Chapter Eight: View Organization

About this Section

This section contains information pertaining to viewing organization records on CRD.

Completion Objectives

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

- View and interpret organization information.

In this Section

This section contains the following topics:

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About View Organization

View Organization is the "Read Only" function in CRD that provides entitled firm users with the capability of viewing information about the organization. Within View Organization, the firm can access information that was submitted through the Initial Form BD, Form BD Amendment filings and Partial BDW filings.

Registration Statuses

Registration Status Type	Description	Regulator
Abandoned	A status used by the SEC and states to indicate a BD application is no longer active. This occurs when the SEC registration request has been in a HOLDING status for more than a year or when information for the firm has not been submitted to a state within the time period specified by the state. The firm cannot conduct business.	SEC, State
Approved	A status indicating the registration is approved.	SEC, FINRA, SRO, State
Cancelled	A status indicating the registration was cancelled. Cancellations generally occur when a firm fails to meet certain regulatory obligations (e.g., failure to pay fees, failure to file reports, etc.).	SEC, FINRA, SRO, State
Conditional Pending SRO Approval	A status used by the SEC to indicate its review of the BD application is complete and the SEC registration approval is contingent on the firm being approved by an SRO.	SEC
Conditional Restricted	A status indicating the registration is approved but with limits, conditions or restrictions.	SRO, State
Denied	A status indicating the registration request was denied.	SEC, FINRA, SRO, State
Expelled	A status indicating the registration has been expelled based on a disciplinary decision or unpaid fees.	SEC, SRO, State
Failed to Renew	A status indicating the firm was terminated for not paying renewal fees.	State
Holding	An initial SEC status set by a BD form filing indicating a BD application has been submitted and is pending review.	SEC
Limited	A status indicating the registration is approved but with limits, conditions or restrictions.	SRO, State
Liquidated	A status indicating a SIPC liquidation of a firm.	FINRA, SRO, State
No Status	An initial jurisdiction/SRO status set by a BD form filing indicating a BD application has been submitted and is pending review.	SRO, State
Pending Approval	An initial FINRA status set by a BD form filing indicating a BD application has been submitted and is pending review. This status is also used by regulators to reflect a pending registration request.	SEC, FINRA, SRO, State
Pending Withdrawal	A status set by the SEC after reviewing a BDW filing and determining that the filing is complete and will become effective within 60 days. The firm's registration remains approved until the withdrawal is made effective.	SEC
Postponed Effective	A status set by the SEC indicating it has delayed the effectiveness of a registration approval or termination request.	SEC
Receivership	A status indicating that a firm is in SIPC receivership. This status that can be applied to firms that are Active or Approved Equivalent. The Receivership status is a non-renewable status.	FINRA
Revoked	A status indicating the registration status was rescinded due to a revocation order.	FINRA, SRO
Suspended	A status indicating that a firm's registration has been suspended.	FINRA, SRO, State

Registration Statuses (Continued)

Terminated	A status indicating termination requested via a BDW form filing has been approved and made effective.	SEC, FINRA, SRO, State
Termination Requested	A status indicating that a firm with an approved registration has requested termination via a BDW form filing. The firm's registration remains approved until the termination is made effective.	SEC, FINRA, SRO, State
Withdrawal Requested	A status indicating that a firm with a pending registration request (i.e., not yet approved) has requested termination via a BDW form filing. The firm's registration request remains pending with the withdrawal request reflected until the termination is accepted and made effective.	FINRA, SEC, SRO, State,
Withdrawn	A status indicating the registration request was withdrawn prior to a registration approval being granted.	SEC, FINRA, SRO, State

Registration Deficiencies

Deficiencies	Definition
CONFLICT	Question was answered "No" on the filing but details were provided on Form BD "or" Form BDW.
PENDING REVIEW	The filing is under review by FINRA.
PAGE 2	A person on Schedule A or B does not have an open employment with the firm.
DENIED	Name not allowed.
GOVT	The SEC Registration and/or Types of Business selected are not allowed.
FINAN	Financial information missing or invalid.
CONTROL	No control person is designated for an individual or entity listed on Schedule A.
INFO	An entry on Schedule A and/or B is missing one or more fields of information on Form BD, or, an "Other Business Name" has been listed but no jurisdiction was specified, or, on Form BDW, Question 5 was answered "yes", but no details were provided.
FUNDS	Pending transactions have not been processed due to Insufficient Funds.
PRED	Question 5 was answered "no", but details were provided.
UNANS	Question was not answered on Form BD or Form BDW.
IRS	The IRS number supplied is invalid.
BOOKS	Custodian's name, telephone number or address is missing or invalid on Form BDW.
MISSING TEXT	Text is missing for items 7, 8 and 9 (Schedule D).

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Manually Set Deficiencies:

1. Inconsistent details or questions
2. Disclosure requested
    a. Disclosure Questions
    b. DRP – Applicant and Control Affiliate
    c. DRP – Applicant
    d. DRP – Firm Control Affiliate
    e. DRP – Individual Control Affiliate
    f. DRPs
3. Insufficient details provided
4. Ownership is not clearly defined or exceeds 100%
5. Other BD (any deficiency not categorized)

Branch Statuses

Branch Registration Statuses		
Status	**Code for Status**	**Description**
Abandoned	ABANDONED	This status is manually set for a Branch that has not been submitted required information to a regulator within the time period specified by the regulator.
Approved	APRVD	This status is set when the Branch is approved.
Restricted Approval	APRVDRSTRD	This status is set when the Branch is restricted in some manner to the kinds of business that is being transacted.
Closed/Termed	CLSDTRMD	This status is set when a Form BR is filed to close the branch.
Closed/Termed - No Form BR	CLSDTRMDNOBR	This status is set when the branch has been closed without a Form BR filing.
Closed/ Termed - Mass Transfer	TRMDMT	This status is set when a branch with an approved-equivalent registration is closed due to a Mass Transfer.
Closed/ Termed - Mass Transfer - No Registration	CLSDTRMDMTNOREG	This status is set when a branch with a non approved registration is closed due to a Mass Transfer.
Closed/ Termed-Failure to Renew	FAILDTORNW	This status is set when a firm fails to renew with a jurisdiction, and the branch had an approved-equivalent status.
Closed/ Termed- Failure to Renew – No Registration	CLSDTRMDFTRNOREG	This status is set when a firm fails to renew with a jurisdiction, and the branch did not have an approved status.
Abandoned	ABANDONED	This status is manually set for a Branch that has not been submitted required information to a regulator within the time period specified by the regulator.
Approved	APRVD	This status is set when the Branch is approved.
Restricted Approval	APRVDRSTRD	This status is set when the Branch is restricted in some manner to the kinds of business that is being transacted.
Closed/Termed	CLSDTRMD	This status is set when a Form BR is filed to close the branch.
Closed/Termed - No Form BR	CLSDTRMDNOBR	This status is set when the branch has been closed without a Form BR filing.

