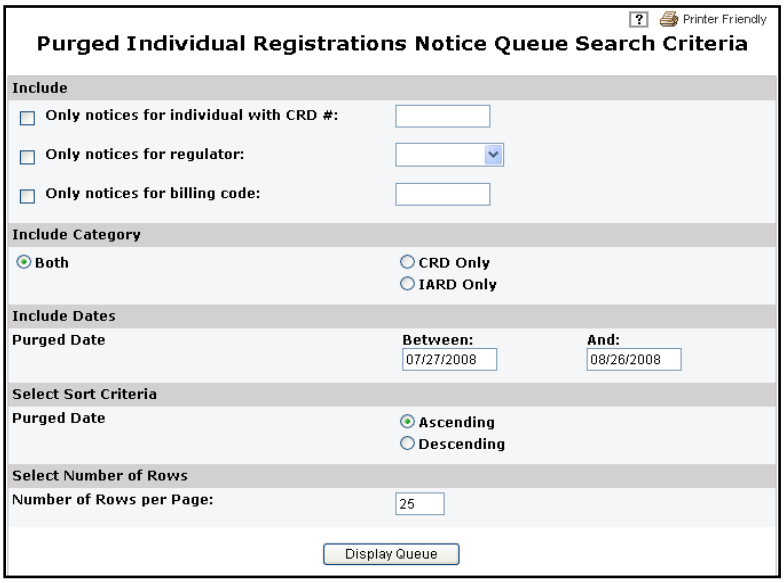
10. To view an individual's Composite Information, click the appropriate **CRD** hyperlink.

11. To view an individual's Form Filing History in View Individual, click the **Filing Date** hyperlink.

12. To view individual registration status definitions, click the **Status** hyperlink.

NOTE: An individual's name may be listed multiple times in the queue based on the number of jurisdictions in which he or she has pending registrations. The CRD Regs and IARD Regs columns indicate whether an individual is an AG or RA.

Steps for Viewing Purged Individual Registrations Notice Queue:

Access Purged Individual Registrations Notice Queue	There are two ways to access individuals in the Purged Individual Registrations Notice Queue: 1. From the CRD Site Map, click the **Purged Individual Registrations** hyperlink.  **OR** 1a. Click the **Individual** Tab from the Tool Bar, choose **Firm Queues** from the Sub-menu, click **Registrations** from the Navigation Bar and choose **Purged Individual Registrations**.
Purged Individual Registrations Notice Queue Search	**[Result:]** The *Purged Individual Registration Notice Queue Search Criteria* screen opens. 

Purged Individual Registrations Notice Queue Search (Continued)	When the Queue screen criteria screen opens, select a combination or one of the following options: 2. If searching for a specific individual, place a check mark in the **Only notices for individual with CRD #** box and type the individual CRD Number in the field. **NOTE:** If a check mark is selected, CRD requires the completion of the corresponding field. 3. If searching for individuals in a specific jurisdiction, click the **Only notices for regulator** box and choose the appropriate regulator. 4. If searching by Branch Office, place a check mark in the **Only notices for billing code** box and type the Billing Code in the field. **NOTE:** A Billing Code is a number assigned by a firm to its branch office(s). 5. Click the **CRD Only** radio button. **NOTE:** CRD defaults to Both. Clicking the Both radio button will display AGs and RAs. 6. Type a **Purge Date** Range in the **[Between:]** and **[And:]** fields. **NOTE:** CRD defaults to the last thirty (30) days. A maximum of thirty (30) days is allowed. 7. If searching for individuals by the earliest **Purge Date**, click the **Ascending** radio button. **OR** 7a. If searching for individuals by the most recent **Purge Date**, click the **Descending** radio button. **NOTE:** CRD defaults to Ascending. 8. If searching by a specific number of rows, type the **Number of Rows per Page** in the field. **NOTE:** CRD defaults to twenty-five (25) rows. A maximum of fifty (50) rows is allowed per page. 9. Click the **Display Queue** button.

View Purged Individual Registrations Notice Queue

[Result:] The *Purged Individual Registrations Notice Queue* screen opens.

Printer Friendly

Purged Individual Registrations Notice Queue

<<Previous Next>>
Rows 1 to 6

Individual				Billing Code	Regulator	Reg Cat	Purged Date
CRD	Name	CRD Regs	IARD Regs				
1111111	DOE, JOHN A	N	N		FINRA	GP	08/01/2008
2222222	DOE, JOHN B	N	N		FINRA	GS	08/16/2008

10. To view an individual's Composite Information, click the appropriate **CRD** hyperlink.

11. To view the deficiency detail prior to the purge, click the position hyperlink in the **Reg Cat** hyperlink.

[Result]: The *Individual Deficiencies Detail* screen opens

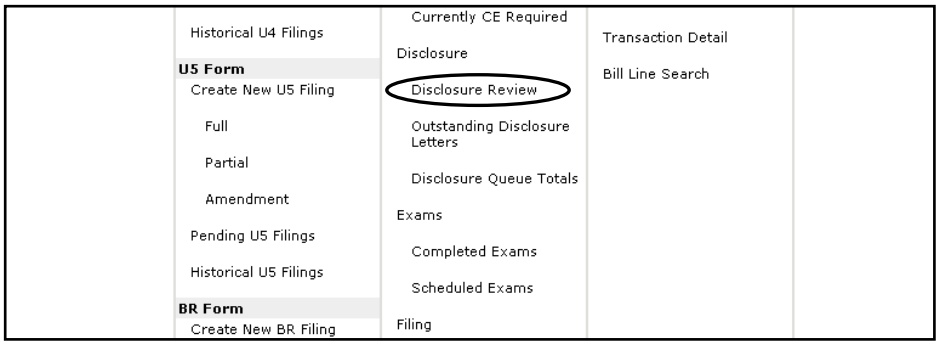
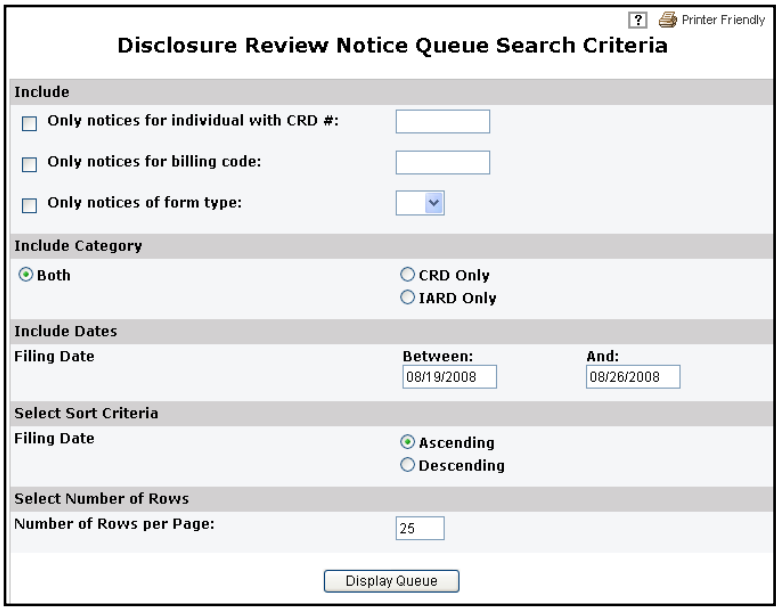
Individual Deficiencies Detail

Individual CRD#: 1111111	**Individual Name: DOE, JOHN A**
Regulator: FINRA	**Registration Category: GS**

Deficiency Type
Exam: S7

NOTE: An individual's name may be listed multiple times in the queue based on the number of jurisdictions in which he or she has been purged. The CRD Regs and IARD Regs columns indicate whether an individual is an AG or RA.

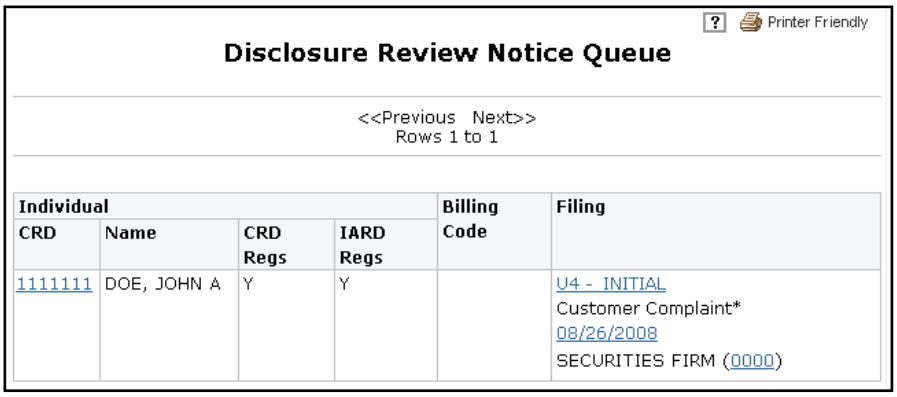
Steps for Viewing Disclosure Review Notice Queue:

Access Disclosure Review Notice Queue	There are two ways to access individuals in the Disclosure Review Notice Queue: 1. From the CRD Site Map, click the **Disclosure Review** hyperlink.  **OR** 1a. Click the **Individual** Tab from the Tool Bar, choose **Firm Queues** from the Sub-menu, and click **Disclosure** from the Navigation Bar.
Disclosure Review Notice Queue Search	**[Result:]** CRD defaults to the *Disclosure Review Notice Queue Search Criteria* screen.  **NOTE**: Disclosure Queue Totals section lists total number of items in disclosure queues.

Disclosure Review Notice Queue Search (Continued)	When the Queue screen criteria screen opens, select a combination or one of the following options: 2. If searching for a specific individual, place a check mark in the **Only notices for individual with CRD #** box and type the individual CRD Number in the field. **NOTE:** If a check mark is selected, CRD requires the completion of the corresponding field. 3. If searching by Branch Office, place a check mark in the **Only notices for billing code** box and type the Billing Code in the field. **NOTE:** A Billing Code is a number assigned by a firm to its branch office(s). 4. If searching for individuals with disclosure on a specific form filing type, click the **Only notices of form type** box and choose the appropriate form filing type. 5. Click the **CRD Only** radio button. **NOTE:** CRD defaults to Both. Clicking the Both radio button will display AGs and RAs. 6. Type a **Filing Date** Range in the **[Between:]** and **[And:]** fields. **NOTE:** CRD defaults to the last seven (7) days. A maximum of thirty (30) days is allowed. 7. If searching for individuals by the earliest **Filing Date**, click the **Ascending** radio button. **OR** 7a. If searching for individuals by the most recent **Filing Date**, click the **Descending** radio button. **NOTE:** CRD defaults to Ascending. 8. If searching by a specific number of rows, type the **Number of Rows per Page** in the field. **NOTE:** CRD defaults to twenty-five (25) rows. A maximum of fifty (50) rows is allowed per page. 9. Click the **Display Queue** button.

View Disclosure Review Notice Queue

[Result:] The *Disclosure Review Notice Queue* display screen opens.



Printer Friendly

Disclosure Review Notice Queue

<<Previous Next>>
Rows 1 to 1

Individual				Billing Code	Filing
CRD	Name	CRD Regs	IARD Regs		
1111111	DOE, JOHN A	Y	Y		U4 - INITIAL Customer Complaint* 08/26/2008 SECURITIES FIRM (0000)

To view additional information on an individual's record, select one of the following options:

10. To view an individual's Composite Information, click the appropriate **CRD** hyperlink.

11. To view an individual's Form Filing, click the **Filing Type** hyperlink.

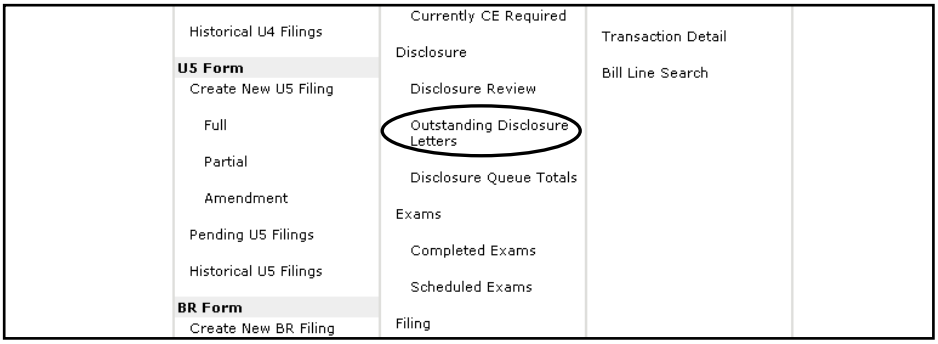
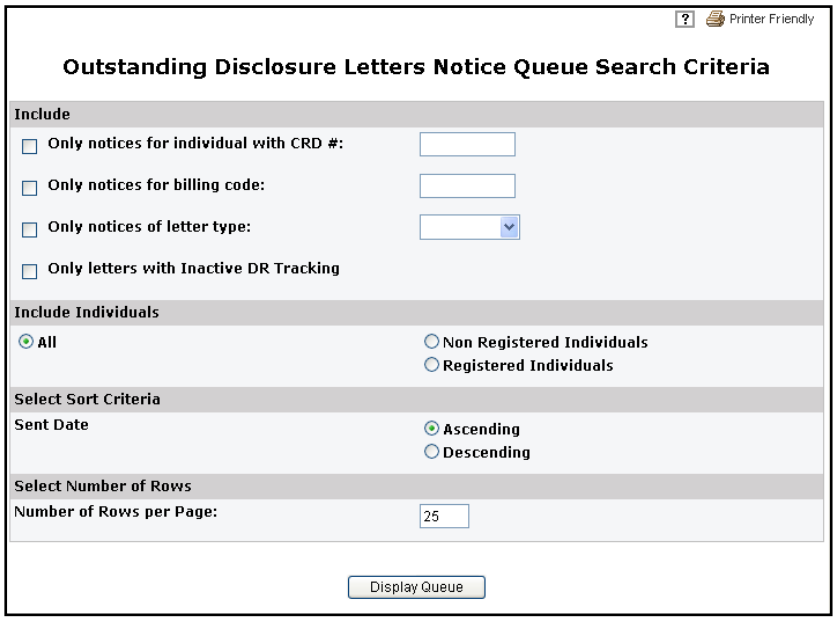
12. To view an individual's Disclosure, click the **Disclosure Type** hyperlink.

