# Chapter Ten: Firm Queues for Organizations

**About this Section**

This section contains information pertaining to the management of queues for organizations and queue navigation on CRD.

**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**

This section contains the following topics:


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## About Firm Queues for Organizations

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

### Queue Types

There are six (7) types of Notice Queues for firms to receive Notifications about organizations:

1. **Current Deficiencies –** Lists the firm's current Form BD and BDW deficiencies by filing date. The number of days deficient is also displayed. A link is available to obtain deficiency detail information. Notices remain in queue until the deficiency is satisfied.

2. **Branch Status –** Lists all participating Jurisdiction and SRO branch office statuses for your firm.

3. **Branch Deficiencies** – Lists the deficiency for each branch office. Notices remain in queue for one hundred twenty (120) days.

4. **Disclosure Letters** – Lists the organization Disclosure notifications sent to the firm. Notices will remain in the queue historically.

5. **NYSE Filing Status-** Lists the status of a branch office that is registering with the New York Stock Exchange. Items remain in the queue historically. This queue will only be accessible to firms that are members of NYSE.

6. **SFG Retirement** – Lists the retiring firm for simultaneous filing group, by date of retirement. Notices remain in queue for one hundred twenty (120) days.

7. **Withdrawal or Termination** – Lists the firm's withdrawal or termination notices by effective date. The screen includes the regulator reason and effective date. Notices remain in queue for one hundred twenty (120) days.

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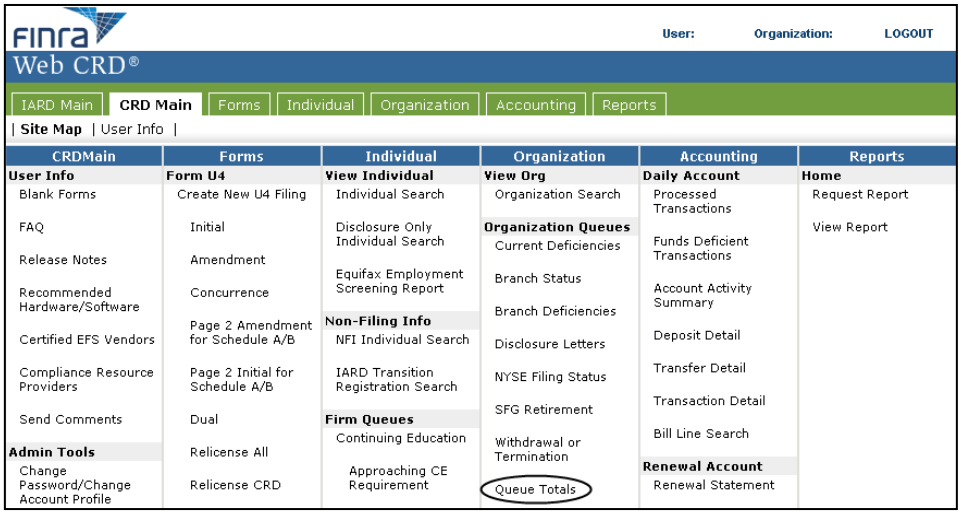
## Steps for Viewing Organization Queue Totals:

### Access Organization Queues

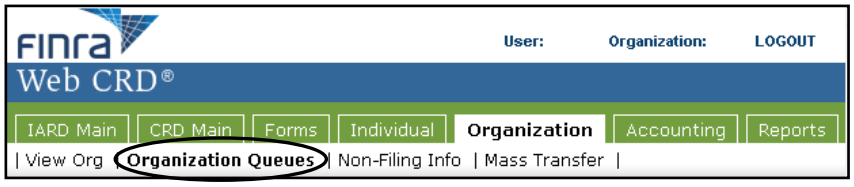
There are two ways to access Organization Queues:

1. From the Site Map, click the **Queue Totals** hyperlink.



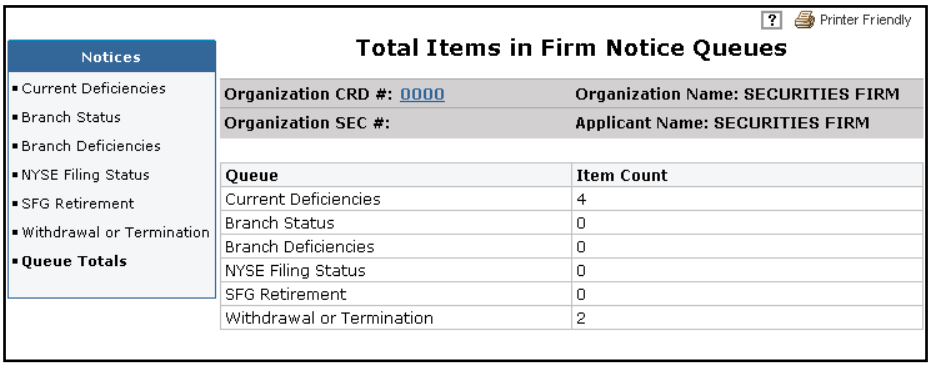

**OR**

1a. Click the **Organization** Tab from the Tool Bar, choose **Organization Queues** from the Sub-menu and click **Queue Totals** from the Navigation Bar.