Branch Statuses (Continued)

Branch Registration Statuses		
Status	**Code for Status**	**Description**
Suspended	SPNDD	This status is set when the Branch registration has been suspended.
Term Requested	TERMREQ	This status is set when a Form BR is filed to close a branch and the branch termination review method is "manual".
Term Requested- No Registration	TERMREQ-NOREG	This status is set when a Form BR is filed to close a branch with a non approved registration and the branch termination review method is "manual".
Withdrawn	WTHDN	This status is set when the Branch is closed because of a Form BR filing and the previous status was Deficient or Pending.
Withdrawn-No Form BR Filed	WTHDNNOBR	This status is set when the Branch is closed without a Form BR filing and the previous status was Deficient or Pending.

Branch Notice Filing Statuses		
Status	**Code for Status**	**Description**
Closed	CLSD	This status is set when the Branch is closed through a Form BR filing.
Closed No Form BR Filed	CLSDNOBR	A status indicating the Branch is closed without a Form BR filing.
Closed- Failure to Renew	FAILDTORNW	This status is set when a firm fails to renew with a jurisdiction, and the branch had an approved-equivalent status.
Closed - Mass Transfer	CLSDMT	This status is set when a branch with an approved-equivalent registration is closed due to a Mass Transfer.
Deficient	DFCNT	This status is set when the branch is deficient and further action needs to occur.
Open	OPEN	This status is set when the Branch is Opened through a Form BR filing.

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Branch Deficiencies

Deficiencies	Definition
FUNDS	Branch Registration/Notice Filings have not been processed due to Insufficient Funds.
FINRAOSJNACTV	OSJ for the branch is inactive.
FINRAOSJNOSPRV	OSJ for the branch is without a supervisor/person-in-charge.
FINRAOSJNOSPRVEMPLT	Supervisor/person-in-charge for the OSJ for the branch is without the required office of employment information.
FINRAOSJSPRVQUALS	Supervisor/person-in-charge for the OSJ for the branch is without the required qualifications.
FINRASPRVPICQUALS	Supervisor/person-in-charge for the branch is without the required qualifications.
NOSPRVPIC	Branch is without a supervisor/person-in-charge.
NYSERGLRNACTV	Applicable to Regular NYSE branches only. Branch is inactive.
NYSERGLNOSPRV	Applicable to Regular NYSE branches only. Branch is without a supervisor/person-in-charge.
NYSERGLNOSPRVEMPLT	Applicable to Regular NYSE branches only. Supervisor/person-in-charge for the branch is without the required office of employment information.
NYSERGLSPRVQUALS	Applicable to Regular NYSE branches only. Supervisor/person-in-charge for the branch is without the required qualifications.
NYSESPRVPICQUALS	Applicable to NYSE branches only. Supervisor/person-in-charge for the branch is without the required qualifications.
PNDNGFIRM	Firm has a CRD status of Pending, No Status or Withdrawal Requested with an SRO or jurisdiction with whom the branch registration or notice filing is requested.

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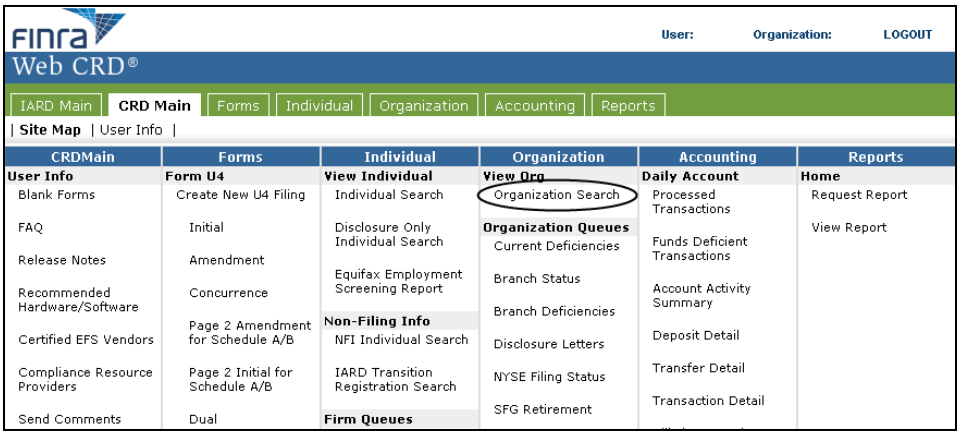
Steps for Viewing Organization Information:

Access View Organization

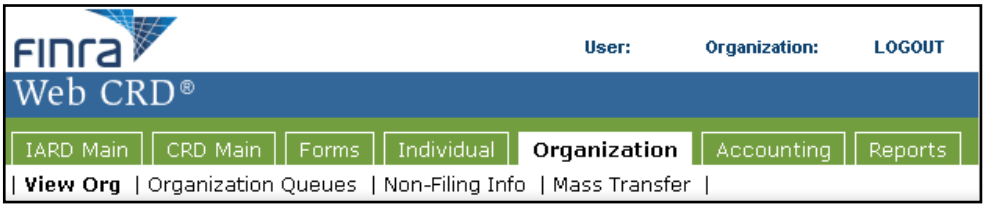
There are two ways to access organization information:

1. From the Site Map, click the **Organization Search** hyperlink.

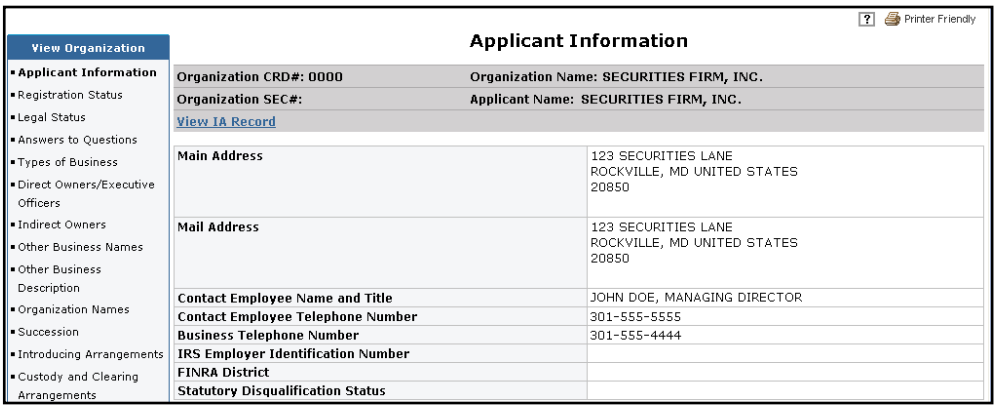


OR

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



[Result:] The *Applicant Information* screen opens.