13. To view individual's Amendment filings on a particular disclosure, click the **Filing Date** hyperlink.

14. To view the organization information, click the **Organization CRD Number** hyperlink.

NOTE: The CRD Regs and IARD Regs columns indicate whether an individual is an AG or RA.

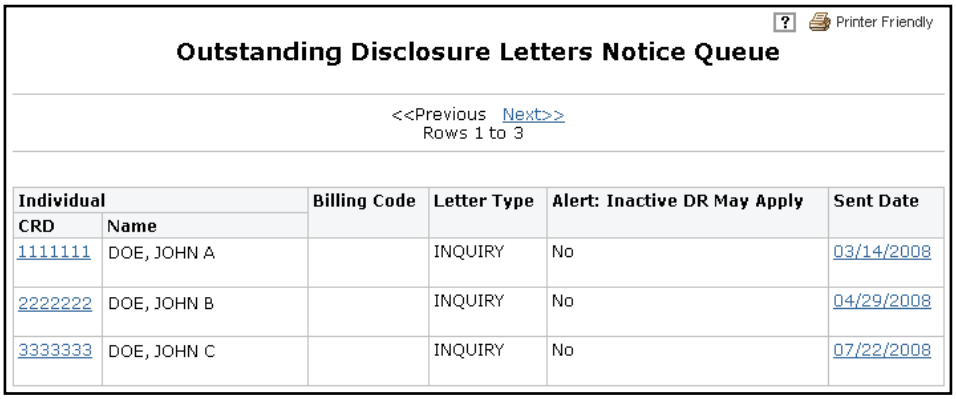
Steps for Viewing Outstanding Disclosure Letters Notice Queue:

Access Outstanding Disclosure Letters Notice Queue	There are two ways to access individuals in the Outstanding Disclosure Letters Notice Queue: 1. From the CRD Site Map, click the **Outstanding Disclosure Letters** hyperlink.  **<u>OR</u>** 1a. Click the **Individual** Tab from the Tool Bar, choose **Firm Queues** from the Sub-menu, click **Disclosure** from the Navigation Bar and choose **Outstanding Disclosure Letters**.
Outstanding Disclosure Letters Notice Queue Search	**[Result:]** The *Outstanding Disclosure Letters Notice Queue Search Criteria* screen opens. 

Outstanding Disclosure Letters Notice Queue Search (Continued)	When the Queue screen criteria screen opens, select a combination or one of the following options: 2. If searching for a specific individual, place a check mark in the **Only notices for individual with CRD #** box and type the individual CRD Number in the field. **NOTE:** If a check mark is selected, CRD requires the completion of the corresponding field. 3. If searching by Branch Office, place a check mark in the **Only notices for billing code** box and type the Billing Code in the field. **NOTE:** A Billing Code is a number assigned by a firm to its branch office(s). 4. If searching for individuals in a specific disclosure letter type, click the **Only notices of letter type** box and choose the appropriate letter type. 6. Click the **Only Letters with Inactive DR Tracking** box when searching for individuals with a FINRA approved registration status for which there is an outstanding disclosure inquiry letter requesting a Form U4 amendment to report either a new disclosure event, a status update to a previously reported disclosure event, and/or court documents. **NOTE:** Please see tips on page 6-65 for more information on the Inactive Disclosure status. 6. If searching for individuals by the earliest **Sent Date**, click the **Ascending** radio button. **OR** 6a. If searching for individuals by the most recent **Sent Date**, click the **Descending** radio button. **NOTE:** CRD defaults to Ascending. 7. If searching by a specific number of rows, type the **Number of Rows per Page** in the field. **NOTE:** CRD defaults to twenty-five (25) rows. A maximum of fifty (50) rows is allowed per page. 8. Click the **Display Queue** button.

View Outstanding Disclosure Letters Notice Queue

[Result:] The *Outstanding Disclosure Letters Notice Queue display screen* opens.



Printer Friendly

Outstanding Disclosure Letters Notice Queue

<<Previous Next>>
Rows 1 to 3

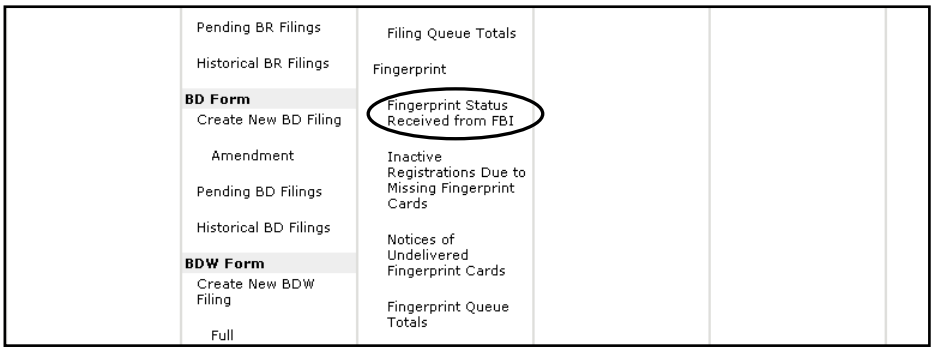
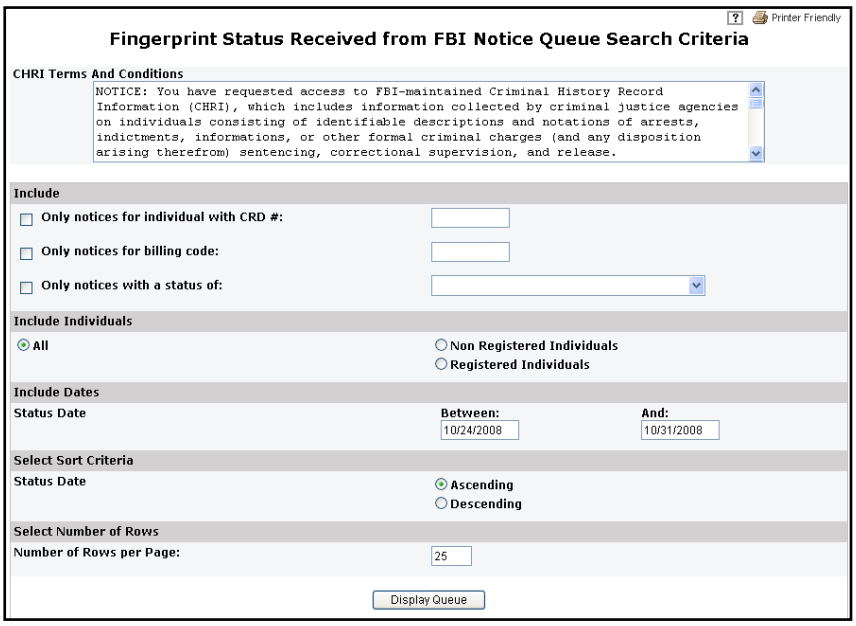
Individual		Billing Code	Letter Type	Alert: Inactive DR May Apply	Sent Date
CRD	Name				
1111111	DOE, JOHN A		INQUIRY	No	03/14/2008
2222222	DOE, JOHN B		INQUIRY	No	04/29/2008
3333333	DOE, JOHN C		INQUIRY	No	07/22/2008

To view additional information on an individual's record, select one of the following options:

9. To view an individual's Composite information, click the appropriate **CRD** hyperlink.

10. To view the electronic letter, click the **Sent Date** hyperlink.

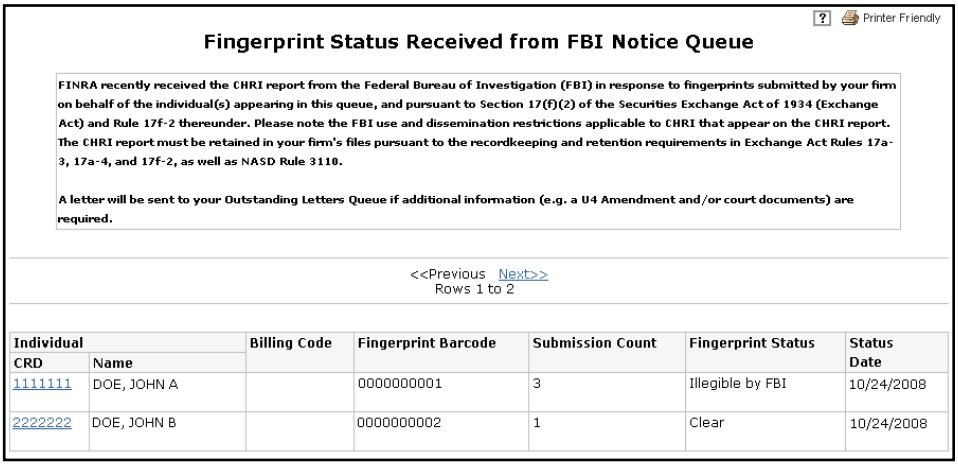
Steps for Viewing Fingerprint Status Received from FBI Notice Queue:

Access Fingerprint Status Received from FBI Notice Queue	There are two ways to access individuals in the Fingerprint Status Received from FBI Notice Queue: 1. From the Site Map, click the **Fingerprint Status Received from FBI** hyperlink.  **<u>OR</u>** 1a. Click the **Individual** Tab from the Tool Bar, choose **Firm Queues** from the Sub-menu and click **Fingerprint** from the Navigation Bar.
Fingerprint Status Received from FBI Notice Queue Search	**[Result]** The *Fingerprint Status Received from FBI Notice Queue Search Criteria* screen displays.  **NOTE:** Read the CHRI Terms and Conditions prior to proceeding.

Fingerprint Status Received from FBI Notice Queue Search (Continued)	When the Queue screen criteria screen opens, select a combination or one of the following options: 2. If searching for a specific individual, place a check mark in the **Only notices for individual with CRD #** box and type the individual CRD Number in the field. **NOTE:** If a check mark is selected, CRD requires the completion of the corresponding field. 3. If searching by Branch Office, place a check mark in the **Only notices for billing code** box and type the Billing Code in the field. **NOTE:** A Billing Code is a number assigned by a firm to its branch office(s). 4. If searching for individuals in a specific fingerprint status click the **Only notices with a status of** box and choose the appropriate status. **NOTE:** Leave blank to display all fingerprint statuses received. 5. If searching for Non Registered Individuals, click the **Non Registered Individuals** radio button. **OR** 5a. If searching for Registered individuals, click the **Registered Individuals** radio button. **NOTE:** CRD defaults to All. 6. Type a **Status Date** Range in the **[Between:]** and **[And:]** fields. **NOTE:** CRD defaults to the last seven (7) days. A maximum of thirty (30) days is allowed 7. If searching for individuals by the earliest fingerprint **Status Date**, click the **Ascending** radio button. **OR** 7a. If searching for individuals by the most recent fingerprint **Status Date**, click the **Descending** radio button. **NOTE:** CRD defaults to Ascending. 8. If searching by a specific number of rows, type the **Number of Rows per Page** in the field. **NOTE:** CRD defaults to twenty-five (25) rows. A maximum of fifty (50) rows is allowed per page. 9. Click the **Display Queue** button.

View Fingerprint Status Received from FBI Notice Queue

[Result:] The *Fingerprint Status Received from FBI Notice Queue* screen opens.



Printer Friendly

Fingerprint Status Received from FBI Notice Queue

FINRA recently received the CHRI report from the Federal Bureau of Investigation (FBI) in response to fingerprints submitted by your firm on behalf of the individual(s) appearing in this queue, and pursuant to Section 17(f)(2) of the Securities Exchange Act of 1934 (Exchange Act) and Rule 17f-2 thereunder. Please note the FBI use and dissemination restrictions applicable to CHRI that appear on the CHRI report. The CHRI report must be retained in your firm's files pursuant to the recordkeeping and retention requirements in Exchange Act Rules 17a-3, 17a-4, and 17f-2, as well as NASD Rule 3110.

A letter will be sent to your Outstanding Letters Queue if additional information (e.g. a U4 Amendment and/or court documents) are required.

