Chapter Eleven: Reports

About this Section

This section contains information on requesting and viewing reports.

Completion Objectives

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

- Request reports.
- View reports.
- Explain report formats.

In this Section

This section contains the following topics:

Topic	See Page
About Reports	11-2
Report Formats	11-2
Ad Hoc Reports	11-2
Ad Hoc Fee Schedule	11-3
Steps for Requesting a Report	11-4
Steps for Viewing a Report	11-8

About Reports

CRD enables firms to request and view reports. Reports are sent to a firm's report queue for viewing. There is no charge for reports unless requesting an Ad Hoc report. A complete list of Report Definitions and Report Names is available on the *Request Reports* screen on the IARD and CRD systems.

Report Formats

Symbol	Format	Description
	PDF Format	Portable Document Format (PDF) file, keeps its original appearance preserved, and can be distributed for viewing and printing.
	Download	The layout is in a data download format and can be manipulated by the firm and imported to a database such as Microsoft Excel or Access.
	HTML	The HTML symbol will display when no data was generated based on the report parameters entered. Click the HTML symbol to view the parameters entered for the report requested, which resulted in a Completed - No Data report status.

Ad Hoc Reports

An **Ad Hoc** Report is a report that is not listed on the *Request Reports* screen or a report that is in another format other than the standard arrangement of report items.

To request an Ad Hoc report, send an email request to **crdreports@finra.org** or contact the IARD Hotline at **240-386-4848**. Describe the information that you want included in the report as well as the format to receive the report (e.g., email, CD or floppy disk).

The charge for Ad Hoc reports depends on the complexity and time it takes to generate the report. (Refer to Ad Hoc Fee Schedule)

Ad Hoc Fee Schedule

Type of Ad Hoc Report	Description	Fee
Existing	Ad Hoc Report already exists and will be rerun using new BD Number.	$240
Basic	New Ad Hoc Report must be written and will take up to 3 hours to complete.	$360
Intermediate	New Ad Hoc Report must be written and will take up to 4 hours to complete.	$480
Advanced	New Ad Hoc Report must be written and will take up to 5 hours to complete.	$600
Complex	New Ad Hoc Report must be written and will take more than 5 hours to complete.	$120/hour

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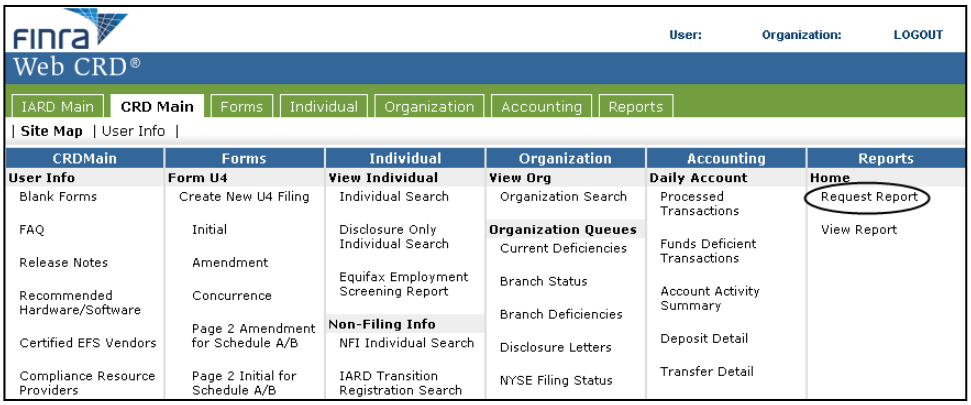
Steps for Requesting a Report:

Access Request Report

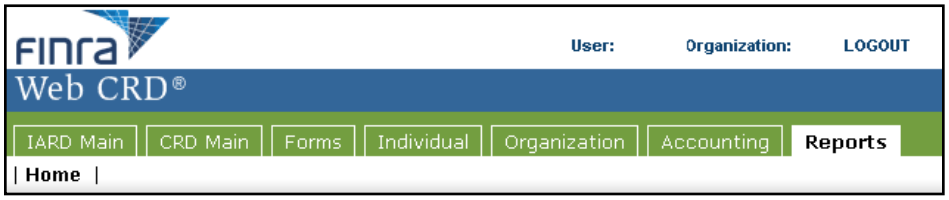
There are two ways to access Request Report:

1. From the CRD Site Map, click the **Request Report** hyperlink.

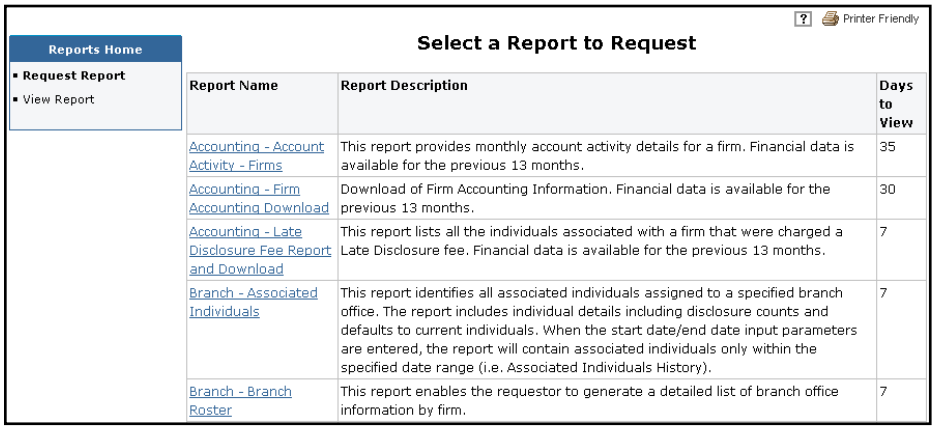


OR

1a. Click the **Reports** Tab from the Tool Bar.



[Result:] CRD defaults to the *Select a Report to Request* screen.



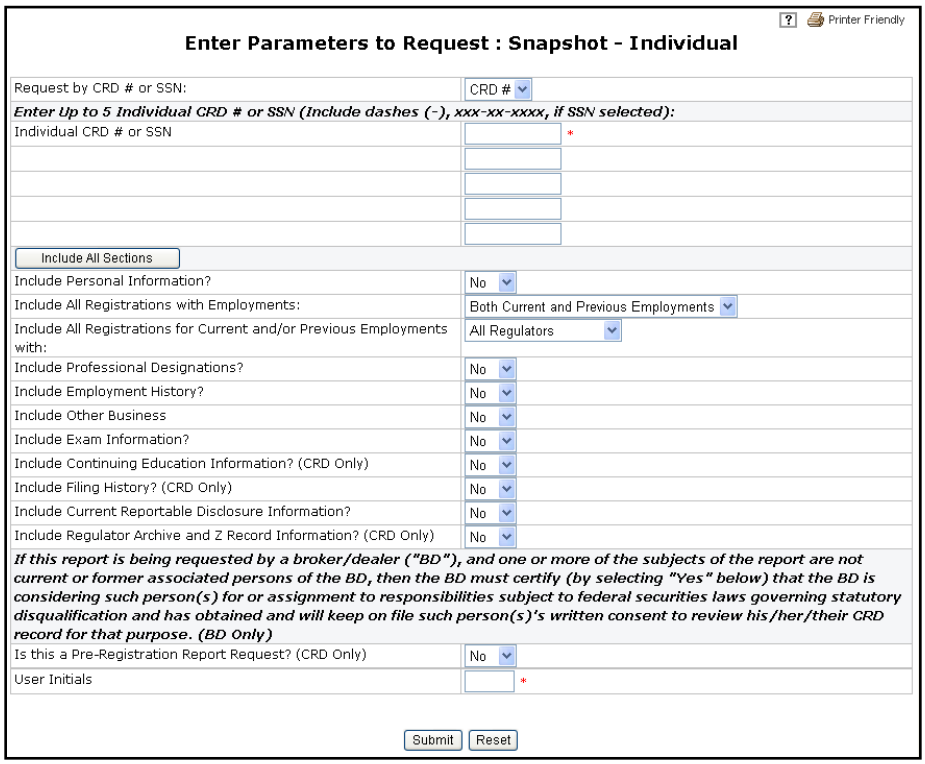
Report Name	Report Description	Days to View
Accounting - Account Activity - Firms	This report provides monthly account activity details for a firm. Financial data is available for the previous 13 months.	35
Accounting - Firm Accounting Download	Download of Firm Accounting Information. Financial data is available for the previous 13 months.	30
Accounting - Late Disclosure Fee Report and Download	This report lists all the individuals associated with a firm that were charged a Late Disclosure fee. Financial data is available for the previous 13 months.	7
Branch - Associated Individuals	This report identifies all associated individuals assigned to a specified branch office. The report includes individual details including disclosure counts and defaults to current individuals. When the start date/end date input parameters are entered, the report will contain associated individuals only within the specified date range (i.e. Associated Individuals History).	7
Branch - Branch Roster	This report enables the requestor to generate a detailed list of branch office information by firm.	7