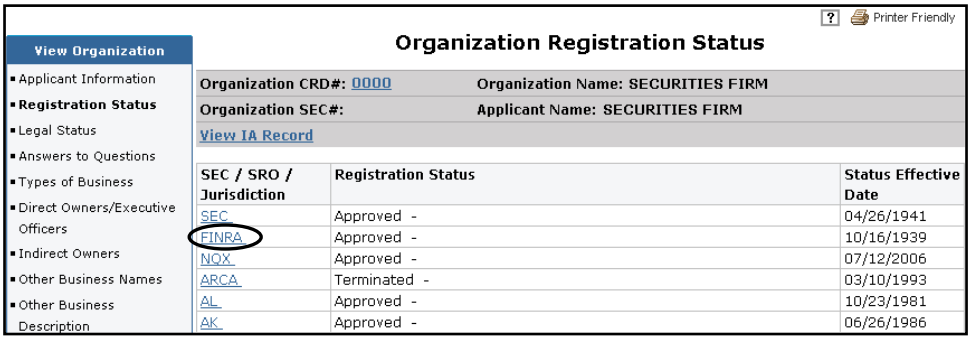
2. Click the desired **View Organization** section from the Navigation Bar.

View Organization Information	**Applicant Information** section includes: Main Address, Mailing Address, Contact Information, Business Telephone Number, IRS Employer ID No., and a FINRA District assignment. **Registration Status** section includes the firm's Registration Status and Status Effective Date for SEC/SRO/Jurisdictions. For viewing Registration Status information, see steps 1 through 3 on page 8-11 of Steps for Viewing Organization Registration Status. **Legal Status** section includes: a firm's Legal Status (e.g., Corporation, Partnership, etc.), the month a firm's fiscal year ends, State/Country of Formation and Date of Formation. **Answers to Questions** section includes all answers to non-disclosure and disclosure questions. **Types of Business** section includes descriptions of businesses in which the Firm is involved. **Direct Owners/Executive Officers** is also known as Schedule A of Form BD. Schedule A add or update the applicant's Direct Owners/Executive Officers information. For viewing Direct Owners/Executive Officers information, see steps 1 through 4 on page 8-12 of Steps for Viewing Organization Direct Owners/Executive Officers. **Indirect Owners** is also known as Schedule B of Form BD. Schedule B is used to add or update the applicant's Indirect Owners information. Amendments to Schedule B are filed on Schedule C. **Other Business Names** section includes a list of Names that an applicant may be using to conduct other business and the jurisdiction(s) in which the other name(s) is used. **Other Business Description** section includes a description of any Other Business, including non-securities business, the applicant conducts. **Organization Names** section includes a list of names that the firm has used. **Succession** section reflects firm's succession history. **Introducing Arrangements** section includes: a Name, CRD#, Business Address, Effective Date and description of clearing arrangements. **Custody and Clearing Arrangements** section includes arrangements with others to keep or maintain the firm's books or records, or the accounts, funds or securities of the firm or its customers. **Financial and Control Arrangements** section includes financial or control arrangements with individuals or entities outside the firm.

View Organization Information (Continued)	**Affiliates** section includes information on Control Business Affiliates and/or Control Bank Affiliates. **Form BR Branch Offices** section includes Branch Composite, Branch Registration/Notice Filing Status, Branch Deficiencies, Currently Associated Individuals, Branch Address History, Supervisor/Person-In-Charge History and Branch Office Filing History information. For viewing Form BR Branch Offices information, see page 8-13, Steps for Viewing Form BR Branch Offices. **Schedule E Branch Offices** section includes a search for branch offices, and provides information filed on Schedule E of Form BD**.** Filing of Schedule E was retired in October 2005 and replaced by Form BR. This section is used for viewing historical Schedule E information. For viewing Branch Office information, see Page 8-16, Steps for Viewing Schedule E Branch Offices. **Disclosures** section includes disclosure information for the applicant, or, one or more of the control affiliates for the applicant. For viewing Disclosure information, see steps 1 through 4 on pages 8-18, Steps for Viewing Organization Disclosures. **Filing History** section includes the type of filing created and any changes. For viewing Filing History information, see steps 1 through 5 on page 8-21, Steps for Viewing Organization Filing History. **Document Listing** section includes a search for imaged documents. **Deficiencies** section includes: deficiencies for the firm and "Page 2 of Form U4" deficiencies (i.e., deficiencies in information required to be reported relating to Owners/Executive Officers, and/or Indirect owners that are not required to be registered). For viewing deficiency information, see steps 1 through 4 on page 8-23, Steps for Viewing Organization Deficiencies. **Legacy Information** section includes: Branch Offices, Filing History, DI Information (Form U6 DRP's), and DE Information (Form BD DRP's and/or Schedule D) as it appeared in the Legacy CRD System prior to August 1999. Note: Legacy CRD information has not been updated since August 1999. For viewing Legacy Information, see steps 1 through 3 on page 8-25 of Steps for Viewing Organization Legacy Information. **Request Snapshot** provides the capability to request a report that contains a comprehensive set of administrative/disclosure data for the firm. The report includes Current Administrative Information, Current Reportable Disclosure Information and Current Non-Reportable Disclosure Information. For requesting reports see steps 1 through 8 of the Reports Chapter on pages 11-5 through 11-8. **Non-Filing Information** gives firms the ability to view and update information without submitting a form filing. Firms can maintain contact information that is not a part of the Form BD filing process and is used by the Registration and Disclosure Department for CRD issues. Firms can view organization name changes and whether the changes were due to corrections. Firms can view mass transfer information relating to their firm, type of transfer and effective date. Firms can also maintain NYSE Branch Code Numbers. For detailed steps how to use Non-Filing Information, see Chapter 9, organization Non-Filing Information.

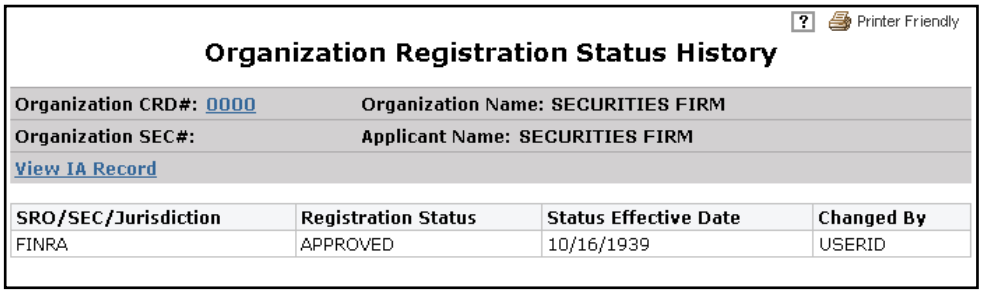
Steps for Viewing Organization Registration Status:

Access View Organization	1. Follow step 1 or 1a on page 8-8 of Steps for Viewing Organization Information.
View Registration Summary	2. Click **Registration Status** from the Navigation Bar. **[Result:]** The *Organization Registration Status* screen opens.