### View Queue Totals

**[Result:]** The *Total Items in Firm Notice Queues* screen opens.



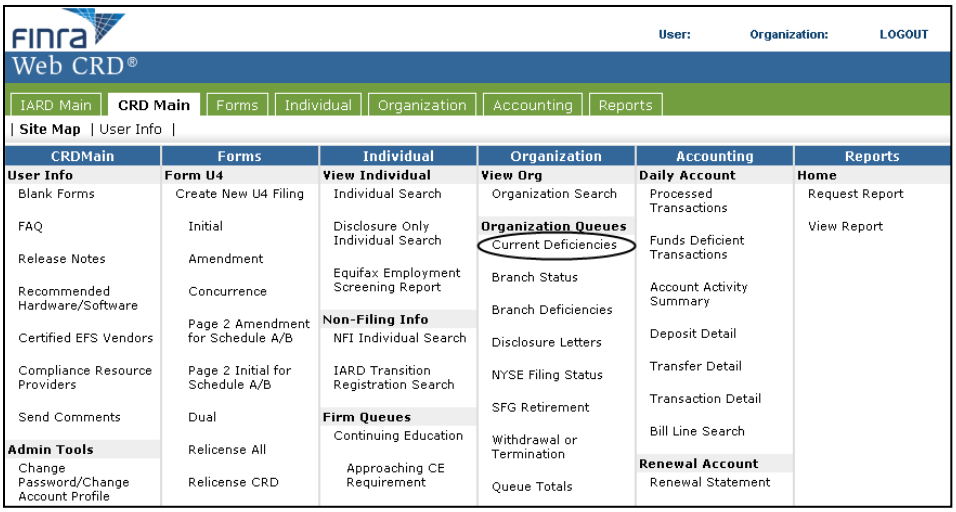

**NOTE:** Queue Totals lists the number of items in the Current Deficiency, Branch Status, Branch Deficiency, SFG Retirement and Withdrawal/Termination Queues.

## Steps for Viewing Organization Current Deficiencies Queue:

### Access Current Deficiencies Queue

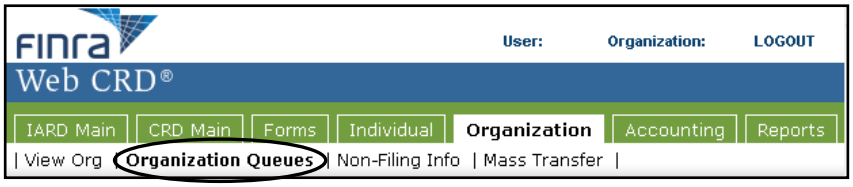
There are two ways to access the **Current Deficiencies** Queue:

2. From the Site Map, click the **Current Deficiencies** hyperlink.



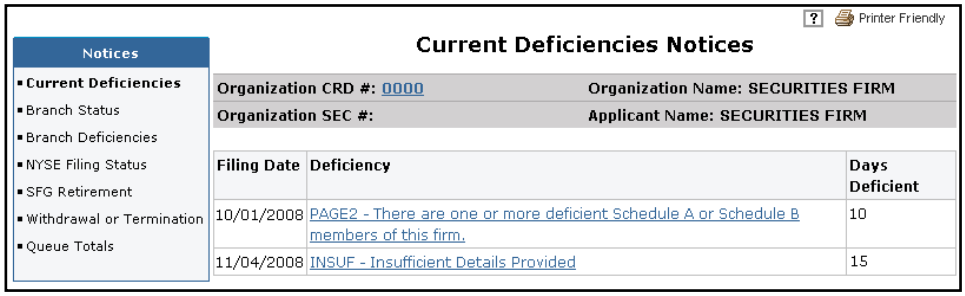

**OR**

2a. Click the **Organization** Tab from the Tool Bar and click **Organization Queues** from the Sub-menu.




### View Current Deficiencies Queue

**[Result:]** The *Current Deficiencies Notices* screen opens.




**NOTE**: Screen results will vary based on the corresponding Organization Queues selection (i.e. SFG Retirement, Withdrawal or Termination or Queue Totals); however, the format remains the same. Above is an example of the Current Deficiencies Queue:

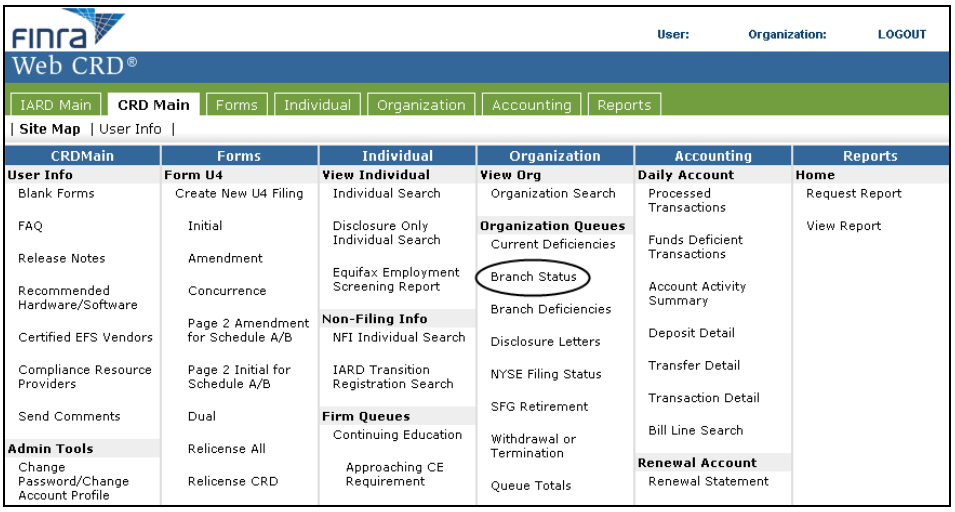
3. Click the **Deficiency** hyperlink to view the Organization Deficiency Detail.

## Steps for Viewing Branch Status Queue:

### Access Branch Status Queue

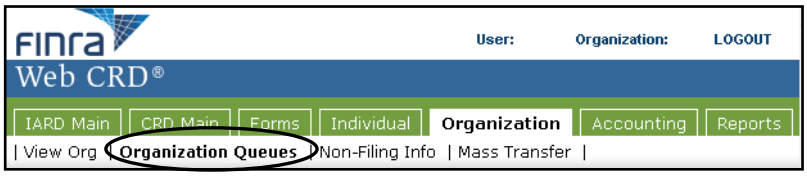
There are two ways to access the **Branch Status** Queue:

1. From the CRD Site Map, click the **Branch Status** hyperlink.



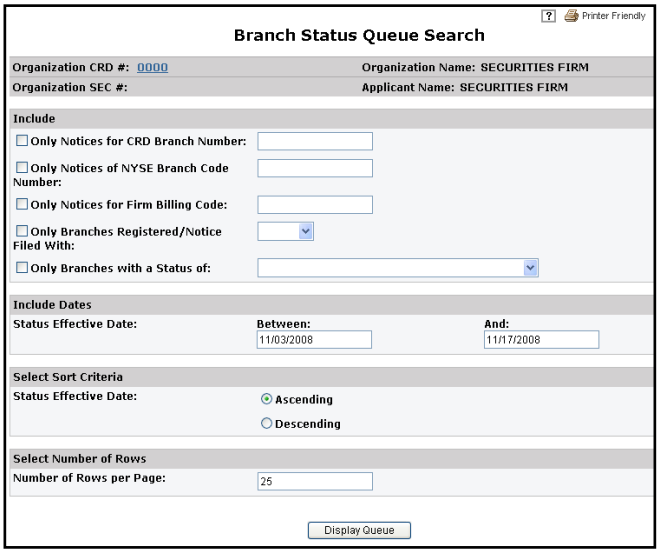

**OR**

1a. Click the **Organization** Tab from the Tool Bar, choose **Organization Queues** from the Sub-menu and click **Branch Status** from the Navigation Bar.




### Branch Status Queue Search

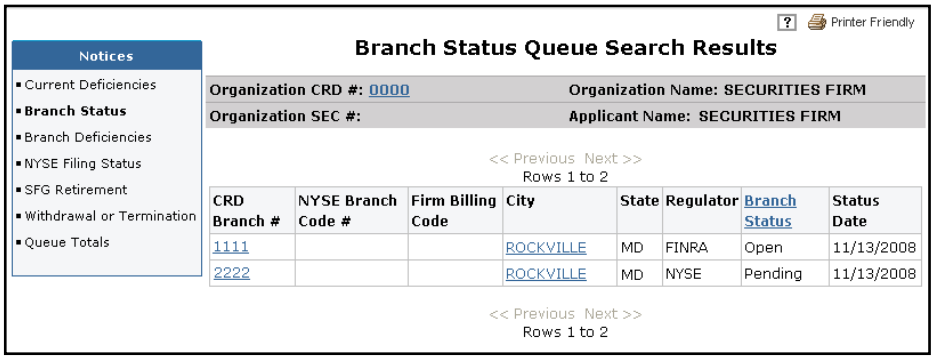
**[Result:]** The *Branch Status Queue Search* screen opens