Request Snapshot Information

1. Click **Snapshot - Individual** from the list of reports.

NOTE: The parameters vary based on the report selected (e.g., Account Activity - Firms, Snapshot - Individual, Snapshot – BD Firm, etc); however, the format remains the same. Below is an example of requesting an Individual Snapshot:

[Result:] The *Enter Parameters to Request: Individual Snapshot* screen opens.



Printer Friendly

Enter Parameters to Request : Snapshot - Individual

Request by CRD # or SSN:	CRD #
Enter Up to 5 Individual CRD # or SSN (Include dashes (-), xxx-xx-xxxx, if SSN selected):	
Individual CRD # or SSN	*
Include All Sections	
Include Personal Information?	No
Include All Registrations with Employments:	Both Current and Previous Employments
Include All Registrations for Current and/or Previous Employments with:	All Regulators
Include Professional Designations?	No
Include Employment History?	No
Include Other Business	No
Include Exam Information?	No
Include Continuing Education Information? (CRD Only)	No
Include Filing History? (CRD Only)	No
Include Current Reportable Disclosure Information?	No
Include Regulator Archive and Z Record Information? (CRD Only)	No
If this report is being requested by a broker/dealer ("BD"), and one or more of the subjects of the report are not current or former associated persons of the BD, then the BD must certify (by selecting "Yes" below) that the BD is considering such person(s) for or assignment to responsibilities subject to federal securities laws governing statutory disqualification and has obtained and will keep on file such person(s)'s written consent to review his/her/their CRD record for that purpose. (BD Only)	
Is this a Pre-Registration Report Request? (CRD Only)	No
User Initials	*

Submit Reset

2. Click the drop-down arrow and choose **CRD #** or **SSN#.**

4. Type the **Individual CRD # or SSN #** in the fields.

NOTE: Individual CRD # or SSN # is a mandatory field. You may enter up to five values.

5. Click the **Include All Sections** button if you want all parameters to be included in the report.

NOTE: The drop-down fields enable you to filter the report to include specific information.

OR

5a. Click the **Include Personal Information** drop-down arrow and choose the appropriate category.

OR

Request Snapshot Information	5b. Click the **Include All Registrations with Employments** drop-down arrow and choose the appropriate category. **OR** 5c. Click the **Include All Registrations for Current and/or Previous Employments with** drop-down arrow and choose the appropriate category. **OR** 5d. If applicable, click the **Include Professional Designations** drop-down arrow and choose the appropriate category. **OR** 5e. Click the **Include Employment History** drop-down arrow and choose the appropriate category. **OR** 5f. Click the **Include Other Business** drop-down arrow and choose the appropriate category. **OR** 5g. Click the **Include Exam Information** drop-down arrow and choose the appropriate category. **OR** 5h. Click the **Include Continuing Education Information** drop-down arrow and choose the appropriate category. **OR** 5i. Click the **Include Filing History** drop-down arrow and choose the appropriate category. **OR** 5j. Click the **Include Current Reportable Disclosure Information** drop-down arrow and choose the appropriate category. **OR** 5k. Click the **Include Regulator Archive and Z Record Information** drop-down arrow and choose the appropriate category.