<<Previous Next>>
Rows 1 to 2

Individual		Billing Code	Fingerprint Barcode	Submission Count	Fingerprint Status	Status Date
CRD	Name					
1111111	DOE, JOHN A		0000000001	3	Illegible by FBI	10/24/2008
2222222	DOE, JOHN B		0000000002	1	Clear	10/24/2008

10. To view an individual's Composite Information, click the appropriate **CRD** hyperlink.

11. To view an individual's CHRI information, click on the fingerprint barcode number hyperlink.

NOTE: The fingerprint barcode is a hyperlink only if the individual has a criminal record.

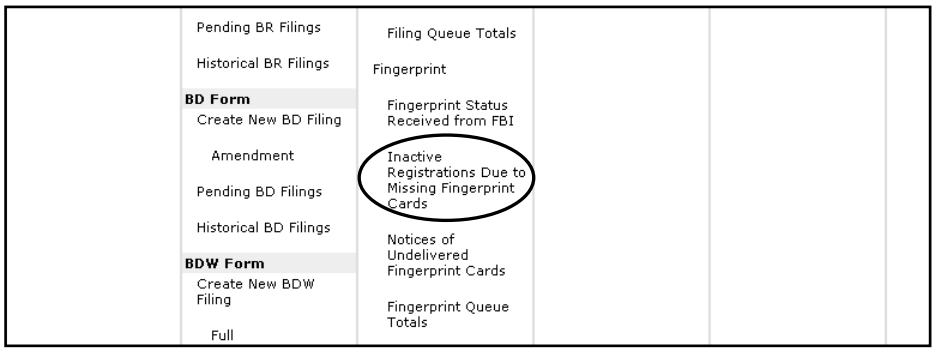
Please note the FBI use and dissemination restrictions applicable to CHRI that appear on the CHRI report. The CHRI report must be retained in your firm's files pursuant to the record keeping and retention requirements in Exchange Act Rules 17a-3, 17a-4, and 17f-2, as well as NASD Rule 3110.

Steps for Viewing Inactive Registrations Due to Missing Fingerprint Cards Notice Queue:

Access Inactive Registrations Due to Missing Fingerprint Cards Notice Queue

There are two ways to access individuals in the Inactive Registrations Due to Missing Fingerprint cards Notice Queue:

1. From the Site Map, click the **Inactive Registrations Due to Missing Fingerprint Cards** hyperlink.

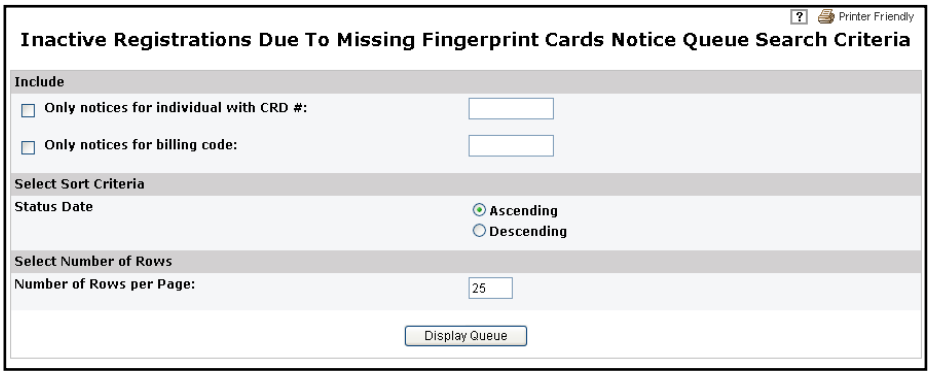


OR

1a. Click the **Individual** Tab from the Tool Bar, choose **Firm Queues** from the Sub-menu and click **Fingerprint** from the Navigation Bar and choose **Inactive Registrations Due to Missing Fingerprint Cards**.

Inactive Registrations Due to Missing Fingerprint Cards Notice Queue Search

[Result] The *Inactive Registrations Due to Missing Fingerprint Cards Notice Queue Search Criteria* screen opens.



Inactive Registrations Due to Missing Fingerprint Cards Notice Queue Search (Continued)

When the Queue screen criteria screen opens, select a combination or one of the following options:

2. If searching for a specific individual, place a check mark in the **Only notices for individual with CRD #** box and type the individual CRD Number in the field.

NOTE: If a check mark is selected, CRD requires the completion of the corresponding field.

3. If searching by Branch Office, place a check mark in the **Only notices for billing code** box and type the Billing Code in the field.

NOTE: A Billing Code is a number assigned by a firm to its branch office(s).

4. If searching for individuals by the earliest **Status Date**, click the **Ascending** radio button.

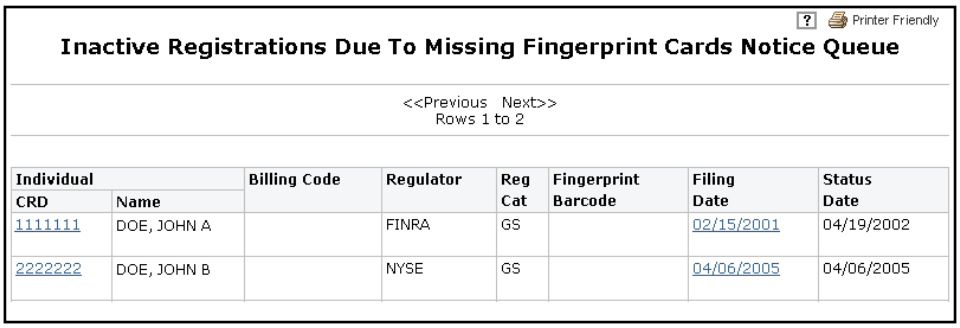
OR

4a. If searching for individuals by the most recent **Status Date**, click the **Descending** radio button. CRD defaults to Ascending.

5. If searching by a specific number of rows, type the **Number of Rows per Page** in the field. CRD defaults to twenty-five (25) rows. A maximum of fifty (50) rows is allowed per page.

6. Click the **Display Queue** button.

[Result:] The *Inactive Registrations Due to Missing Fingerprint Cards Notice Queue* screen opens.



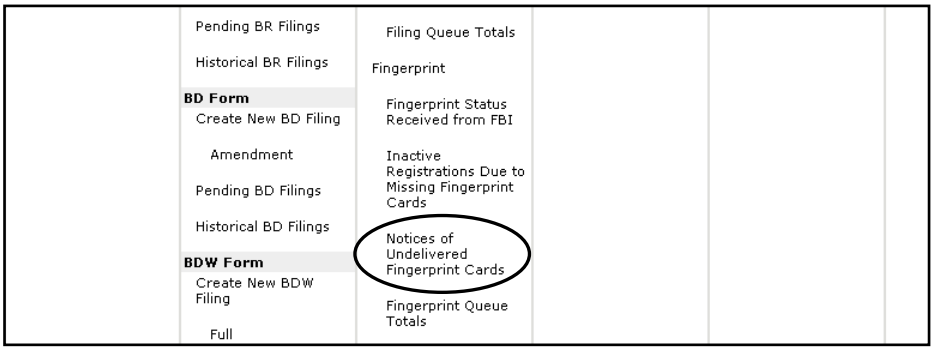
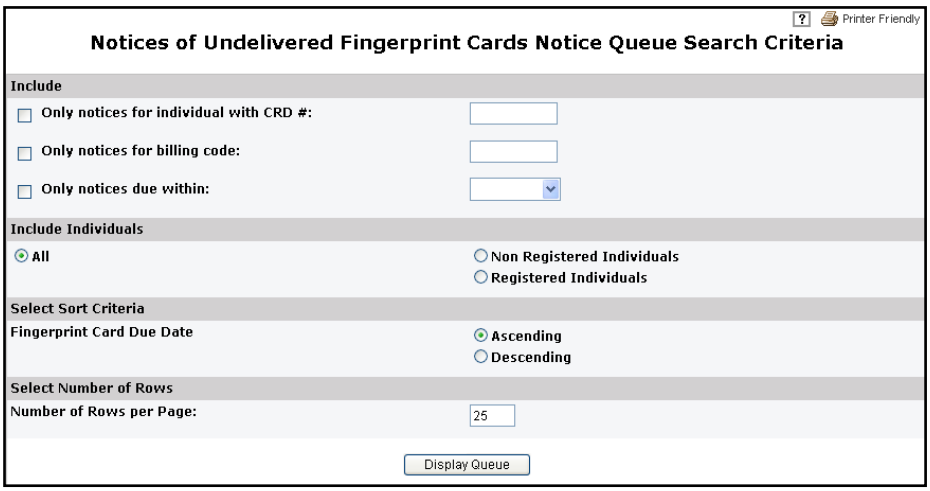
Individual CRD	Individual Name	Billing Code	Regulator	Reg Cat	Fingerprint Barcode	Filing Date	Status Date
1111111	DOE, JOHN A		FINRA	GS		02/15/2001	04/19/2002
2222222	DOE, JOHN B		NYSE	GS		04/06/2005	04/06/2005

To view additional information on an individual's record, select one of the following options:

7. To view an individual's Composite Information, click the appropriate **CRD** hyperlink.

8. To view an individual's Form Filing History in View Individual, click the **Filing Date** hyperlink.

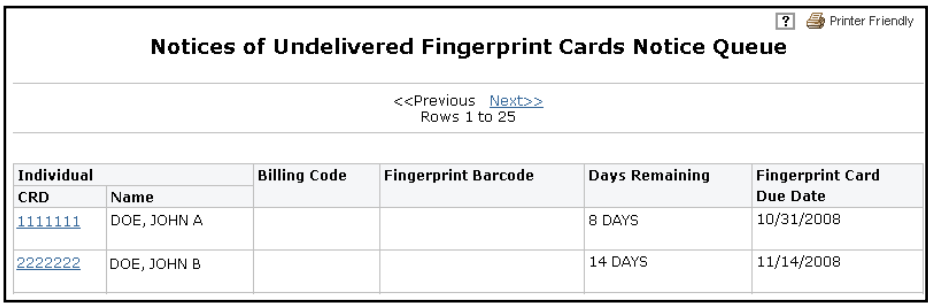
Steps for Viewing Notices of Undelivered Fingerprint Cards Notice Queue

Access Notices of Undelivered Fingerprint Cards Notice Queue	There are two ways to access individuals in the Notices Of Undelivered Fingerprint Cards Notice Queue: 1. From the Site Map, click the **Notices of Undelivered Fingerprint Cards** hyperlink.  **OR** 1a. Click the **Individual** Tab from the Tool Bar, choose **Firm Queues** from the Sub-menu and click **Fingerprint** from the Navigation Bar and choose **Notices of Undelivered Fingerprint Cards**.
Notices of Undelivered Fingerprint Cards Notice Queue Search	**[Result]** The *Notices of Undelivered Fingerprint Cards Notice Queue Search Criteria* screen opens. 

Notices of Undelivered Fingerprint Cards Notice Queue Search (Continued)	When the Queue screen criteria screen opens, select a combination or one of the following options: 2. If searching for a specific individual, place a check mark in the **Only notices for individual with CRD #** box and type the individual CRD Number in the field. **NOTE:** If a check mark is selected, CRD requires the completion of the corresponding field. 3. If searching by Branch Office, place a check mark in the **Only notices for billing code** box and type the Billing Code in the field. **NOTE:** A Billing Code is a number assigned by a firm to its branch office(s). 4. If searching for individual fingerprint cards due within specific time frames, click the **Only notices due within** box and choose the appropriate time frame. **NOTE:** If a check mark is selected, CRD requires the completion of the corresponding field. 5. If searching for non registered individuals, click the **Non Registered Individual** radio button. **OR** 5a. If searching for registered individuals, click the **Registered Individuals** radio button. **OR** 5b. If searching for both registered and non registered individuals, click the **All** radio button. **NOTE:** CRD defaults to All. 6. If searching for individuals by the most recent fingerprint card due date, click the **Ascending** radio button. **OR** 6a. If searching for individuals with the oldest fingerprint card due date click the **Descending** radio button. **NOTE:** CRD defaults to Ascending. 7. If searching by a specific number of rows, type the **Number of Rows per Page** in the field. **NOTE:** CRD defaults to twenty-five (25) rows. A maximum of fifty (50) rows is allowed per page. 8. Click the **Display Queue** button.

View Notices of Undelivered Fingerprint Cards Notice Queue

[Result:] The *Notices of Undelivered Fingerprint Cards Notice Queue* screen opens.