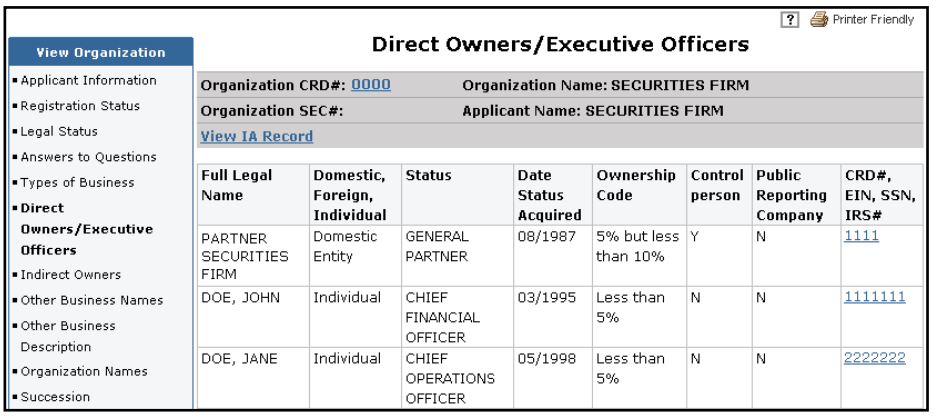
3. To view Organization Registration Status History, click on the desired **SEC/SRO/Jurisdiction** hyperlink.

[Result:] The *Organization Registration Status History* screen opens.



Steps for Viewing Organization Direct Owners/Executive Officers:

Access View Organization	1. Follow step 1 or 1a on page 8-5 of Steps for Viewing Organization Information.
View Direct Owners/ Executive Officers	2. Click **Direct Owners/Executive Officers** from the Navigation Bar. **[Result:]** The *Direct Owners/Executive Officers screen* opens.



Full Legal Name	Domestic, Foreign, Individual	Status	Date Status Acquired	Ownership Code	Control person	Public Reporting Company	CRD#, EIN, SSN, IRS#
PARTNER SECURITIES FIRM	Domestic Entity	GENERAL PARTNER	08/1987	5% but less than 10%	Y	N	1111
DOE, JOHN	Individual	CHIEF FINANCIAL OFFICER	03/1995	Less than 5%	N	N	1111111
DOE, JANE	Individual	CHIEF OPERATIONS OFFICER	05/1998	Less than 5%	N	N	2222222

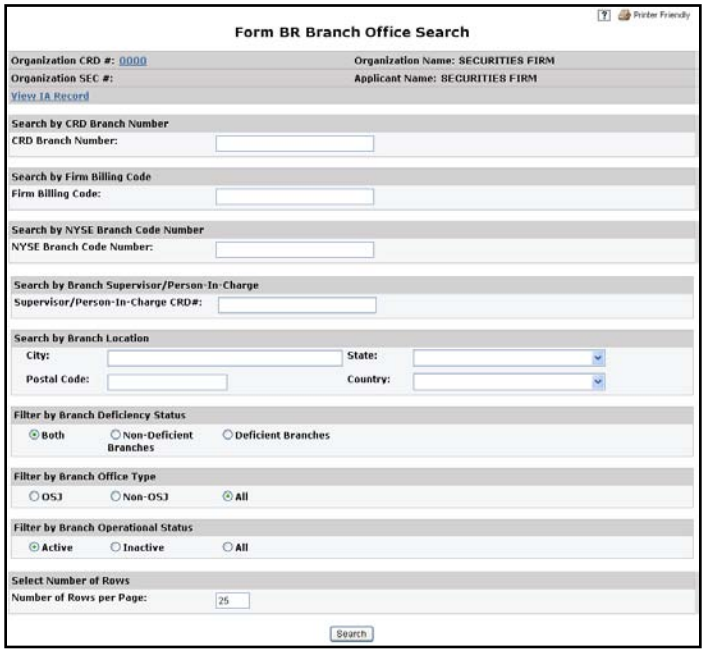
If the individual has a CRD# or SSN listed, click the hyperlink to access the individual's record. In addition, entitlement is required to view Social Security Numbers (SSNs) in Web CRD and IARD. For users who do not have this entitlement, SSNs will display as "xxx-xx-xxx" throughout the system. Click the SSN or "xxx-xx-xxxx" hyperlink to access the individual's record.

3. Close the second browser.

NOTE: Indirect Owners of Form BD has the same format.

Steps for Viewing Form BR Branch Offices:

Access View Organization	1. Follow step 1 or 1a on page 8-8 of Steps for Viewing Form BR Branch Offices information.
View Form BR Branch Offices	2. Click **Form BR Branch Offices** from the Navigation Bar. **[Result:]** The *Form BR Branch Search* screen opens.

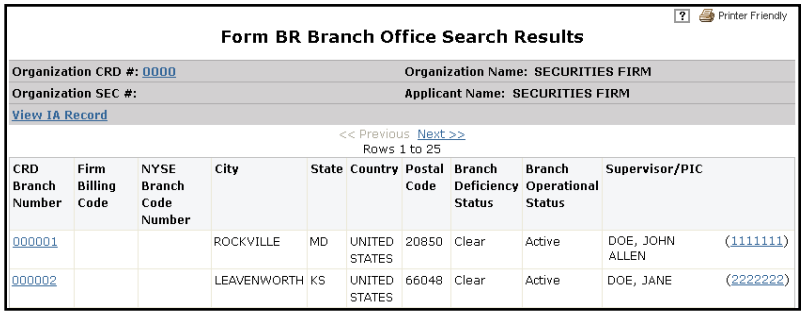


3. Enter the branch's **CRD Branch Number**, **Firm Billing Code**, **NYSE Branch Code Number** (if applicable), or **Branch Supervisor/Location** information. You can also filter your search by **Branch Deficiency Status** and/or **Branch Operational Status**.

NOTE: "ALL" branch offices will display if no search parameters are entered.

4. Click the **Search** button.

[Result:] The *Form BR Branch Office Search Results* screen opens.



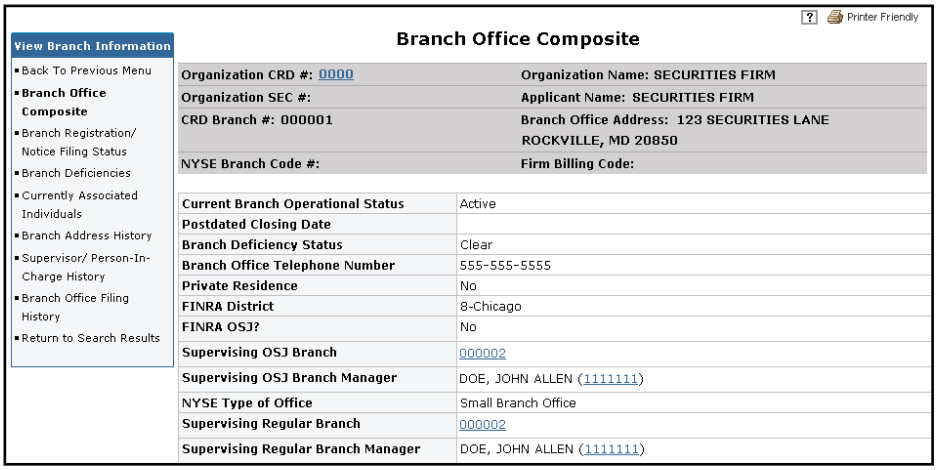
CRD Branch Number	Firm Billing Code	NYSE Branch Code Number	City	State	Country	Postal Code	Branch Deficiency Status	Branch Operational Status	Supervisor/PIC
000001			ROCKVILLE	MD	UNITED STATES	20850	Clear	Active	DOE, JOHN ALLEN (1111111)
000002			LEAVENWORTH	KS	UNITED STATES	66048	Clear	Active	DOE, JANE (2222222)

5. Click on the **CRD Branch Number** hyperlink to access details on the branch.
6. Click on the CRD hyperlink that is located next to the name to access the Supervisor/PIC individual information.