Request Snapshot Information (Continued)

6. Click the **Is this a Pre-Registration Report Request** drop-down arrow and choose the appropriate category.

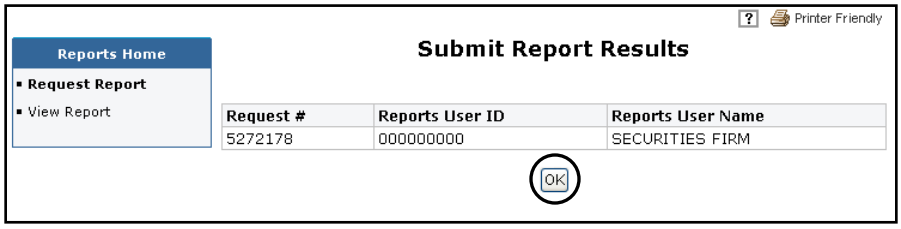
NOTE: If this report is being requested by a broker-dealer, and one or more of the subjects of the report are not current or former employees, then the broker-dealer must certify (by selecting "Yes") that the broker-dealer is considering such individuals for employment and has obtained and will keep on file such subject(s)'s written consent to review his/her/their CRD record for that purpose.

7. Type the **User Initials**.

8. Click the **Submit** button.

[Result:] The *Submit Report Results* screen opens.

NOTE: Make note of the ID # to assist with identifying the report.



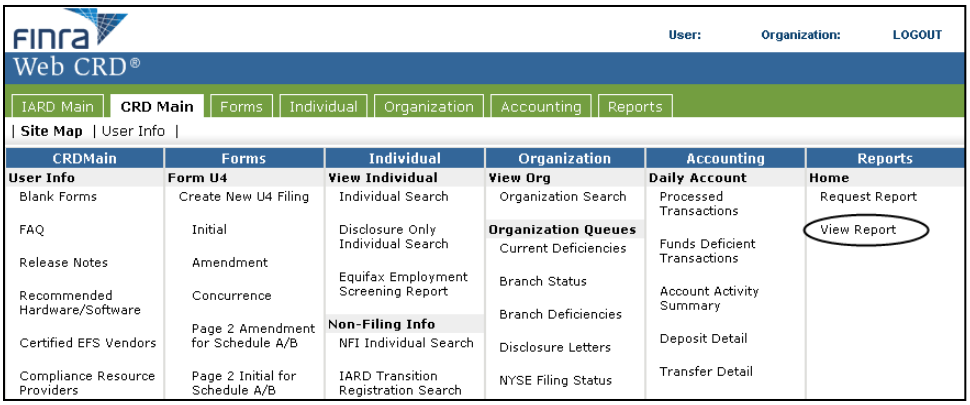
9. Click the **OK** button.

Steps for Viewing a Report:

View Reports

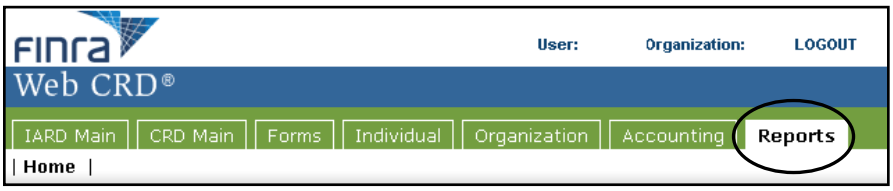
There are two ways to access View Reports:

1. From the CRD Site Map, click the **View Report** hyperlink.

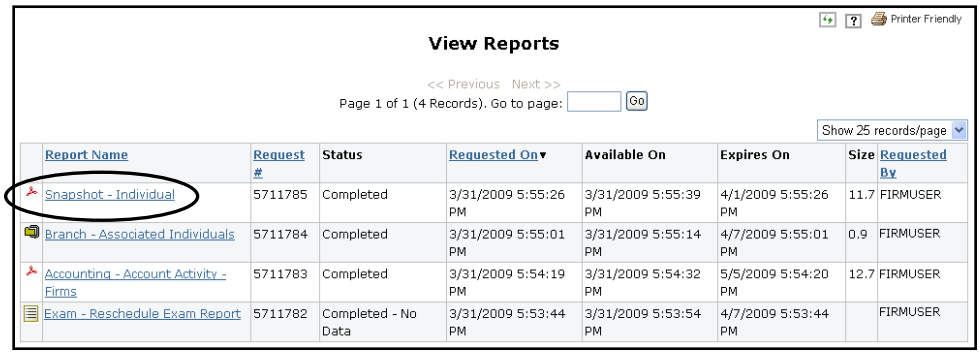


OR

1a. Click the **Reports** Tab from the Tool Bar and choose **View Report** from the Navigation Bar.