| | |
|---|---|
| **Branch Status Queue Search** (Continued) | When the Queue screen criteria screen opens, select a combination or one of the following options:<br><br>2. If searching for a specific CRD branch number, place a check mark in the **Only Notices for CRD Branch Number** box and type the branch CRD Number in the field.<br><br>**NOTE:** If a check mark is selected, CRD requires the completion of the corresponding field.<br><br>3. If searching for a specific NYSE Branch Code Number, place a check mark in the **Only Notices for NYSE Branch Code Number** box and type the NYSE Branch Code in the field.<br><br>**NOTE:** This option is only available to NYSE registered firms.<br><br>4. If searching for a specific Firm Billing Code, place a check mark in the **Only Notices for Firm Billing Code** box and type the Firm Billing Code number in the field.<br><br>**NOTE:** A Billing Code is a number assigned by a firm to its branch office(s) for accounting purposes.<br><br>5. If searching for branches that have registered or notice filed in a specific participating jurisdiction, click the **Branches Registered/Notice Filed with** box and choose the jurisdiction from the drop down menu.<br><br>6. If searching for branches with a specific status, click the **Include Branch Status** box and choose the appropriate status from the drop down menu.<br><br>7. Type a **Status Effective Date** range in the **[Between:]** and **[And:]** fields.<br><br>8. If searching for branches by the earliest **Statues Effective Date**, click the **Ascending** radio button.<br><br>**OR**<br><br>8a. If searching for branches by the most recent **Status Effective Date**, click the **Descending** radio button.<br><br>**NOTE:** CRD defaults to Ascending.<br><br>9. If searching by a specific number of rows, type the **Number of Rows per Page** in the field.<br><br>10. Click the **Display Queue** button. |

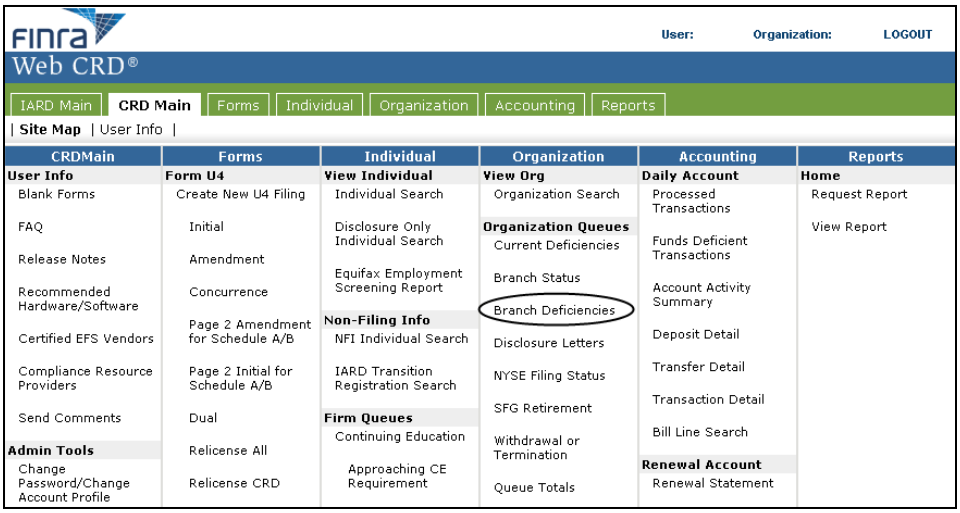
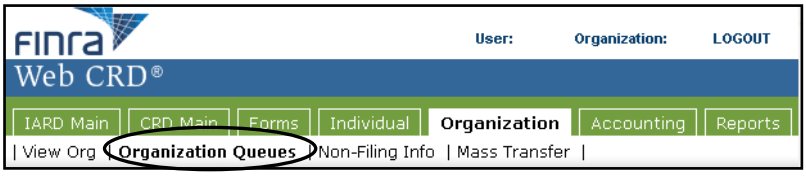
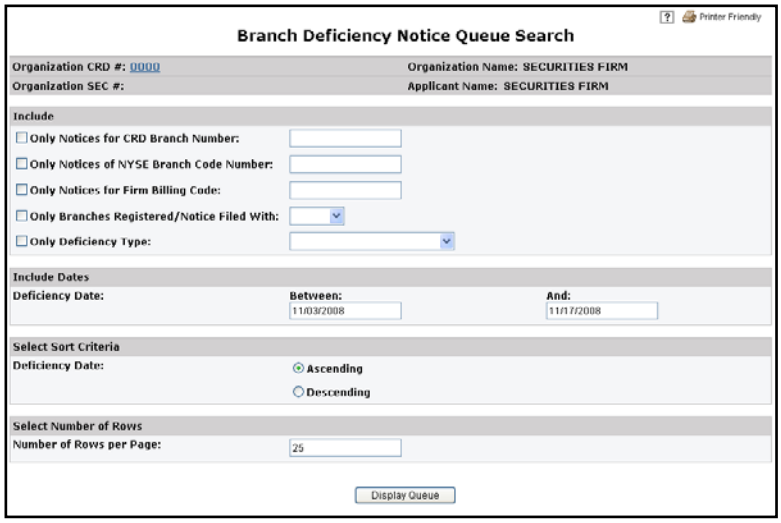
**View Branch Status Queue**