View Form BR Branch Offices
(Continued)

[Result:] The *Branch Office Composite screen* opens.

NOTE: From the Navigation Bar on this screen the user can access **Branch Composite, Branch Registration/Notice Filing Status, Branch Deficiencies, Currently Associated Individuals, Branch Address History, Supervisor/Person-In-Charge History or Branch Office Filing History** for a specific branch.



7. Click **Branch Registration/Notice Filing Status** from the Navigation Bar to view branch SRO/Jurisdiction information for a specific branch; or

7a. Click **Branch Deficiencies** from the Navigation Bar to view deficiencies for a specific branch. (**NOTE**: You can filter by deficiency status using **Only Open Deficiencies**, **Only Closed Deficiencies** or **All**); or

7b. Click **Currently Associated Individuals** from the Navigation Bar to view the supervisor/person-in-charge and other individuals that are associated with a specific branch. (**NOTE**: You can use additional type of individual filters by selecting **Only Independent Contractors**, **Only Supervisor/Person-in-Charge** or **Only Associated Individuals with Disclosure**); or

7c. Click **Branch Address History** from the Navigation Bar to view any address that a specific branch is located or was located in the past; or

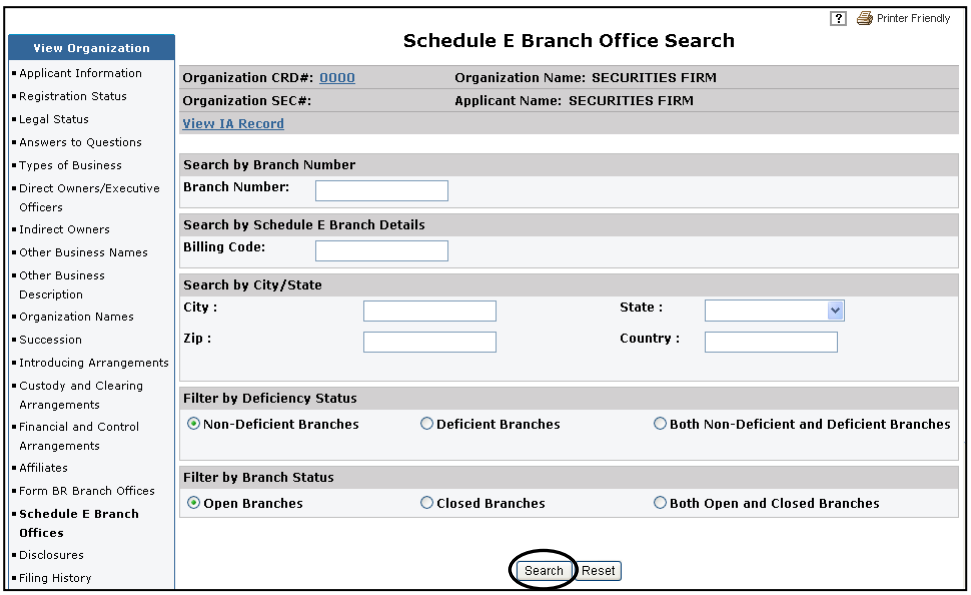
7d. Click **Supervisor/Person-In-Charge History** from the Navigation Bar to view the history of the supervisor/person-in-charge for a specific branch; or

7e. Click **Branch Office Filing History** from the Navigation Bar to view Initial and Amendment Form BR filings that were made for a specific branch.

8. Select **Back to Previous Menu** from the Navigation Bar to return to the Main Navigation Bar; or

8a. Select **Return to Search Results** to continue viewing branch information.

Steps for Viewing Schedule E Branch Offices:

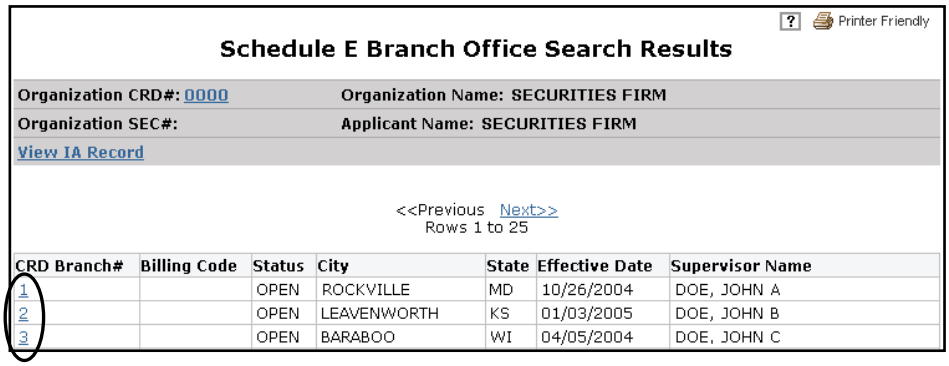
Access View Organization	1. Follow step 1 or 1a on page 8-8 of Steps for Viewing Schedule E Branch Offices information.
Search for a Branch Offices	2. Click **Schedule E Branch Offices** from the Navigation Bar. **[Result:]** The Schedule E *Branch Office Search* screen opens. **NOTE:** Filing of Schedule E was retired in October 2005 and replaced by Form BR. This section is for viewing historical Schedule E information.  3. **Type Branch #**, **Billing Code**, **City**, **State, Zip Code** or **Country**. **NOTE:** The Branch #, Billing Code, City, State or Country fields are optional. A Billing Code is assigned by the firm to its branch office(s). 4. Click the **Non-Deficient Branches**, **Deficient Branches** or **Both Non-Deficient and Deficient Branches** radio button. **NOTE:** CRD defaults to the Non-Deficient and Deficient Branches radio button. 5. Click the **Open Branches**, **Closed Branches** or **Both Open and Closed Branches** radio button. **NOTE:** CRD defaults to the Open Branches radio button.

View a Branch Office

6. Click the **Search** button.

NOTE: If the user does not type in any search criteria, the system will return a list of all branches that can be paged through.

[Results:] The *Schedule E Branch Office Search Results* screen opens.