Printer Friendly

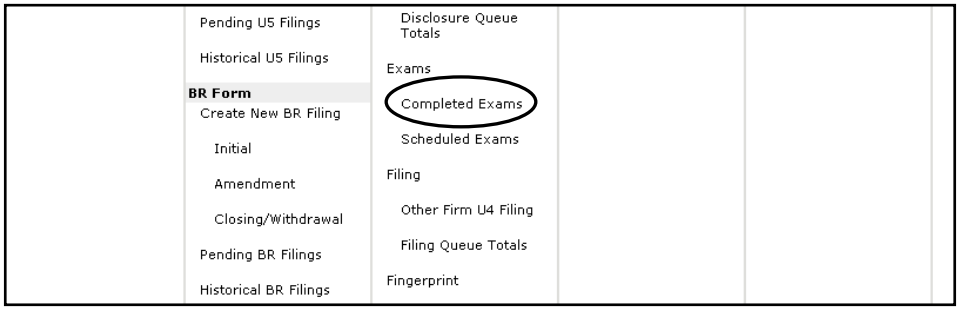
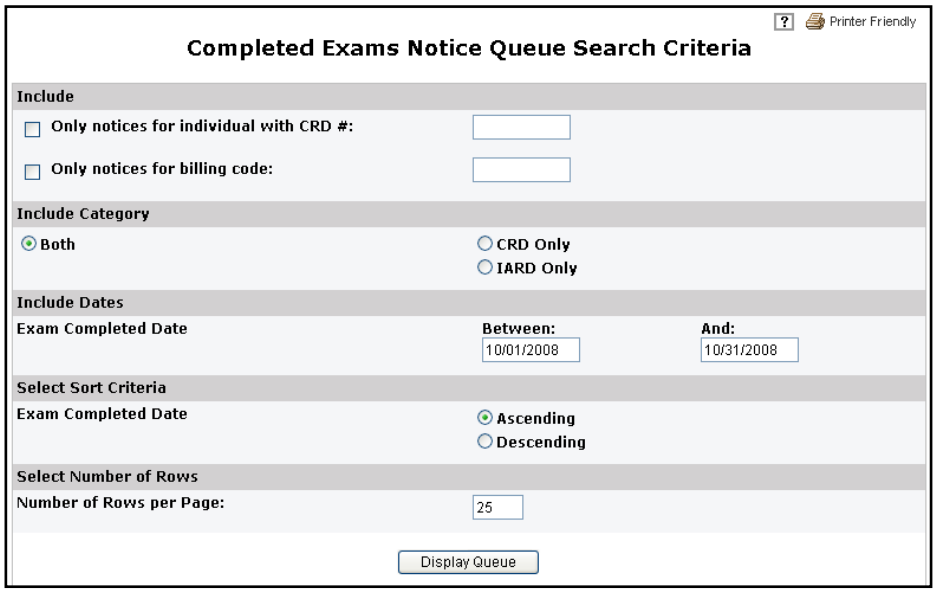
Notices of Undelivered Fingerprint Cards Notice Queue

<<Previous Next>>
Rows 1 to 25

Individual		Billing Code	Fingerprint Barcode	Days Remaining	Fingerprint Card Due Date
CRD	Name				
1111111	DOE, JOHN A			8 DAYS	10/31/2008
2222222	DOE, JOHN B			14 DAYS	11/14/2008

9. To view an individual's Composite Information, click the appropriate **CRD** hyperlink.

Steps for Viewing Completed Exams Notice Queue:

Access Completed Exams Notice Queue	There are two ways to access individuals in the Completed Exams Notice Queue: 1. From the CRD Site Map, click the **Completed Exams** hyperlink.  **OR** 1a. Click the **Individual** Tab from the Tool Bar, choose **Firm Queues** from the Sub-menu and click **Exams** from the Navigation Bar.
Completed Exams Notice Queue Search	**[Result:]** CRD defaults to the *Completed Exams Notice Queue Search Criteria* screen. 

Completed Exams Notice Queue Search (Continued)	When the Queue screen criteria screen opens, select a combination or one of the following options: 2. If searching for a specific individual, place a check mark in the **Only notices for individual with CRD #** box and type the individual CRD Number in the field. **NOTE:** If a check mark is selected, CRD requires the completion of the corresponding field. 3. If searching by Branch Office, place a check mark in the **Only notices for billing code** box and type the Billing Code in the field. **NOTE:** Billing Code is a number assigned by a firm to its branch office(s). 4. Click the **CRD Only** radio button. **NOTE:** CRD defaults to Both. Clicking the Both radio button will display AGs and RAs. 5. Type an **Exam Completed Date** Range in the **[Between:]** and **[And:]** fields. **NOTE:** CRD defaults to the last thirty-days (30). A maximum of thirty-days (30) is allowed. 6. If searching for individuals by the earliest **Exam Completed Date**, click the **Ascending** radio button. **OR** 6a. If searching for individuals by the most recent **Exam Completed Date**, click the **Descending** radio button. **NOTE:** CRD defaults to Ascending. 7. If searching by a specific number of rows, type the **Number of Rows per Page** in the field. **NOTE:** CRD defaults to twenty-five (25) rows. A maximum of fifty (50) rows is allowed per page. 8. Click the **Display Queue** button.

View Completed Exams Notice Queue

[Result:] The *Completed Exams Notice Queue* screen opens.

Printer Friendly

Completed Exams Notice Queue

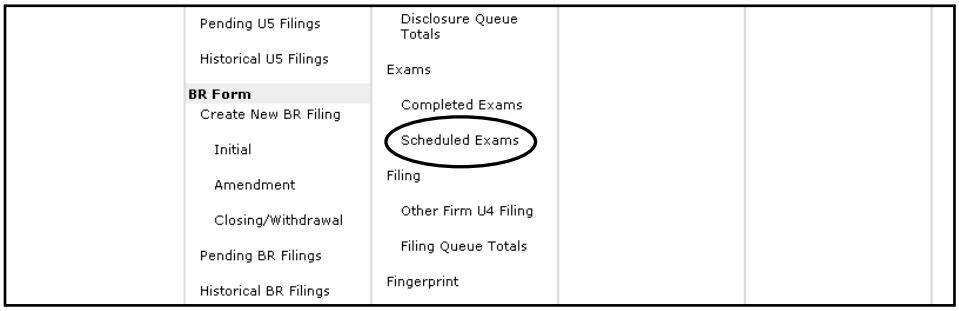
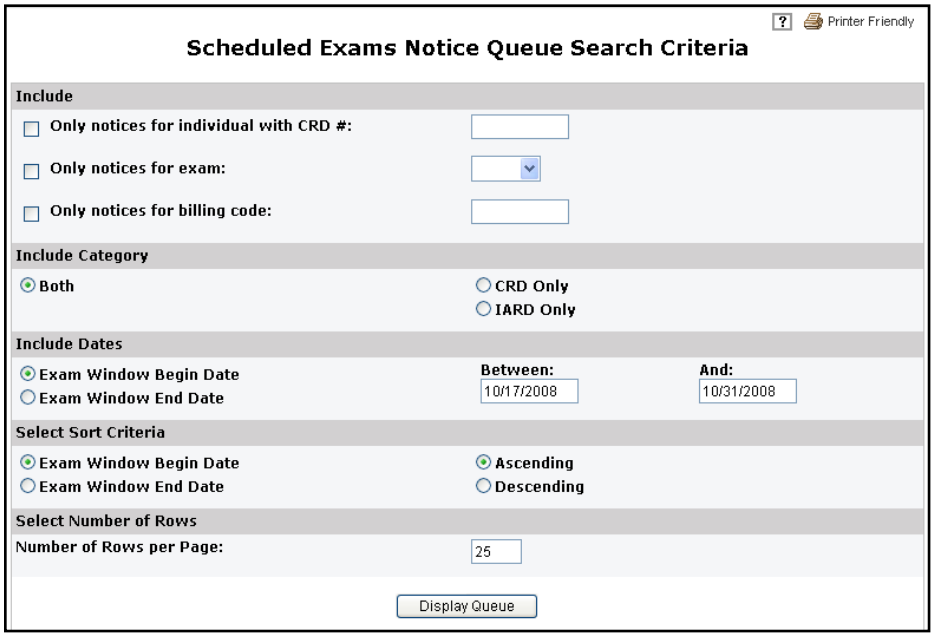
<<Previous Next>>
Rows 1 to 2

Individual				Billing Code	Exam	Grade	Score	Completion Date
CRD	Name	CRD Regs	IARD Regs					
1111111	DOE, JOHN A	Y	N		S10	FAILED	69	10/01/2008
2222222	DOE, JOHN B	Y	N		S7	PASSED	90	10/01/2008

9. To view an individual's Composite Information, click the appropriate **CRD** hyperlink.

NOTE: The CRD Regs and IARD Regs columns indicate whether an individual is an AG or RA.

Steps for Viewing Scheduled Exams Notice Queue:

Access Scheduled Exams Notice Queue	There are two ways to access individuals in the Scheduled Exams Notice Queue: 1. From the CRD Site Map, click the **Scheduled Exams** hyperlink.  **<u>OR</u>** 1a. Click the **Individual** Tab from the Tool Bar, choose **Firm Queues** from the Sub-menu, click **Exams** from the Navigation Bar and choose **Scheduled Exams**.
Scheduled Exams Notice Queue Search	**[Result:]** The *Scheduled Exams Notice Queue Search Criteria* screen opens. 

Scheduled Exams Notice Queue Search (Continued)	When the Queue screen criteria screen opens, select a combination or one of the following options: 2. If searching for a specific individual, place a check mark in the **Only notices for individual with CRD #** box and type the individual CRD Number in the field. **NOTE:** If a check mark is selected, CRD requires the completion of the corresponding field. 3. If searching for individuals with specific exam types, click the **Only notices for exam** box and choose the appropriate exam. 4. If searching by Branch Office, place a check mark in the **Only notices for billing code** box and type the Billing Code in the field. **NOTE:** A Billing Code is a number assigned by a firm to its branch office(s). 5. Click the **CRD Only** radio button. **NOTE:** CRD defaults to Both. Clicking the Both radio button will display AGs and RAs. 6. If searching for individuals by the window begin date, click the **Exam Window Begin Date** radio button and type an Exam window begin date Range in the **[Between:]** and **[And:]** fields. **OR** 6a. If searching for individuals by the window end date, click the **Exam Window End Date** radio button and type an Exam window end date Range in the **[Between:]** and **[And:]** fields. **NOTE:** CRD defaults to the last fourteen (14) days. A maximum of thirty days (30) is allowed. 7. If searching for individuals by the earliest **Exam Window Begin Date,** click the **Ascending** radio button. **OR** 7a. If searching for individuals by the latest **Exam Window Begin Date**, click the **Descending** radio button. **OR**

Scheduled Exams Notice Queue Search (Continued)	7b. If searching for individuals by the earliest **Exam Window End Date**, click the **Ascending** radio button. **OR** 7c. If searching for individuals by the latest **Exam Window End Date**, click the **Descending** radio button. **NOTE:** CRD defaults to Ascending. 8. If searching by a specific number of rows, type the **Number of Rows per Page** in the field. **NOTE:** CRD defaults to twenty-five (25) rows. A maximum of fifty (50) rows is allowed per page. 9. Click the **Display Queue** button.

View Scheduled Exams Notice Queue

[Result:] The *Scheduled Exams Notice Queue* screen opens.

Printer Friendly

Scheduled Exams Notice Queue

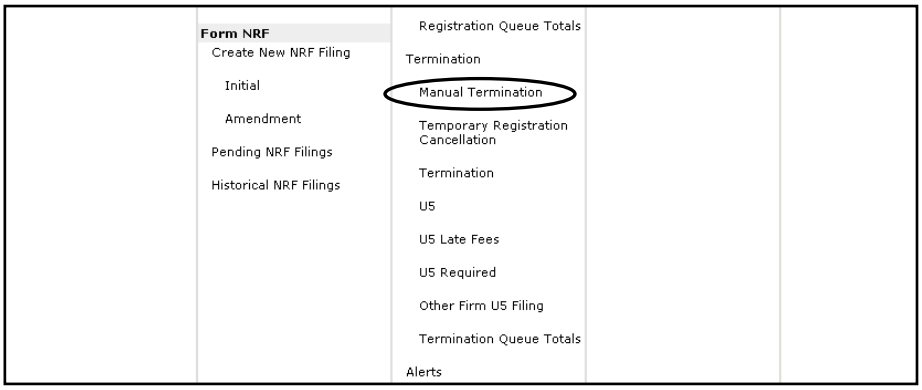
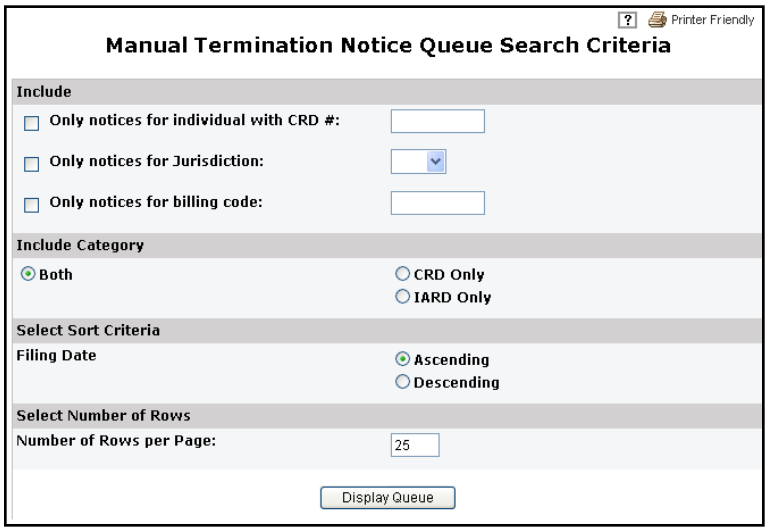
<<Previous Next>>
Rows 1 to 2

Individual				Billing Code	Window		Exam
CRD	Name	CRD Regs	IARD Regs		Begin Date	End Date	
1111111	DOE, JOHN A	Y	N		10/17/2008	02/14/2009	S7
2222222	DOE, JOHN B	Y	N		10/17/2008	02/14/2009	S7

10. To view an individual's Composite Information, click the appropriate **CRD** hyperlink.

NOTE: The CRD Regs and IARD Regs columns indicate whether an individual is a AG or an RA.