[Result:] The *View Reports* screen opens.



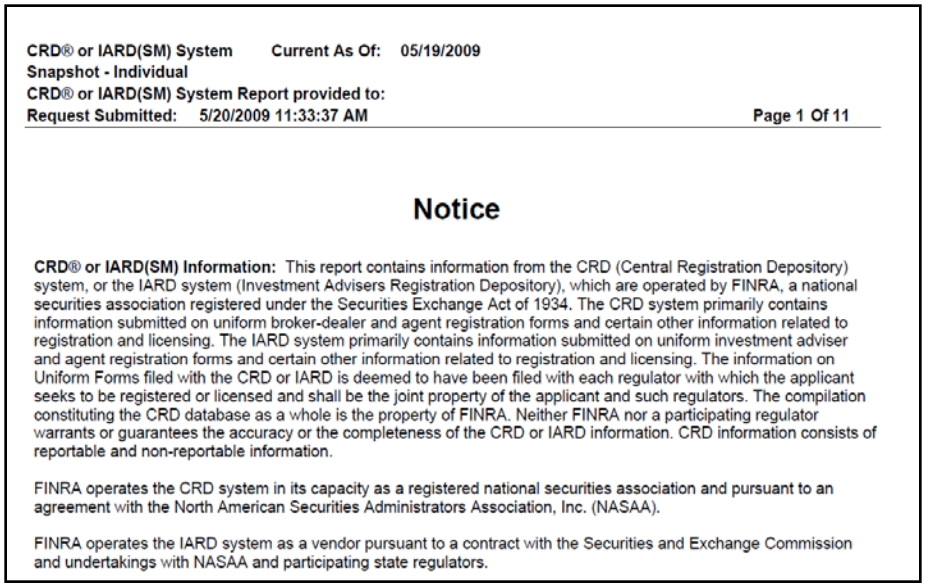
NOTE: Reports can be sorted by Report Name, Request #, Requested On, and Requested By columns. Click the column header hyperlink to sort reports.

In addition, the status column will display *Completed* once the report is run and is available. *Completed - No Data* will display when there is no data available for the report parameters requested.

2. Click the **Report Name** hyperlink or the reports symbol to view a report.

View Reports (Continued)

[Result:] The *Report* screen opens in a second browser.



CRD® or IARD(SM) System **Current As Of:** **05/19/2009**
Snapshot - Individual
CRD® or IARD(SM) System Report provided to:
Request Submitted: **5/20/2009 11:33:37 AM** **Page 1 Of 11**

Notice

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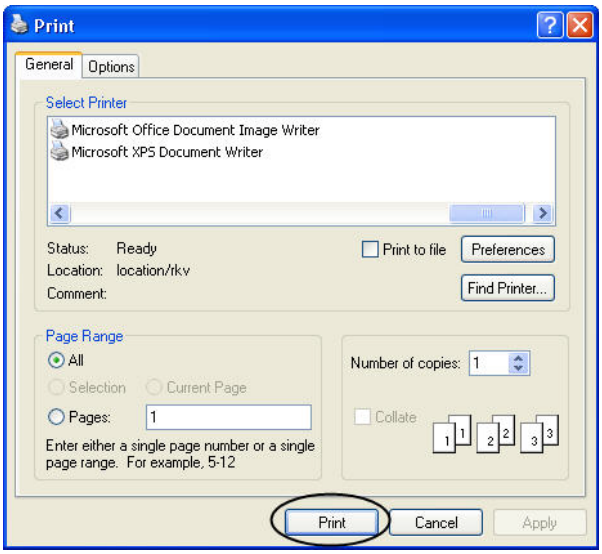
FINRA operates the IARD system as a vendor pursuant to a contract with the Securities and Exchange Commission and undertakings with NASAA and participating state regulators.

Print Reports

3. Click the **File** Menu from your browser and choose **Print**.



NOTE: The first two pages of the report are the disclaimer and details for the request

Additional information on downloading reports is located at FINRA's website at www.finra.org:

Regulatory Systems > CRD > User Support >Web CRD Tips > How To Download A Report from Web CRD

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