Printer Friendly

Schedule E Branch Office Search Results

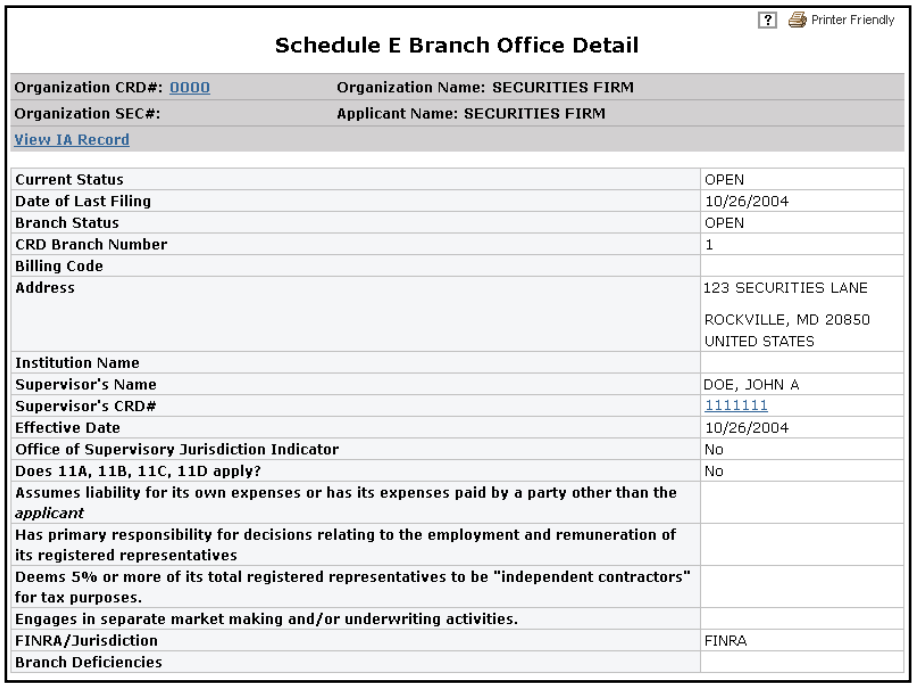
Organization CRD#: 0000 **Organization Name: SECURITIES FIRM**
Organization SEC#: **Applicant Name: SECURITIES FIRM**
View IA Record

<<Previous Next>>
Rows 1 to 25

CRD Branch#	Billing Code	Status	City	State	Effective Date	Supervisor Name
1		OPEN	ROCKVILLE	MD	10/26/2004	DOE, JOHN A
2		OPEN	LEAVENWORTH	KS	01/03/2005	DOE, JOHN B
3		OPEN	BARABOO	WI	04/05/2004	DOE, JOHN C

7. Click the **CRD Branch #** hyperlink.

[Results:] The *Schedule E Branch Office Detail* screen opens.



Printer Friendly

Schedule E Branch Office Detail

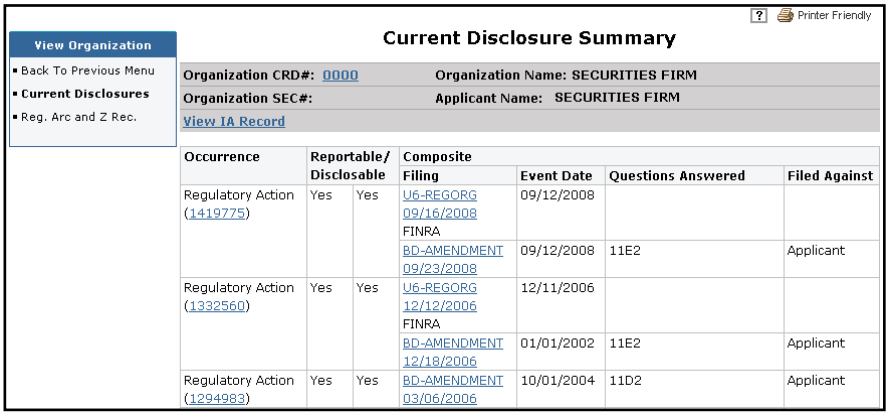
Organization CRD#: 0000 **Organization Name: SECURITIES FIRM**
Organization SEC#: **Applicant Name: SECURITIES FIRM**
View IA Record

Current Status	OPEN
Date of Last Filing	10/26/2004
Branch Status	OPEN
CRD Branch Number	1
Billing Code	
Address	123 SECURITIES LANE ROCKVILLE, MD 20850 UNITED STATES
Institution Name	
Supervisor's Name	DOE, JOHN A
Supervisor's CRD#	1111111
Effective Date	10/26/2004
Office of Supervisory Jurisdiction Indicator	No
Does 11A, 11B, 11C, 11D apply?	No
Assumes liability for its own expenses or has its expenses paid by a party other than the *applicant*	
Has primary responsibility for decisions relating to the employment and remuneration of its registered representatives	
Deems 5% or more of its total registered representatives to be "independent contractors" for tax purposes.	
Engages in separate market making and/or underwriting activities.	
FINRA/Jurisdiction	FINRA
Branch Deficiencies	

NOTE: The Supervisor's CRD record can be accessed via the CRD hyperlink.

Steps for Viewing Organization Disclosures:

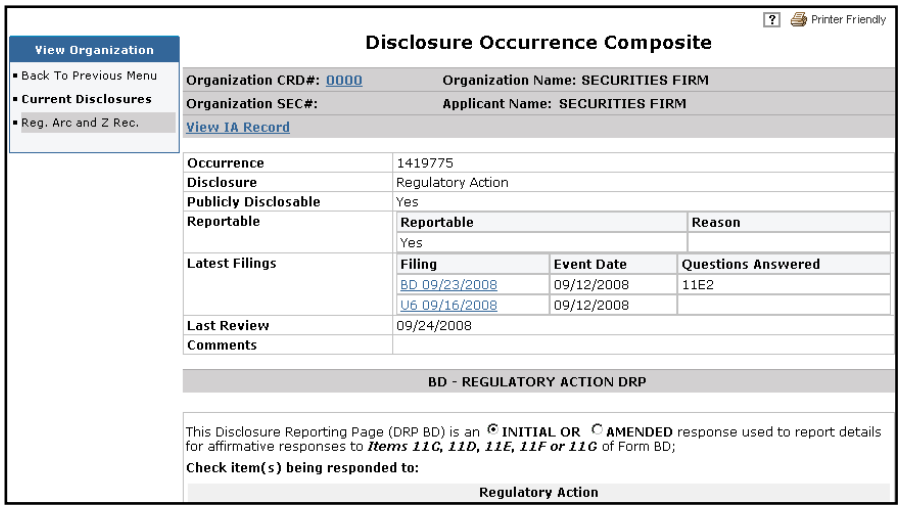
Access View Organization	1. Follow step 1 or 1a on page 8-8 of Steps for Viewing Organization Information.
View Disclosures	2. Click **Disclosures** from the Navigation Bar. **NOTE:** Current Disclosures and Reg. Arc. And Z Rec. (non-reportable) has the same format with the same hyperlinks. The following is an example of Current Disclosures: **[Result:]** CRD defaults to *Current Disclosure Summary* screen.



3. Click the **Occurrence ID number** hyperlink.

[Result:] The *Disclosure Occurrence Composite* screen opens in a second browser.

NOTE: The user can view a composite of the BD DRP and the U6 DRP, if those DRPs exist for the occurrence.