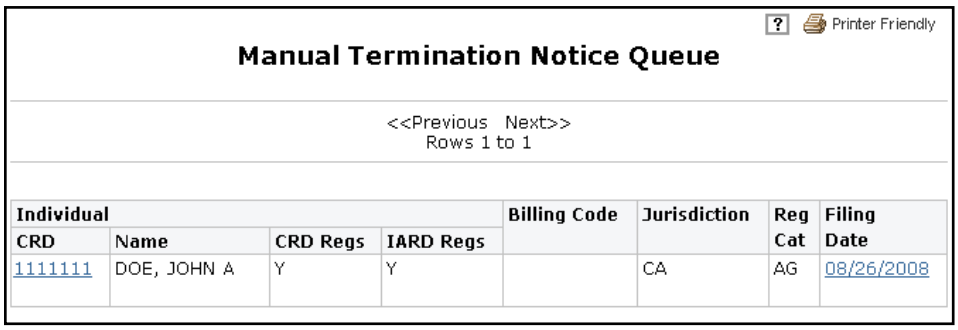
Steps for Viewing Manual Termination Notice Queue:

Access Manual Termination Notice Queue	There are two ways to access individuals in the Manual Termination Notice Queue: 1. From the CRD Site Map, click the **Manual Termination** hyperlink.  **<u>OR</u>** 1a. Click the **Individual** Tab from the Tool Bar, choose **Firm Queues** from the Sub-menu and click **Termination** from the Navigation Bar.
Manual Termination Notice Queue Search	**[Result:]** CRD defaults to the *Manual Termination Notice Queue Search Criteria* screen.  **NOTE**: Termination Queue Totals section lists total number of items in termination queues.

Manual Termination Notice Queue Search (Continued)	When the Queue screen criteria screen opens, select a combination or one of the following options: 2. If searching for a specific individual, place a check mark in the **Only notices for individual with CRD #** box and type the individual CRD Number in the field. **NOTE:** If a check mark is selected, CRD requires the completion of the corresponding field. 3. If searching for individuals in a specific jurisdiction, click the **Only notices for jurisdictions** box and choose the appropriate jurisdiction. 4. If searching by Branch Office, place a check mark in the **Only notices for billing code** box and type the Billing Code in the field. **NOTE:** A Billing Code is a number assigned by a firm to its branch office(s). 5. Click the **CRD Only** radio button. **NOTE:** CRD defaults to Both. Clicking the Both radio button will display AGs and RAs. 6. If searching for individuals by the earliest **Filing Date**, click the **Ascending** radio button. **OR** 6a. If searching for individuals by the most recent **Filing Date**, click the **Descending** radio button. **NOTE:** CRD defaults to Ascending. 7. If searching by a specific number of rows, type the **Number of Rows per Page** in the field. **NOTE:** CRD defaults to twenty-five (25) rows. A maximum of fifty (50) rows is allowed per page. 8. Click the **Display Queue** button.

View Manual Termination Notice Queue

[Result:] The *Manual Termination Notice Queue* screen opens.



Printer Friendly

Manual Termination Notice Queue

<<Previous Next>>
Rows 1 to 1

Individual				Billing Code	Jurisdiction	Reg Cat	Filing Date
CRD	Name	CRD Regs	IARD Regs				
1111111	DOE, JOHN A	Y	Y		CA	AG	08/26/2008

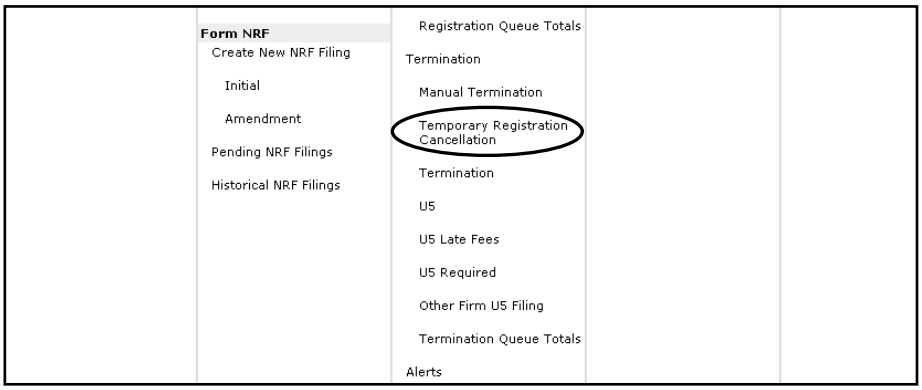
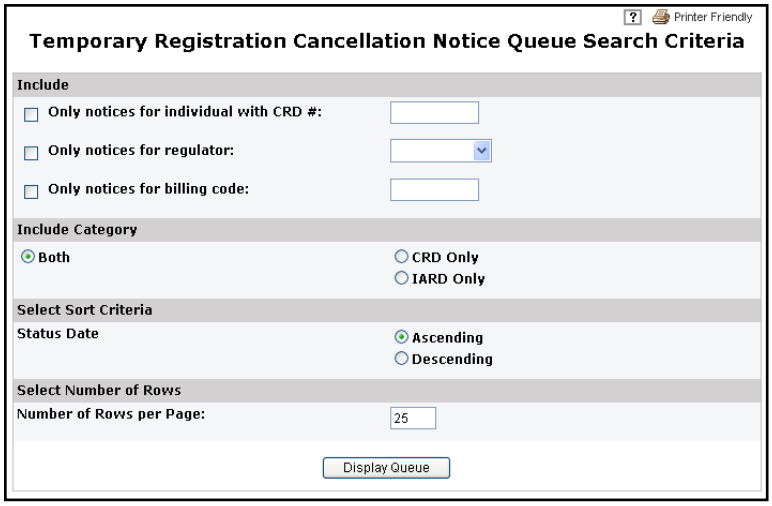
To view additional information on an individual's record, select one of the following options:

9. To view an individual's Composite Information, click the appropriate **CRD** hyperlink.

10. To view an individual's Form Filing History in View Individual, click the **Filing Date** hyperlink.

NOTE: An individual's name may be listed multiple times in the queue based on the number of jurisdictions in which he or she is blocked in. The CRD Regs and IARD Regs columns indicate whether an individual is an AG or RA.

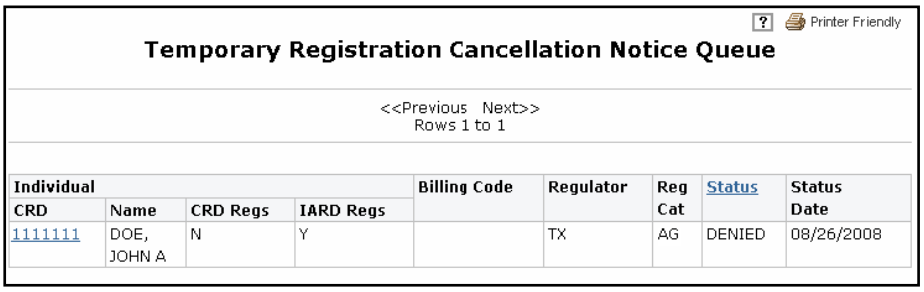
Steps for Viewing Temporary Registration Cancellation Notice Queue:

Access Temporary Registration Cancellation Notice Queue	There are two ways to access individuals in the Temporary Registration Cancellation Notice Queue: 1. From the CRD Site Map, click the **Temporary Registration Cancellation** hyperlink.  **OR** 1a. Click the **Individual** Tab from the Tool Bar, choose **Firm Queues** from the Sub-menu, click **Termination** from the Navigation Bar and choose **Temporary Registration Cancellation**.
Temporary Registration Cancellation Notice Queue Search	**[Result:]** The *Temporary Registration Cancellation Notice Queue Search Criteria* screen opens. 

Temporary Registration Cancellation Notice Queue Search (Continued)	When the Queue screen criteria screen opens, select a combination or one of the following options: 2. If searching for a specific individual, place a check mark in the **Only notices for individual with CRD #** box and type the individual CRD Number in the field. **NOTE:** If a check mark is selected, CRD requires the completion of the corresponding field. 3. If searching for individuals in a specific jurisdiction, click the **Only notices for regulator** box and choose the appropriate regulator. 4. If searching by Branch Office, place a check mark in the **Only notices for billing code** box and type the Billing Code in the field. **NOTE:** A Billing Code is a number assigned by a firm to its branch office(s). 5. Click the **CRD Only** radio button. **NOTE:** CRD defaults to Both. Clicking the Both radio button will display AGs and RAs. 6. If searching for individuals by the earliest **Status Date**, click the **Ascending** radio button. **OR** 6a. If searching for individuals by the most recent **Status Date**, click the **Descending** radio button. **NOTE:** CRD defaults to Ascending. 7. If searching by a specific number of rows, type the **Number of Rows per Page** in the field. **NOTE:** CRD defaults to twenty-five (25) rows. A maximum of fifty (50) rows is allowed per page. 8. Click the **Display Queue** button.

View Temporary Registration Cancellation Notice Queue

[Result:] The *Temporary Registration Cancellation Notice Queue* screen opens.



Printer Friendly

Temporary Registration Cancellation Notice Queue

<<Previous Next>>
Rows 1 to 1

Individual				Billing Code	Regulator	Reg Cat	Status	Status Date
CRD	Name	CRD Regs	IARD Regs					
1111111	DOE, JOHN A	N	Y		TX	AG	DENIED	08/26/2008

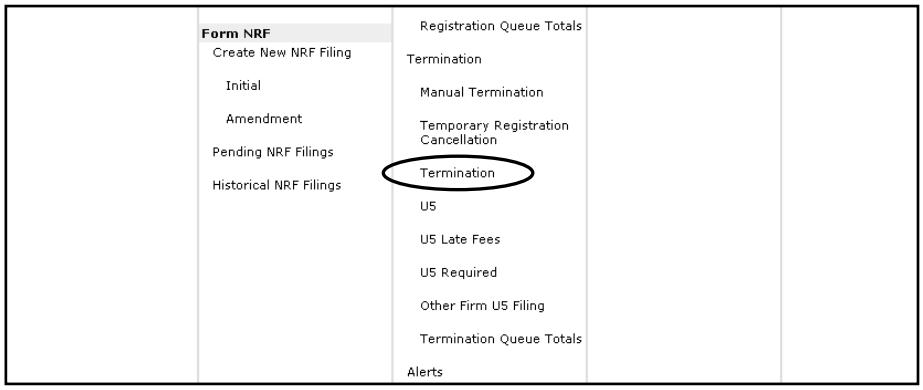
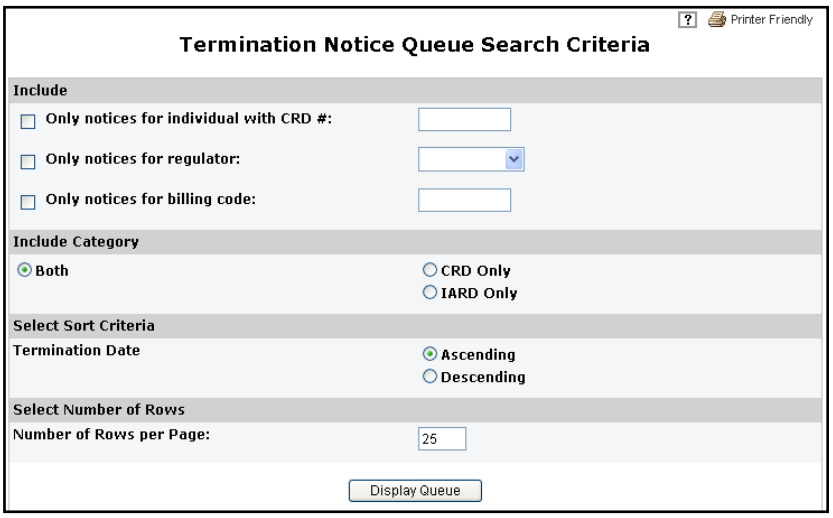
To view additional information on an individual's record, select one of the following options:

9. To view an individual's Composite Information, click the appropriate **CRD** hyperlink.

10. To view individual registration status definitions, click the **Status** hyperlink.

NOTE: An individual's name may be listed multiple times in the queue based on the number of jurisdictions in which he or she had their temporary registrations revoked. The CRD Regs and IARD Regs columns indicate whether an individual is an AG or RA.