**[Result:]** The *Branch Status Queue Search Results* screen opens.




11. To view information about the branch office, click the **CRD Branch Number** hyperlink.

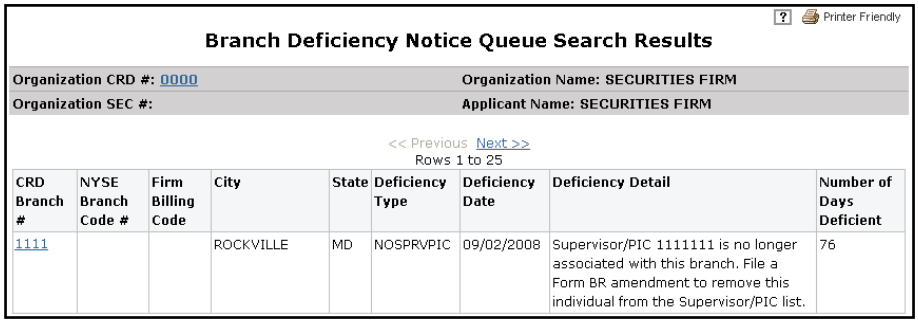
## Steps for Viewing Branch Deficiency Notice Queue:

| | |
|---|---|
| **Access Branch Deficiency Notice Queue** | There are two ways to access the **Branch Deficiencies** Notice Queue:<br><br>1. From the CRD Site Map, click the **Branch Deficiencies** hyperlink.<br><br>  <br><br>**OR**<br><br>1a. Click the **Organization** Tab from the Tool Bar, choose **Organization Queues** from the Sub-menu and click **Branch Deficiencies** from the Navigation Bar.<br><br>  <br> |
| **Branch Deficiency Notice Queue Search** | **[Result:]** The *Branch Deficiency Notice Queue Search* screen opens<br><br>  <br> |

| | |
|---|---|
| **Branch Deficiency Notice Queue Search** (Continued) | When the Queue screen criteria screen opens, select a combination or one of the following options:<br><br>2. If searching for a specific CRD Branch Number, place a check mark in the **Only Notices for CRD Branch Number** box and type the branch CRD Number in the field.<br><br>**NOTE:** If a check mark is selected, CRD requires the completion of the corresponding field.<br><br>3. If searching for a specific NYSE branch Code Number, place a check mark in the **Only Notices for NYSE Branch Code Number** box and type the NYSE Branch Code Number in the field.<br><br>**NOTE:** This option is only available to NYSE registered firms.<br><br>4. If searching for a specific Firm Billing Code, place a check mark in the **Only Notices for Firm Billing Code** box and type the branch Firm Billing Code in the field.<br><br>**NOTE:** A Firm Billing Code is a number assigned by a firm to its branch office(s) for accounting purposes.<br><br>5. If searching for branches that have registered or notice filed in a specific participating jurisdiction, click the **Branches Registered/Notice Filed with** box and choose the jurisdiction from the drop down menu.<br><br>6. If searching for branches with a specific status, click the **Only Deficiency Type** box and choose the appropriate status from the drop down menu.<br><br>7. Type a **Deficiency Date** Range in the **[Between:]** and **[And:]** fields.<br><br>**NOTE:** CRD defaults to **All**.<br><br>8. If searching for branches by the earliest **Deficiency Effective Date**, click the **Ascending** radio button.<br><br>**OR**<br><br>8a. If searching for branches by the most recent **Deficiency Date**, click the **Descending** radio button.<br><br>**NOTE:** CRD defaults to Ascending.<br><br>9. If searching by a specific number of rows, type the **Number of Rows per Page** in the field.<br><br>10. Click the **Display Queue** button. |

**View Branch Deficiency Notice Queue**

**[Result:]** The *Branch Deficiency Notice Queue Results* screen opens.



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**Branch Deficiency Notice Queue Search Results**

**Organization CRD #:** 0000 **Organization Name: SECURITIES FIRM**

**Organization SEC #:** **Applicant Name: SECURITIES FIRM**

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Rows 1 to 25

| CRD Branch # | NYSE Branch Code # | Firm Billing Code | City | State | Deficiency Type | Deficiency Date | Deficiency Detail | Number of Days Deficient |
|---|---|---|---|---|---|---|---|---|
| 1111 | | | ROCKVILLE | MD | NOSPRVPIC | 09/02/2008 | Supervisor/PIC 1111111 is no longer associated with this branch. File a Form BR amendment to remove this individual from the Supervisor/PIC list. | 76 |

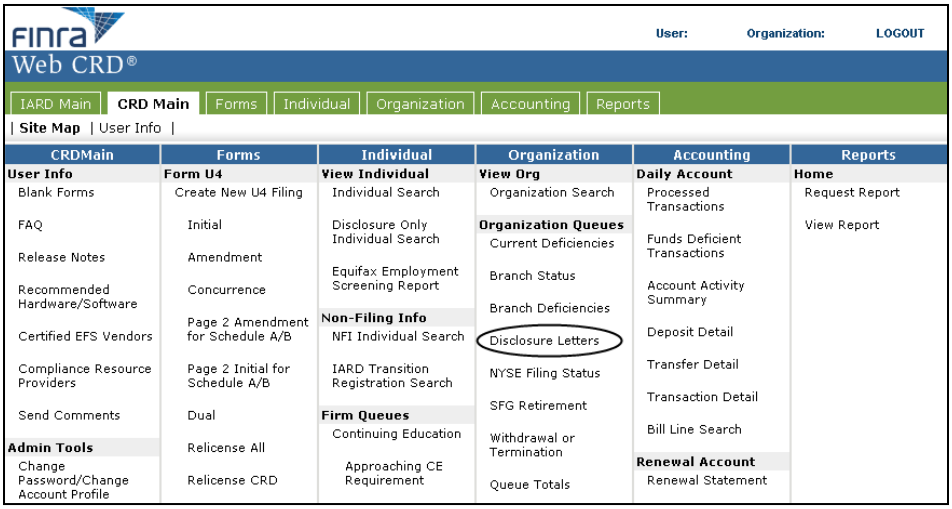
11. To view information about the branch office, click the **CRD Branch Number** hyperlink.