View Disclosure
(Continued)

OR

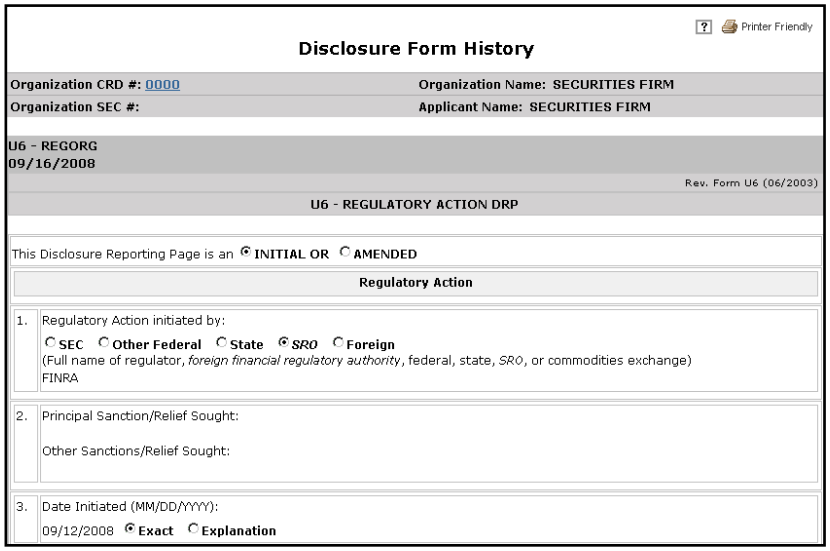
3a. On the *Disclosure Summary* screen, click the filing type hyperlink in the **Composite Filing** column (e.g., BD-AMENDMENT)

[Result:] CRD displays the entire filing in a second browser. Go to step 3 on page 8-21 for Steps for Viewing Organization Filing History.

OR

3b. Click the **Date** hyperlink to view the DRP.

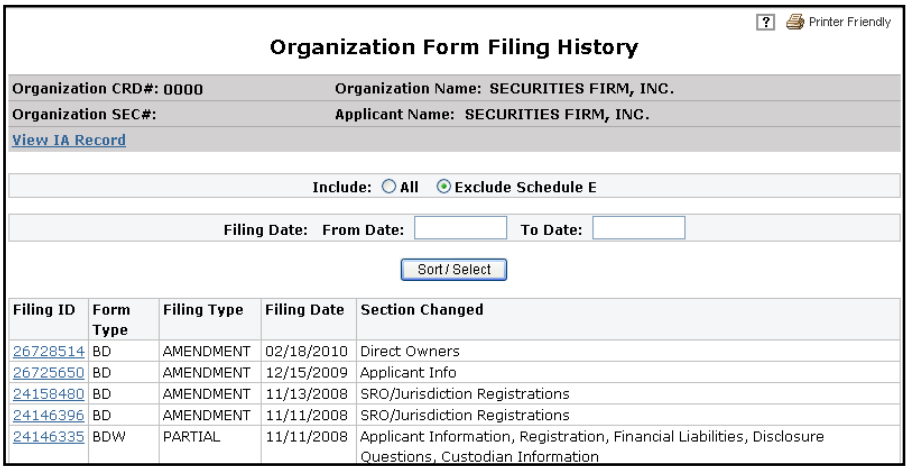
[Result:] CRD displays the *Disclosure Form History* screen in a second browser.



4. Close the second browser.

Steps for Viewing Organization Filing History:

Access View Organization	1. Follow step 1 or 1a on page 8-8 of Steps for Viewing Organization Information.
View Filing History	2. Click **Filing History** from the Navigation Bar. **[Result:]** The *Organization Form Filing History* screen opens.



3. Select the **All** or **Exclude Schedule E** radio button, type a date range, click the **Sort/Select** button and then click a **Filing ID** hyperlink.

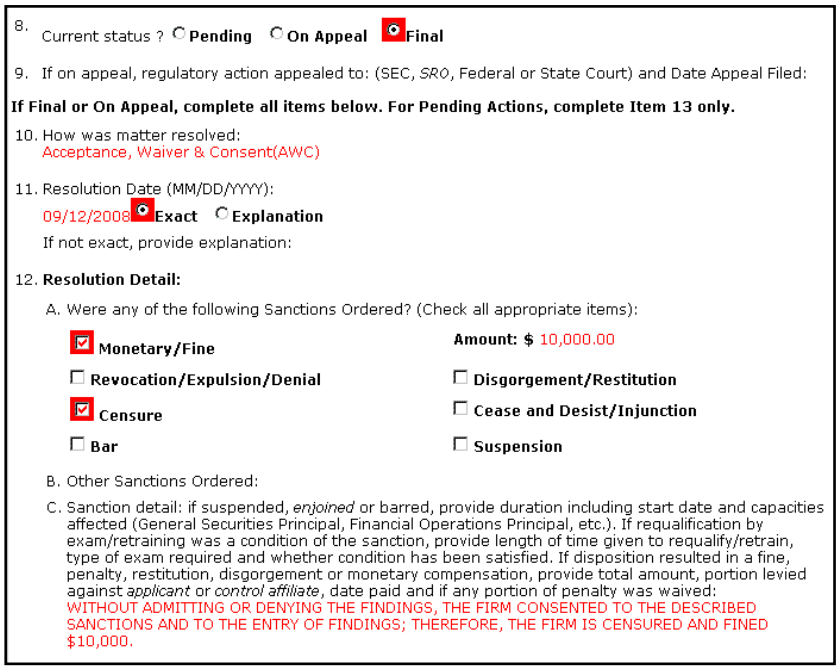
[Result:] CRD displays the *BD-Application Information* screen in a second browser.

NOTE: A user can view or print an entire Form BD filing, specific pages, schedules or DRPs. To print, see step 5 on page 7-9 of Steps for Creating a Form BD Amendment.

View Filing History (Continued)

4. Click the desired **View Form Pages** section (including **View Changes on Filing** or **View Only Sections Changed**) from the Navigation Bar.

[Result:] The changes appear in red if **View Changes on Filing** section was chosen.



8. Current status ? ○ **Pending** ○ **On Appeal** ◉ **Final**

9. If on appeal, regulatory action appealed to: (SEC, *SRO*, Federal or State Court) and Date Appeal Filed:

If Final or On Appeal, complete all items below. For Pending Actions, complete Item 13 only.

10. How was matter resolved:
Acceptance, Waiver & Consent(AWC)

11. Resolution Date (MM/DD/YYYY):
09/12/2008 ◉ **Exact** ○ **Explanation**
If not exact, provide explanation:

12. **Resolution Detail:**

A. Were any of the following Sanctions Ordered? (Check all appropriate items):

☑ **Monetary/Fine**	**Amount: $** 10,000.00
☐ **Revocation/Expulsion/Denial**	☐ **Disgorgement/Restitution**
☑ **Censure**	☐ **Cease and Desist/Injunction**
☐ **Bar**	☐ **Suspension**

B. Other Sanctions Ordered:

C. Sanction detail: if suspended, *enjoined* or barred, provide duration including start date and capacities affected (General Securities Principal, Financial Operations Principal, etc.). If requalification by exam/retraining was a condition of the sanction, provide length of time given to requalify/retrain, type of exam required and whether condition has been satisfied. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide total amount, portion levied against *applicant* or *control affiliate*, date paid and if any portion of penalty was waived:
WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, THE FIRM IS CENSURED AND FINED $10,000.