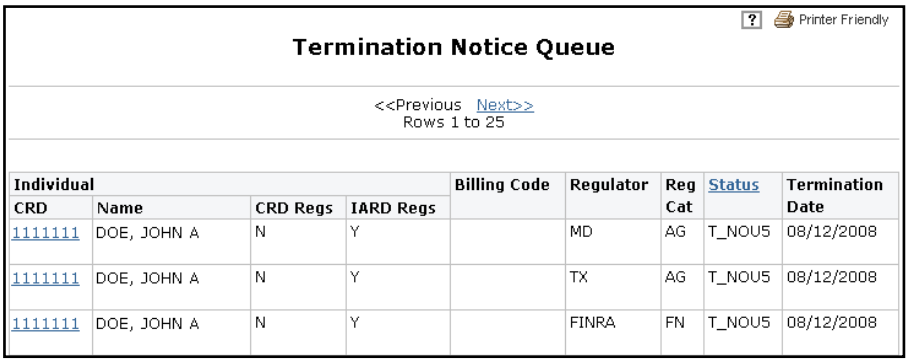
Steps for Viewing Termination Notice Queue:

Access Termination Notice Queue	There are two ways to access individuals in the Termination Notice Queue: 1. From the CRD Site Map, click the **Termination** hyperlink.  **OR** 1a. Click the **Individual** Tab from the Tool Bar, choose **Firm Queues** from the Sub-menu and click **Termination** from the Navigation Bar.
Termination Notice Queue Search	**[Result:]** The *Termination Notice Queue Search Criteria* screen opens. 

Termination Notice Queue Search (Continued)	When the Queue screen criteria screen opens, select a combination or one of the following options: 2. If searching for a specific individual, place a check mark in the **Only notices for individual with CRD #** box and type the individual CRD Number in the field. **NOTE:** If a check mark is selected, CRD requires the completion of the corresponding field. 3. If searching for individuals in a specific jurisdiction, click the **Only notices for regulator** box and choose the appropriate regulator. 4. If searching by Branch Office, place a check mark in the **Only notices for billing code** box and type the billing code in the field. **NOTE:** A Billing Code is a number assigned by a firm to its branch office(s). 5. Click the **CRD Only** radio button. **NOTE:** CRD defaults to Both. Clicking the Both radio button will display AGs and RAs. 6. If searching for individuals by the earliest **Termination Date**, click the **Ascending** radio button. **OR** 6a. If searching for individuals by the most recent **Termination Date**, click the **Descending** radio button. **NOTE:** CRD defaults to Ascending. 7. If searching by a specific number of rows, type the **Number of Rows per Page** in the field. **NOTE:** CRD defaults to twenty-five (25) rows. A maximum of fifty (50) rows is allowed per page. 8. Click the **Display Queue** button.

View Termination Notice Queue

[Result:] The *Termination Notice Queue* screen opens.



Printer Friendly

Termination Notice Queue

<<Previous Next>>
Rows 1 to 25

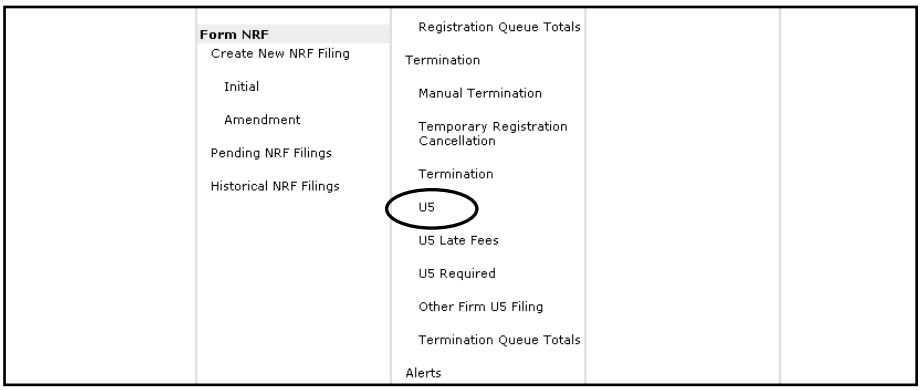
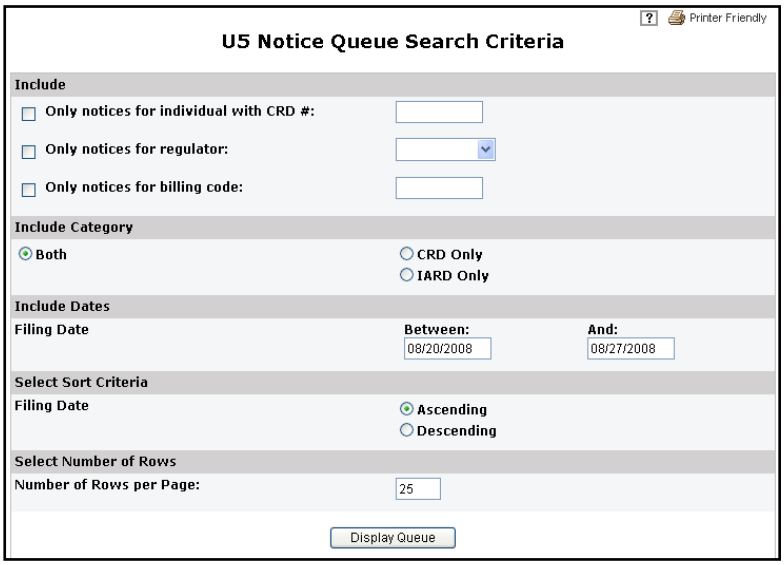
Individual				Billing Code	Regulator	Reg Cat	Status	Termination Date
CRD	Name	CRD Regs	IARD Regs					
1111111	DOE, JOHN A	N	Y		MD	AG	T_NOU5	08/12/2008
1111111	DOE, JOHN A	N	Y		TX	AG	T_NOU5	08/12/2008
1111111	DOE, JOHN A	N	Y		FINRA	FN	T_NOU5	08/12/2008

9. To view an individual's Composite Information, click the appropriate **CRD** hyperlink.

10. To view individual registration status definitions, click the **Status** hyperlink.

NOTE: An individual's name may be listed multiple times in the queue based on the number of jurisdictions in which he or she is terminated. The CRD Regs and IARD Regs columns indicate whether an individual is an AG or RA.

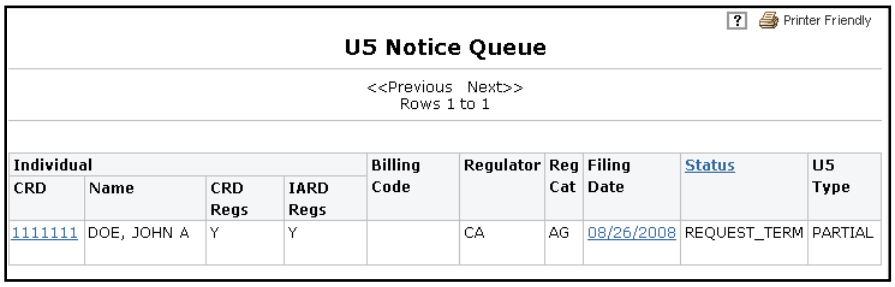
Steps for Viewing U5 Notice Queue:

Access U5 Notice Queue	There are two ways to access individuals in the U5 Notice Queue: 1. From the CRD Site Map, click the **U5** hyperlink.  **OR** 1a. Click the **Individual** Tab from the Tool Bar, choose **Firm Queues** from the Sub-menu, click **Termination** from the Navigation Bar and choose **U5**.
U5 Notice Queue Search	**[Result:]** The *U5 Notice Queue Search Criteria* screen opens. 

U5 Notice Queue Search (Continued)	When the Queue screen criteria screen opens, select a combination or one of the following options: 2. If searching for a specific individual, place a check mark in the **Only notices for individual with CRD #** box and type the individual CRD Number in the field. **NOTE:** If a check mark is selected, CRD requires the completion of the corresponding field. 3. If searching for individuals in a specific jurisdiction, click the **Only notices for regulator** box and choose the appropriate regulator. 4. If searching by Branch Office, place a check mark in the **Only notices for billing code** box and type the Billing Code in the field. **NOTE:** A Billing Code is a number assigned by a firm to its branch office(s). 5. Click the **CRD Only** radio button. **NOTE:** CRD defaults to Both. Clicking the Both radio button will display AGs and RAs. 6. Type a **Filing Date** Range in the **[Between:]** and **[And:]** fields. **NOTE:** CRD defaults to the last seven (7). A maximum of thirty (30) days is allowed. 7. If searching for individuals by the earliest **Filing Date**, click the **Ascending** radio button. **OR** 7a. If searching for individuals by the most recent **Filing Date**, click the **Descending** radio button. **NOTE:** CRD defaults to Ascending. 8. If searching by a specific number of rows, type the **Number of Rows per Page** in the field. **NOTE:** CRD defaults to twenty-five (25) rows. A maximum of fifty (50) rows is allowed per page. 9. Click the **Display Queue** button.

View U5 Notice Queue

[Result:] The *U5 Notice Queue* screen opens.



Printer Friendly

U5 Notice Queue

<<Previous Next>>
Rows 1 to 1

Individual				Billing	Regulator	Reg	Filing	Status	U5
CRD	Name	CRD Regs	IARD Regs	Code		Cat	Date		Type
1111111	DOE, JOHN A	Y	Y		CA	AG	08/26/2008	REQUEST_TERM	PARTIAL

To view additional information on an individual's record, select one of the following options:

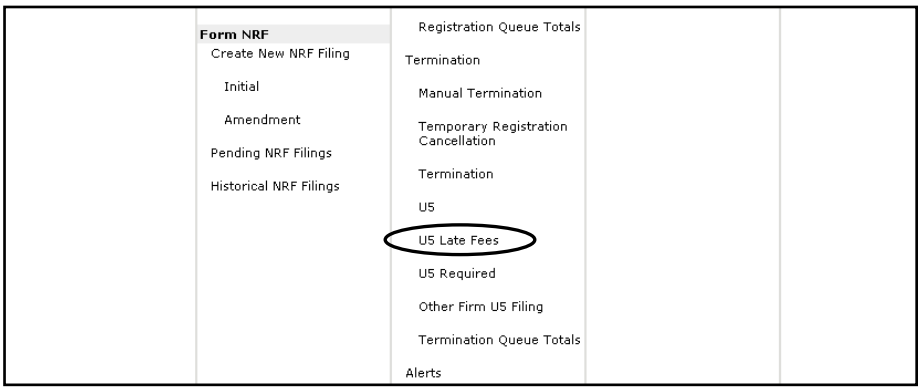
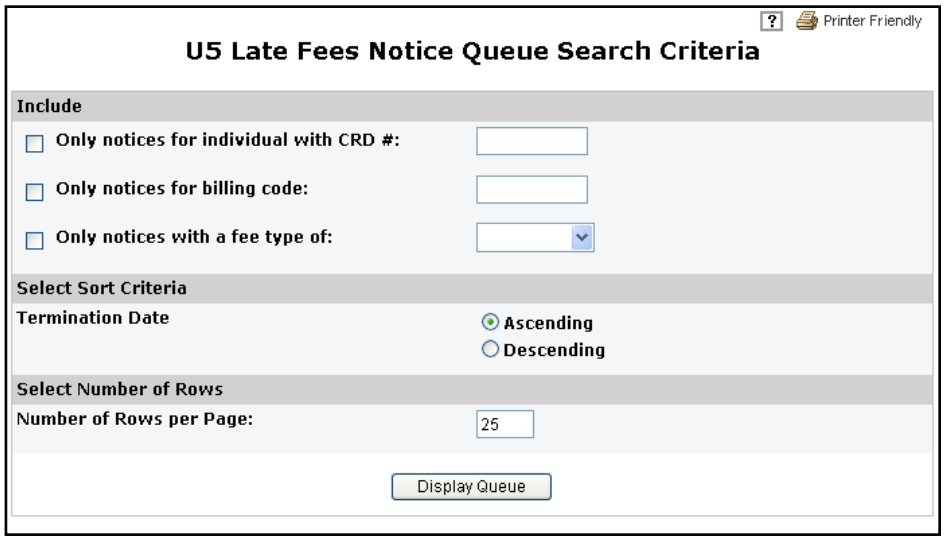
10. To view an individual's Composite Information, click the appropriate **CRD** hyperlink.

11. To view an individual's Form Filing History in View Individual, click the **Filing Date** hyperlink.

12. To view individual registration status definitions, click the **Status** hyperlink.

NOTE: An individual's name may be listed multiple times in the queue based on the number of jurisdictions in which he or she has been terminated. The CRD Regs and IARD Regs columns indicate whether an individual is an AG or RA.

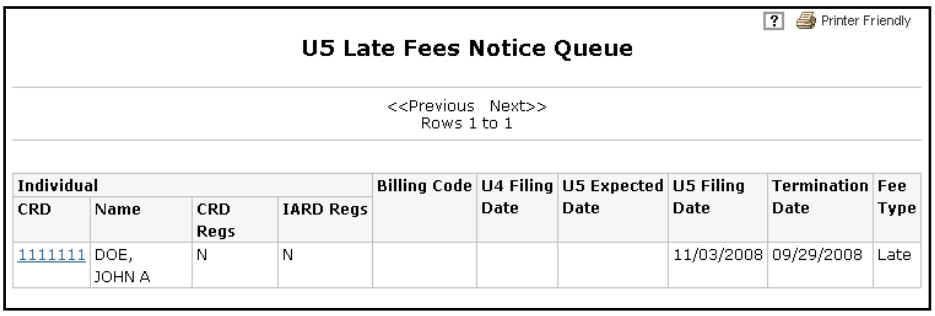
Steps for Viewing U5 Late Fees Notice Queue:

Access U5 Late Fees Notice Queue	There are two ways to access individuals in the U5 Late Fees Notice Queue: 1. From the CRD Site Map, click the **U5 Late Fees** hyperlink.  **OR** 1a. Click the **Individual** Tab from the Tool Bar, choose **Firm Queues** from the Sub-menu, click **Termination** from the Navigation Bar and choose **U5 Late Fees**.
U5 Late Fees Notice Queue Search	**[Result:]** The *U5 Late Fees Notice Queue Search Criteria* screen opens. 