## Steps for Viewing the Disclosure Letters Queue:

### Access Disclosure Letters Queue

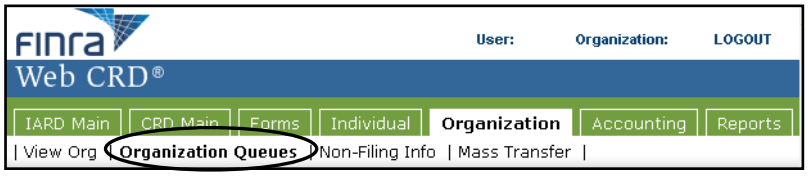
There are two ways to access the **Disclosure Letters** Queue:

1. From the CRD Site Map, click the **Disclosure Letters** hyperlink.



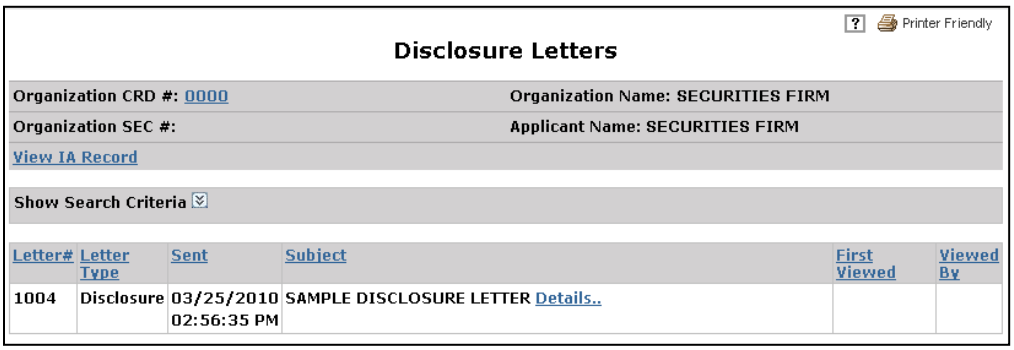

**OR**

1a. Click the **Organization** Tab from the Tool Bar, choose **Organization Queues** from the Sub-menu and click **Disclosure Letters** from the Navigation Bar.




### Viewing Disclosure Letters

**[Result:]** The *Disclosure Letters* screen opens

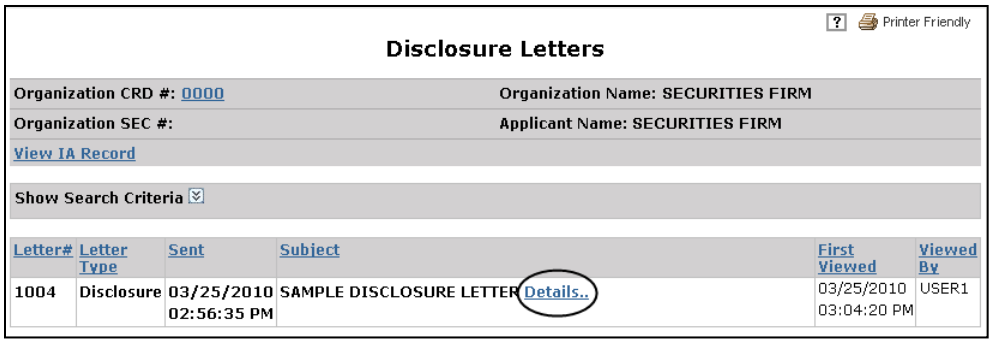



The Disclosure Letters Queue displays all electronic disclosure alerts that have been sent to the firm. The letters are displayed in the descending order based on the "date sent". Disclosure Letters remain in this queue for historical purposes.

**NOTE:** If no letters have been sent to the firm, a message saying "*No records found matching your current search criteria*" will display.

**Viewing Disclosure Letters** (Continued)

2. Click the **Details** hyperlink to view the Disclosure Letter.

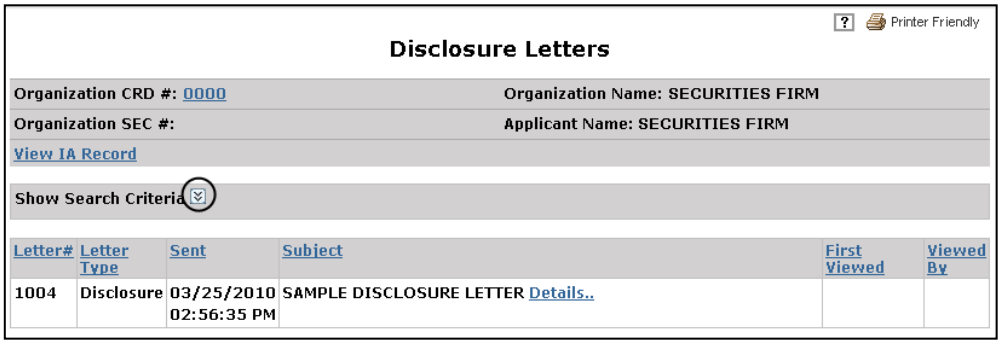



**NOTE:** Once a letter has been viewed the Disclosure Letters screen will display the date and time the letter was first viewed and the User ID of the person who viewed it.