U5 Late Fees Notice Queue Search (Continued)	When the Queue screen criteria screen opens, select a combination or one of the following options: 2. If searching for a specific individual, place a check mark in the **Only notices for individual with CRD #** box and type the individual CRD Number in the field. **NOTE:** If a check mark is selected, CRD requires the completion of the corresponding field. 3. If searching by Branch Office, place a check mark in the **Only notices for billing code** box and type the Billing Code in the field. **NOTE:** A Billing Code is a number assigned by a firm to its branch office(s). 4. If searching for specific notice fee types, click the **Only notices with a fee type of** box and choose the appropriate fee. 5. If searching for individuals by the earliest **Termination Date**, click the **Ascending** radio button. **OR** 5a. If searching for individuals by the most recent **Termination Date**, click the **Descending** radio button. **NOTE:** CRD defaults to Ascending. 6. If searching by a specific number of rows, type the **Number of Rows per Page** in the field. **NOTE:** CRD defaults to twenty-five (25) rows. A maximum of fifty (50) rows is allowed per page. 7. Click the **Display Queue** button.

View U5 Late Fees Notice Queue

[Result:] The *U5 Late Fees Notice Queue* screen opens.



Printer Friendly

U5 Late Fees Notice Queue

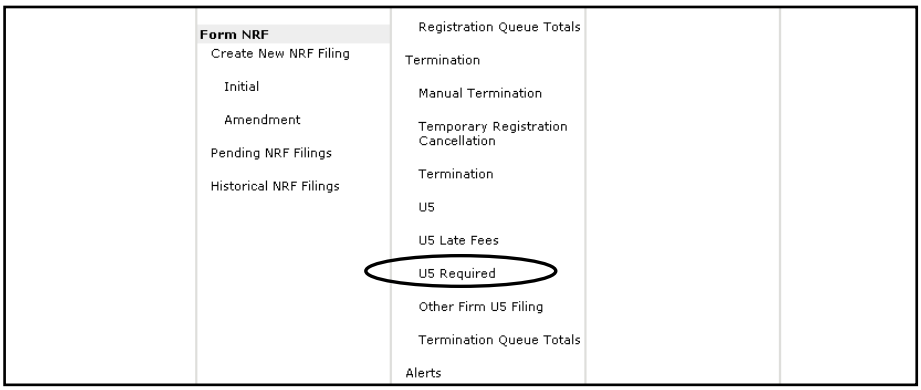
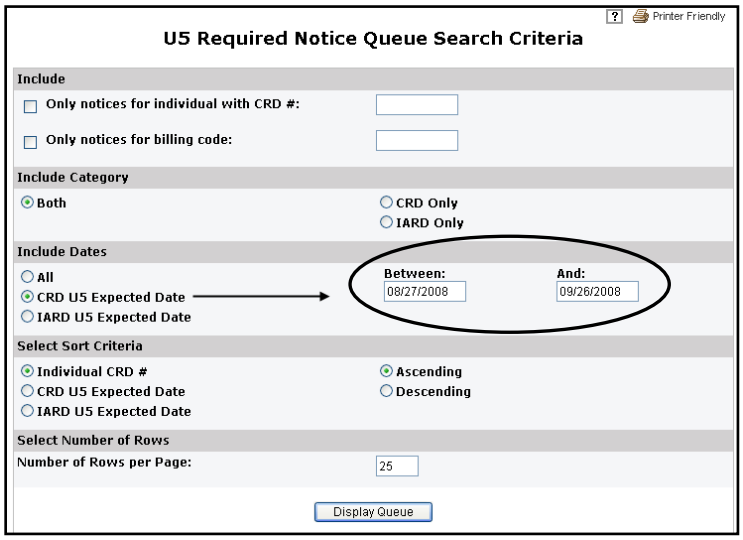
<<Previous Next>>
Rows 1 to 1

Individual				Billing Code	U4 Filing Date	U5 Expected Date	U5 Filing Date	Termination Date	Fee Type
CRD	Name	CRD Regs	IARD Regs						
1111111	DOE, JOHN A	N	N				11/03/2008	09/29/2008	Late

8. To view an individual's Composite Information, click the appropriate **CRD** hyperlink.

NOTE: An individual's name may be listed multiple times in the queue based on the number of jurisdictions in which he or she has a late U5 fee due. The CRD Regs and IARD Regs columns indicate whether an individual is an AG or RA.

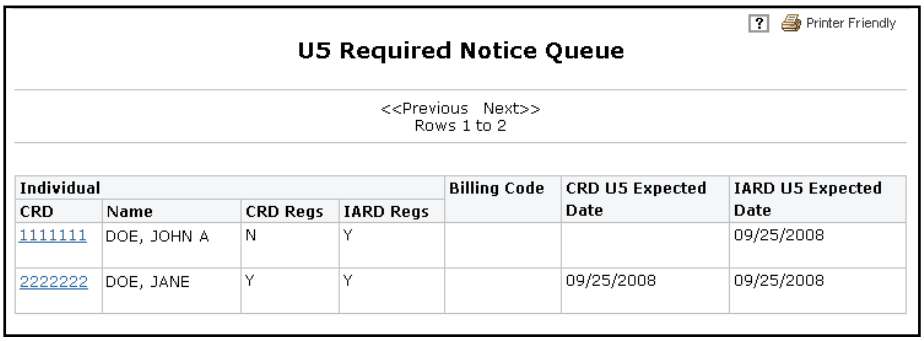
Steps for Viewing U5 Required Notice Queue:

Access U5 Required Notice Queue	There are two ways to access individuals in the U5 Required Notice Queue: 1. From the CRD Site Map, click the **U5 Required** hyperlink.  **OR** 1a. Click the **Individual** Tab from the Tool Bar, choose **Firm Queues** from the Sub-menu, click **Termination** from the Navigation Bar and choose **U5 Required**.
U5 Required Notice Queue Search	**[Result:]** The *U5 Required Notice Queue Search Criteria* screen opens.  **NOTE:** The date range field only displays if a "CRD U5 Expected Date" option is selected is selected. The date range option will not display if "ALL" is selected in the "Include Dates" section.

U5 Required Notice Queue Search (Continued)	When the Queue screen criteria screen opens, select a combination or one of the following options: 2. If searching for a specific individual, place a check mark in the **Only notices for individual with CRD #** box and type the individual CRD Number in the field. **NOTE:** If a check mark is selected, CRD requires the completion of the corresponding field. 3. If searching by Branch Office, place a check mark in the **Only notices for billing code** box and type the Billing Code in the field. **NOTE:** A Billing Code is a number assigned by a firm to its branch office(s). 4. Click the **CRD Only** radio button. **NOTE:** CRD defaults to Both. Clicking the Both radio button will display AGs and RAs. 5. If searching for individuals by the earliest **CRD U5 Expected Date**, click the **Ascending** radio button and type a future date range in the **[Between]** and **[And]** fields that display. **OR** 5a. If searching for individuals by the furthest **CRD U5 Expected Date**, click the **Descending** radio button and type a future date range in the **[Between]** and **[And]** fields that display **NOTE: The date range field only displays if the "CRD U5 Expected Date" option is selected. The date range option will not display if "ALL" is selected in the "Include Dates" section.** CRD defaults to a future 30 days (30). A maximum of thirty (30) days is allowed. **OR** 5b. If searching for individuals by the lowest **Individual CRD #,** click the **Ascending** radio button. **OR** 5c. If searching for individuals by the highest **Individual CRD #**, click the **Descending** radio button. **NOTE:** CRD defaults to Individual CRD # in Ascending order. 6. If searching by a specific number of rows, type the **Number of Rows per Page** in the field. **NOTE:** CRD defaults to twenty-five (25) rows. A maximum of fifty (50) rows is allowed per page. 7. Click the **Display Queue** button.

View U5 Required Notice Queue

[Result:] The *U5 Required Notice Queue* screen opens.



Printer Friendly

U5 Required Notice Queue

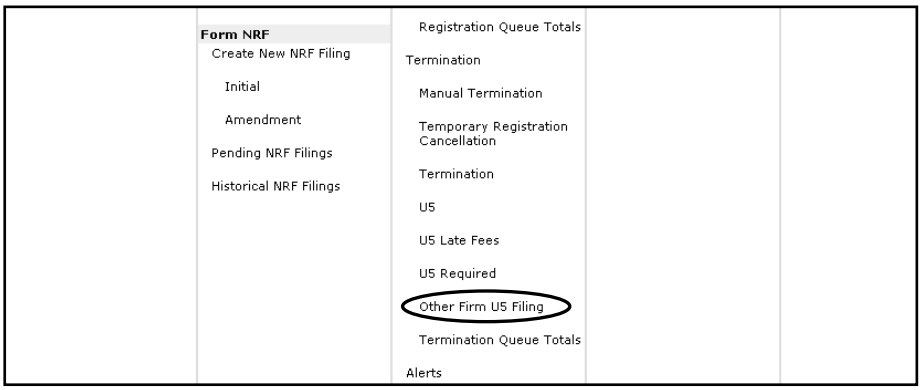
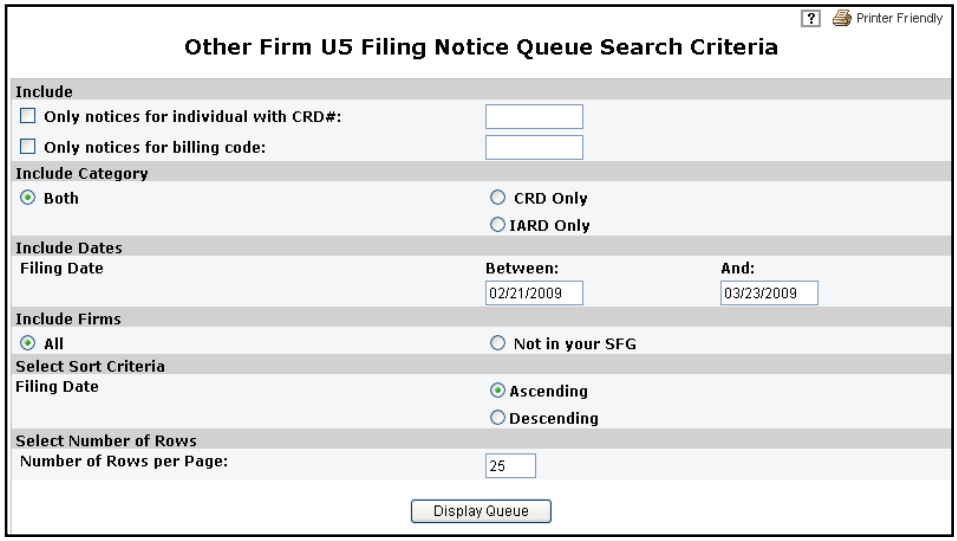
<<Previous Next>>
Rows 1 to 2

Individual				Billing Code	CRD U5 Expected Date	IARD U5 Expected Date
CRD	Name	CRD Regs	IARD Regs			
1111111	DOE, JOHN A	N	Y			09/25/2008
2222222	DOE, JANE	Y	Y		09/25/2008	09/25/2008

8. To view an individual's Composite Information, click the appropriate **CRD** hyperlink.

NOTE: The CRD Regs and IARD Regs columns indicate whether an individual is an AG or RA.

Steps for Viewing Other Firm U5 Filing Notice Queue:

Access Other Firm U5 Filing Notice Queue	There are two ways to access individuals in the Other Firm U5 Filing Notice Queue: 1. From the CRD Site Map, click the **Other Firm U5 Filing** hyperlink.  **OR** 1a. Click the **Individual** Tab from the Tool Bar, choose **Firm Queues** from the Sub-menu, click **Termination** from the Navigation Bar and choose **Other Firm U5 Filing**.
Other Firm U5 Filing Notice Queue Search	**[Result:]** The *Other Firm U5 Filing Notice Queue Search Criteria* screen opens. 

Other Firm U5 Filing Notice Queue Search (Continued)

When the Queue screen criteria screen opens, select a combination or one of the following options:

2. If searching for a specific individual, place a check mark in the **Only notices for individual with CRD #** box and type the individual CRD Number in the field.

   NOTE: If a check box is selected, CRD requires the completion of the corresponding field.

3. If searching by Branch Office, place a check mark in the **Only notices for billing code** box and type the Billing Code in the field.

   NOTE: A Billing Code is a number assigned by a firm to its branch office(s).

4. Click the **IARD Only** radio button.

   NOTE: CRD defaults to Both. For IA-Only Firms, clicking the Both radio button will display the same results as clicking the IARD Only radio button. Broker-Dealer/Investment Adviser ("Joint") firms may choose any option.

5. If searching for individuals by the U5 **Filing Date**, type a date range in the **[Between]** and **[And]** field.

   NOTE: CRD defaults to the last thirty (30) days. A maximum of thirty (30) days is allowed.