**[Result:]** The *Disclosure Letter Details* open in a separate window.

**Search for Disclosure Letters**

3. If searching for specific Disclosure Letters, click the **Show Search Criteria** work button to display search options.




**[Result:]** The *Disclosure Letter Details* open in a separate window.

**NOTE:** Users can search for Disclosure Letters by **Date Sent** or by **Letter #**.

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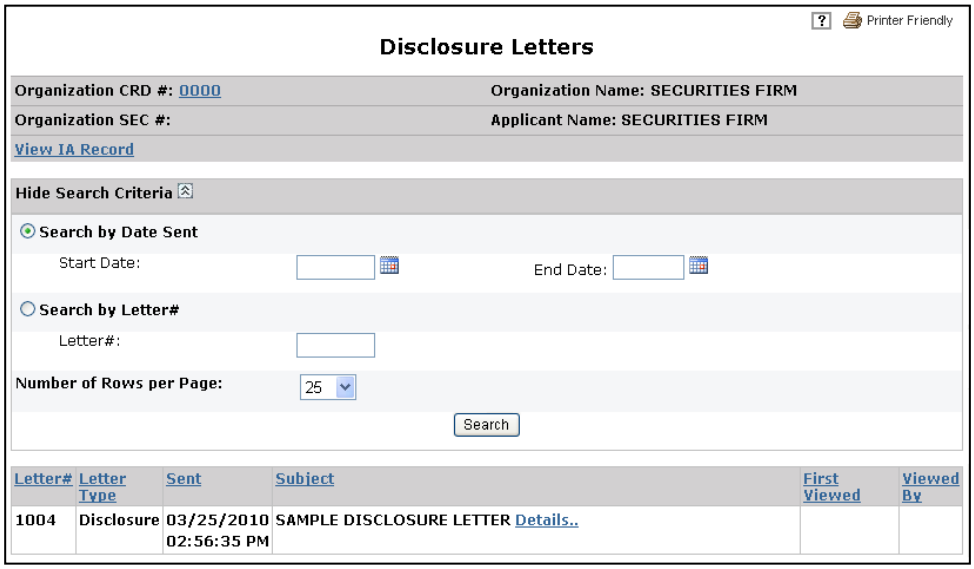
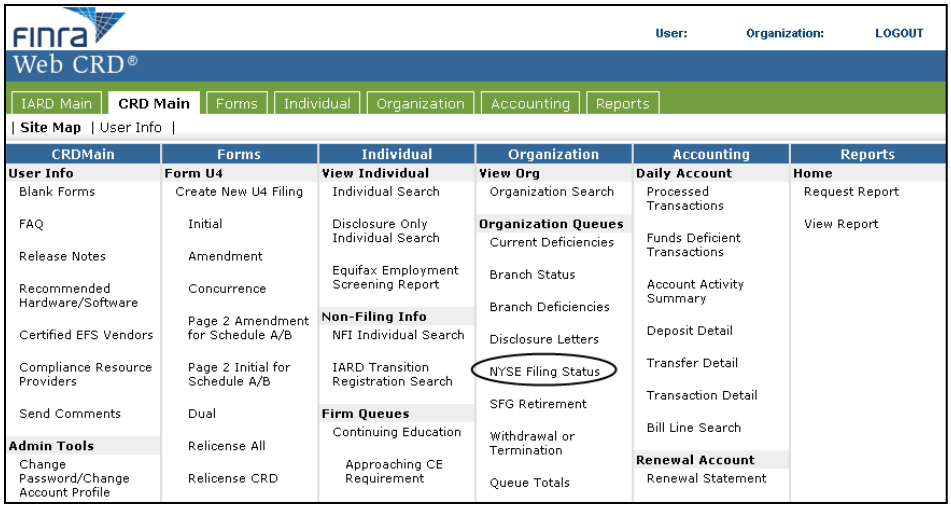
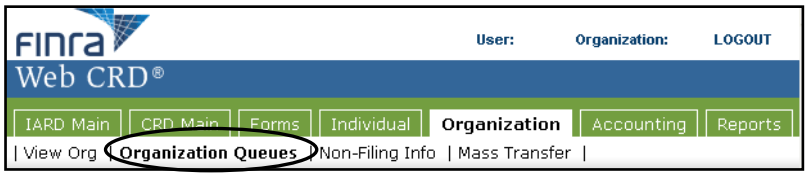
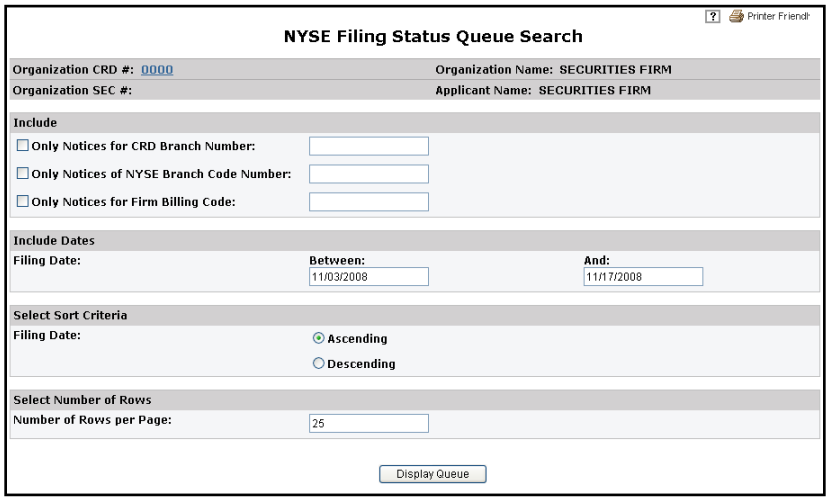