6. Click the **All r**adio button if searching for filings submitted by all firms. Click the **Not in your SFG** radio button to only include firms that are not a part of your firm's Simultaneous Filing Group.

7. Click the **Ascending** radio button to sort the results starting with the earliest filings to most recent filings. Click the **Descending** radio button to sort the results starting with the most recent filings to the earliest filings.

   NOTE: CRD defaults to Individual CRD# in Ascending order.

8. If searching by a specific number of rows, type the **Number of Rows per Page** in the field.

   NOTE: CRD defaults to twenty-five (25) rows. A maximum of fifty (50) rows is allowed per page.

9. Click the **Display Queue** button.

View U5 Required Notice Queue

[Result:] The *Other Firm U5 Filing Notice Queue* screen opens.

Printer Friendly

Other Firm U5 Filing Notice Queue

<< Previous Next >>
Rows 1 to 1

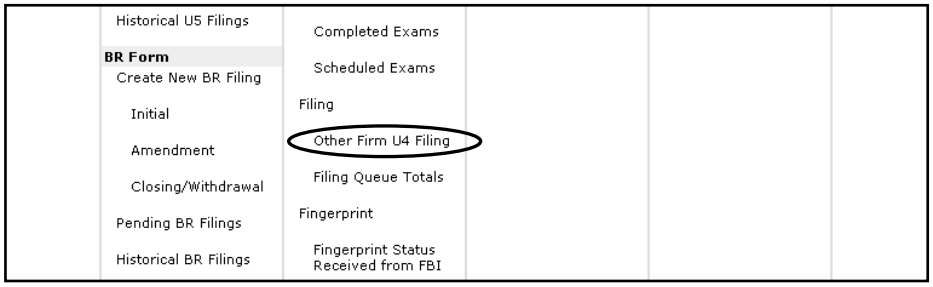
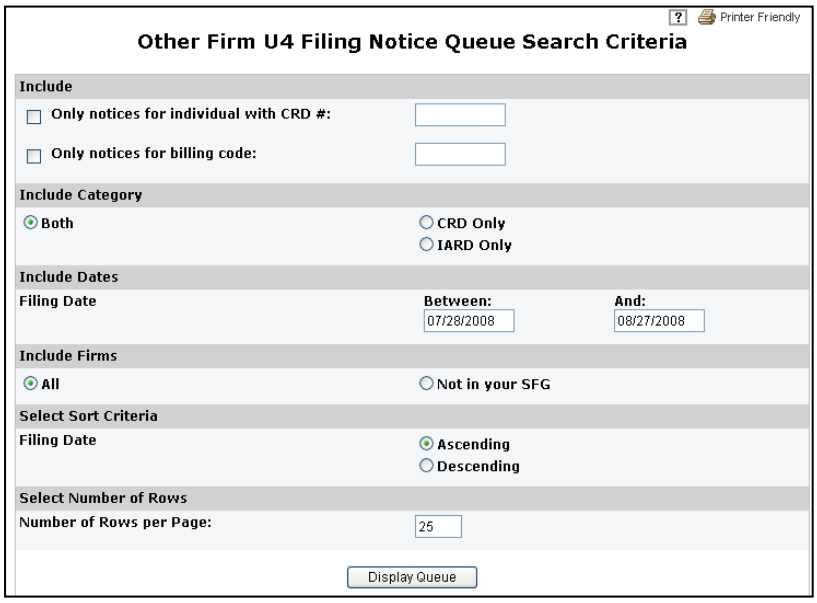
Individual CRD	Individual Name	CRD Regs	IARD Regs	Billing Code	Filing	Other Firm Name	Amended		
							Date/Reason for Termination	Disclosure	Residential Address
1111111	DOE, JOHN A	Y	Y		U5 - FULL 03/23/2009	Other Securities Firm (1111)	Y	Y	N

<< Previous Next >>
Rows 1 to 1

10. To view an individual's Composite Information, click the appropriate **CRD** hyperlink.

NOTE: The CRD Regs and IARD Regs columns indicate whether an individual is an AG or an RA.

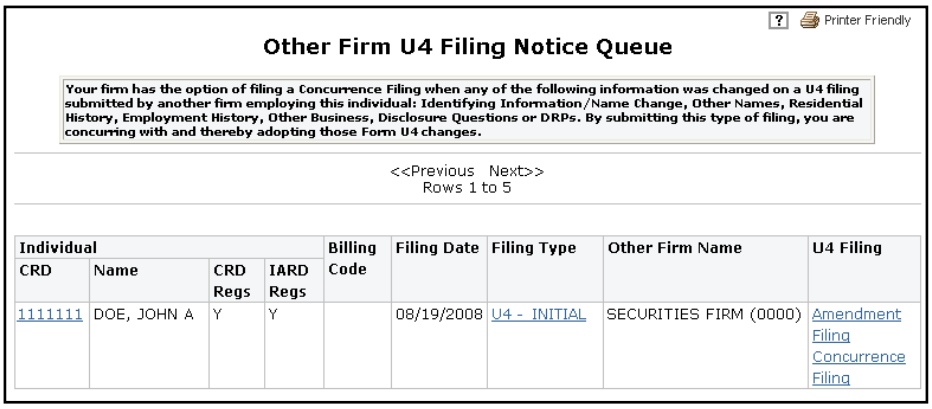
Steps for Viewing Other Firm U4 Filing Notice Queue:

Access Other Firm U4 Filing Notice Queue	There are two ways to access individuals in the Other Firm U4 Filing Notice Queue: 1. From the CRD Site Map, click the **Other Firm U4 Filing** hyperlink.  **<u>OR</u>** 1a. Click the **Individual** Tab from the Tool Bar, choose **Firm Queues** from the Sub-menu and click **Filing** from the Navigation Bar.
Other Firm U4 Filing Notice Queue Search	**[Result:]** CRD defaults to the *Other Firm U4 Filing Notice Queue Search Criteria* screen.  **NOTE**: Filing Queue Totals section lists total number of items in the Filing queue.

Other Firm U4 Filing Notice Queue Search (Continued)	When the Queue screen criteria screen opens, select a combination or one of the following options: 2. If searching for a specific individual, place a check mark in the **Only notices for individual with CRD #** box and type the individual CRD Number in the field. **NOTE:** If a check mark is selected, CRD requires the completion of the corresponding field. 3. If searching by Branch Office, place a check mark in the **Only notices for billing code** box and type the Billing Code in the field. **NOTE:** A Billing Code is a number assigned by a firm to its branch office(s). 4. Click the **CRD Only** radio button. **NOTE:** CRD defaults to Both. Clicking the Both radio button will display AGs and RAs. 5. Type a **Filing Date** Range in the **[Between:]** and **[And:]** fields. **NOTE:** CRD defaults to thirty (30) days. A maximum of thirty (30) days is allowed. The search criteria specific to SFGs and individuals registered with other firms is not applicable to RAs. 6. If searching for individuals by the earliest **Filing Date**, click the **Ascending** radio button. **OR** 6a. If searching for individuals by the most recent **Filing Date**, click the **Descending** radio button. **NOTE:** CRD defaults to Ascending. 7. If searching by a specific number of rows, type the **Number of Rows per Page** in the field. **NOTE:** CRD defaults to twenty-five (25) rows. A maximum of fifty (50) rows is allowed per page. 8. Click the **Display Queue** button.

Other Firm U4 Filing Notice Queue

[Result:] The *Other Firm U4 Filing Notice Queue* screen opens.



Printer Friendly

Other Firm U4 Filing Notice Queue

Your firm has the option of filing a Concurrence Filing when any of the following information was changed on a U4 filing submitted by another firm employing this individual: Identifying Information/Name Change, Other Names, Residential History, Employment History, Other Business, Disclosure Questions or DRPs. By submitting this type of filing, you are concurring with and thereby adopting those Form U4 changes.

<<Previous Next>>
Rows 1 to 5

Individual				Billing Code	Filing Date	Filing Type	Other Firm Name	U4 Filing
CRD	Name	CRD Regs	IARD Regs					
1111111	DOE, JOHN A	Y	Y		08/19/2008	U4 - INITIAL	SECURITIES FIRM (0000)	Amendment Filing Concurrence Filing

To view additional information on an individual's record, select one of the following options:

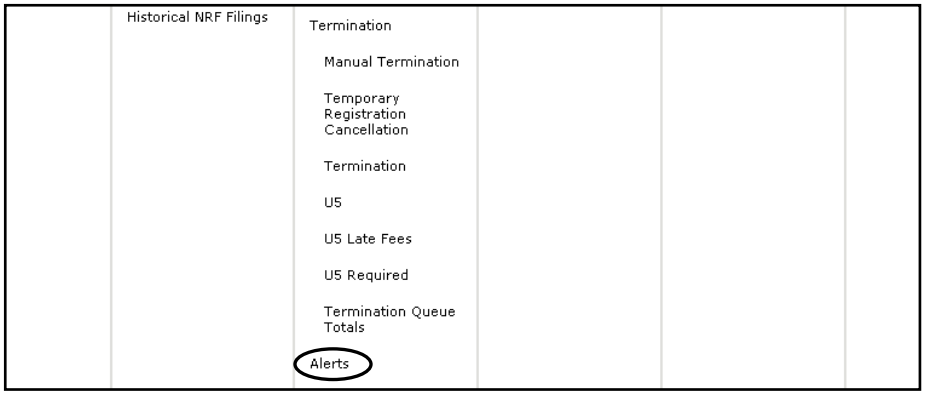
9. To view an individual's Composite Information, click the appropriate **CRD** hyperlink.
10. To view an Individual's U4 filing submitted by the other firm, click the **Filing Type** hyperlink.
11. To link directly to an Amendment Filing, click the **Amendment Form Filing** hyperlink.
12. To link directly to the Concurrence Filing, click the **Concurrence Filing** hyperlink

Steps for Viewing Alerts:

Access Alerts

There are two ways to access the individual Alerts**:**

1. From the CRD Site Map, click the **Alerts** hyperlink.

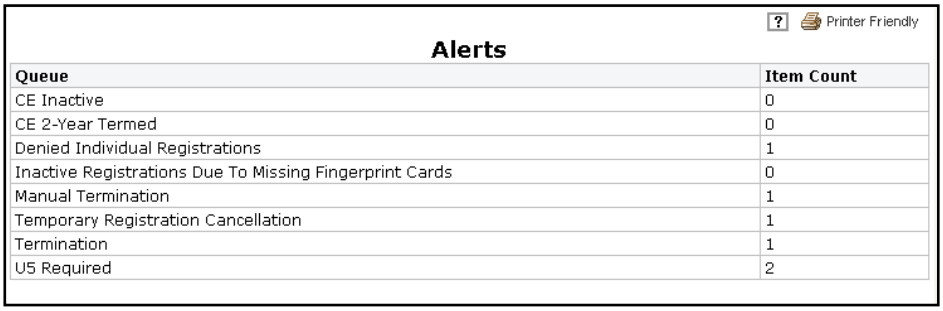


OR

1a. Click the **Individual** Tab from the Tool Bar, choose **Firm Queues** from the Sub-menu and click **Alerts** from the Navigation Bar.

View Alerts

[Result:] CRD defaults to the *Alerts* screen.



Queue	Item Count
CE Inactive	0
CE 2-Year Termed	0
Denied Individual Registrations	1
Inactive Registrations Due To Missing Fingerprint Cards	0
Manual Termination	1
Temporary Registration Cancellation	1
Termination	1
U5 Required	2

Tips for Navigating through Queues:

- Check the queues on a regular basis because the information in CRD is constantly updated.
- Use sort and filter parameters to enhance your search (e.g., Individual CRD #, Billing Code, etc.)
- Frequently check the Alerts to ensure that you are aware of any critical registration-related notifications.
- Use Queue Totals to determine if there are any existing notifications available and to determine the number of items that are in a particular queue.
- Maximum number of rows that can display on a screen is fifty (50).
- To display the queue, click the Display Queue button or use Enter on your keyboard.

Date Range:

- Most Queues have date ranges that default to one (1) week. Change the default range as needed up to a date range of thirty (30) day increments.
- Changing the date range on the search criteria will allow the user to see notices outside of the defaulted date range.
- Maximum increment is thirty (30) days.
- Any queue that has a date range is a "historical" queue. Information is never deleted and remains in the queue for historical purposes.
- Be sure not to use overlapping dates.

Inactive Disclosure Tracking:

Although the new Inactive Disclosure Review (DR) registration status will **not** be implemented until a later date/CRD release, certain disclosure inquiry letters are being tracked as of Web CRD Release 7.0 in preparation for the proposed new FINRA registration status. The Inactive DR letter tracking has been added to CRD in advance of the actual Inactive DR registration status to assist firms in preparing for the future registration status functionality so that firms will be experienced in responding to these disclosure letters within the requisite time frame and will therefore avoid individuals from becoming "Inactive DR" when the new registration status ultimately becomes effective. Although all disclosure letters should be responded to in a timely manner, once the Inactive DR registration status has been implemented, letters with the Inactive DR Tracking must be responded to within a specified time frame in order to prevent an individual's approved FINRA registration status being changed to Inactive DR. Additional information will be provided regarding the Inactive DR registration status prior to its full deployment.

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