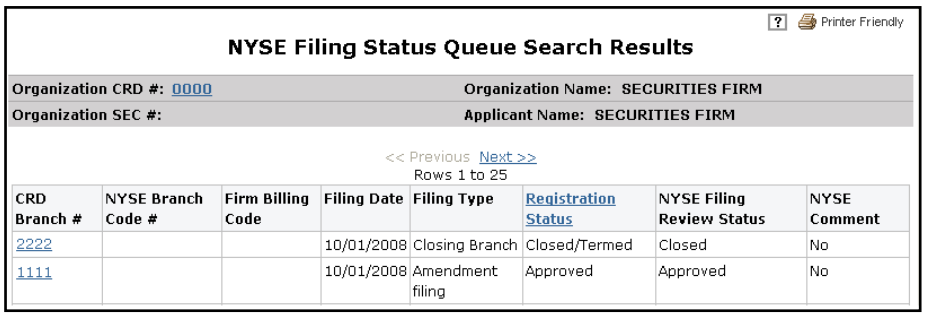
## Steps for Viewing NYSE Filing Status Queue:

| | |
|---|---|
| **Access NYSE Filing Status Queue** | There are two ways to access the **NYSE Filing Status** Queue:<br><br>1. From the CRD Site Map, click the **NYSE Filing Status** hyperlink.<br><br>  <br><br>**OR**<br><br>1a. Click the **Organization** Tab from the Tool Bar, choose **Organization Queues** from the Sub-menu and click **NYSE Filing Status** from the Navigation Bar.<br><br>  <br> |
| **NYSE Filing Status Queue Search** | **[Result:]** The *NYSE Filing Status Queue Search* screen opens<br><br>  <br> |

| | |
|---|---|
| **NYSE Filing Status Queue Search** (Continued) | When the Queue screen criteria screen opens, select a combination or one of the following options:<br><br>2. If searching for a specific CRD Branch Number, place a check mark in the **Only Notices for CRD Branch Number** box and type the CRD branch Number in the field.<br><br>**NOTE:** If a check mark is selected, CRD requires the completion of the corresponding field.<br><br>3. If searching for a specific NYSE Branch Code Number, place a check mark in the **Only Notices for NYSE Branch Code Number** box and type the NYSE Branch Code in the field.<br><br>**NOTE:** This option is only available to NYSE registered firms.<br><br>4. If searching for a specific firm billing code, place a check mark in the **Only Notices for Firm Billing Code** box and type the branch billing code in the field.<br><br>**NOTE:** A Billing Code is a number assigned by a firm to its branch office(s) for accounting purposes.<br><br>5. Type **a Filing Date** range in the **[Between:]** and **[And:]** fields.<br><br>6. If searching for branches by the earliest **Filing Date**, click the **Ascending** radio button.<br><br>**OR**<br><br>6a. If searching for branches by the most recent **Filing Date**, click the **Descending** radio button.<br><br>**NOTE:** CRD defaults to Ascending.<br><br>7. If searching by a specific number of rows, type the **Number of Rows per Page** in the field.<br><br>8. Click the **Display Queue** button. |

**View NYSE Filing Status Queue**

**[Result:]** The *NYSE Filing Queue Results* screen opens.



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**NYSE Filing Status Queue Search Results**

**Organization CRD #:** 0000 **Organization Name:** SECURITIES FIRM

**Organization SEC #:** **Applicant Name:** SECURITIES FIRM

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Rows 1 to 25

| CRD Branch # | NYSE Branch Code # | Firm Billing Code | Filing Date | Filing Type | Registration Status | NYSE Filing Review Status | NYSE Comment |
|---|---|---|---|---|---|---|---|
| 2222 | | | 10/01/2008 | Closing Branch | Closed/Termed | Closed | No |
| 1111 | | | 10/01/2008 | Amendment filing | Approved | Approved | No |

9. To view information about the branch office, click the **CRD Branch Number** hyperlink.

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