OR

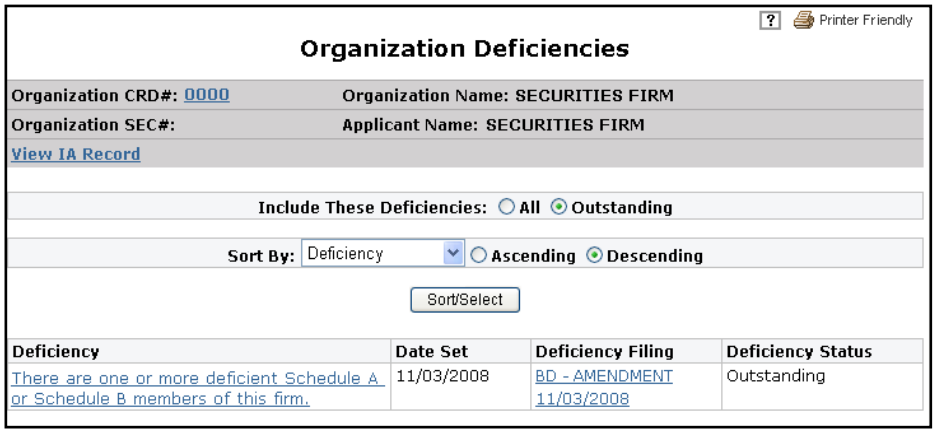
4a. Click the desired **View History** (Including pages 1-5, Schedule A – E, All Open Branches, DRPs or All Pages) from the Navigation Bar.

5. Close the second browser.

NOTE: When viewing Filing History, filings with July 1999 dates is a conversion filing that was created when the CRD information was converted from the Legacy CRD system to the Web CRD system. Check Legacy Filing History for the actual filing Information.

Steps for Viewing Organization Deficiencies:

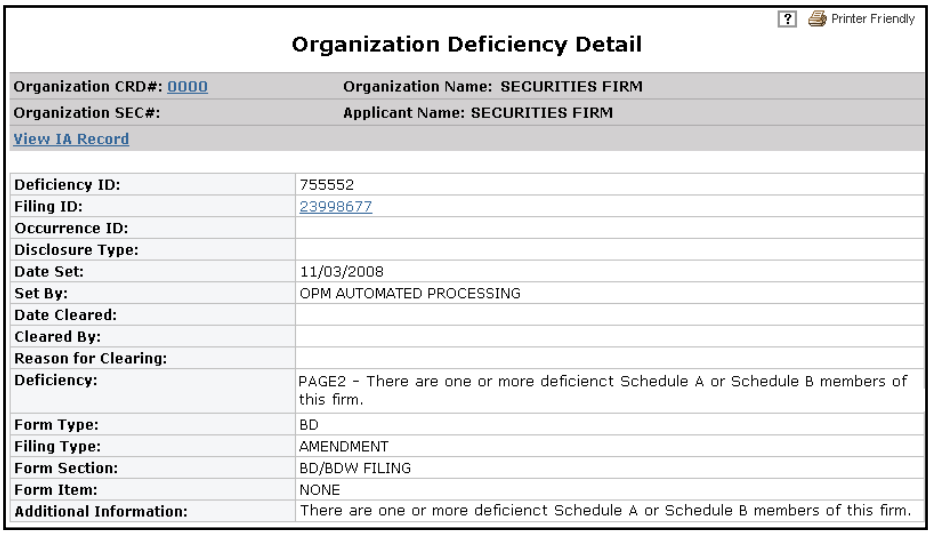
Access View Organization	1. Follow step 1 or 1a on page 8-8 of Steps for Viewing Organization Information.
View Deficiencies	2. Click **Deficiencies** from the Navigation Bar. **NOTE:** Organization Deficiencies and Page 2 Deficiencies have the same format with the same hyperlinks. The following is an example of Organization Deficiencies: **[Result:]** CRD displays the *Organization Deficiencies* screen.



3. Click the **All** or **Outstanding** radio buttons and click the **Sort/Select** button.

4. Click the **Deficiency** hyperlink.

[Result:] The *Deficiency Detail* screen opens.

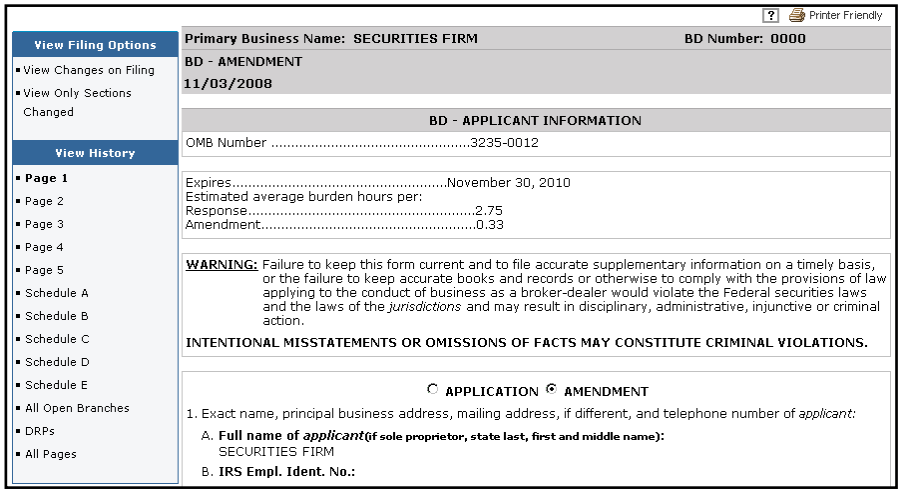


View Deficiencies (Continued)

OR

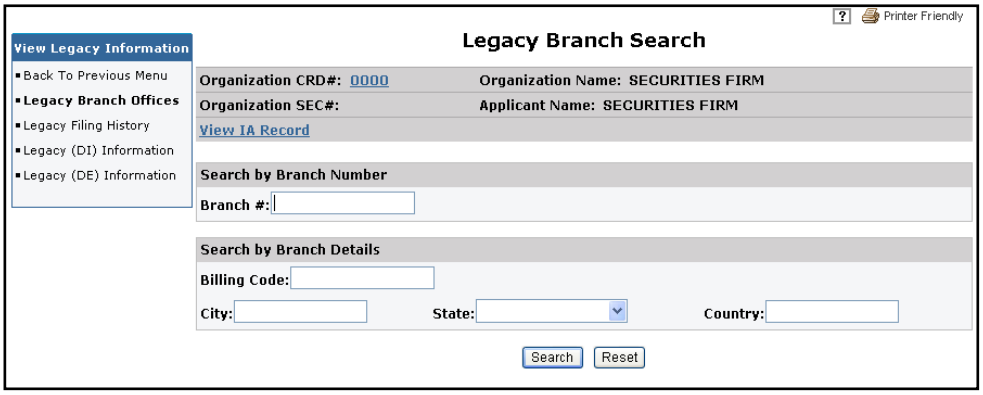
4a. Click the **Deficiency Filing** hyperlink from the *Branch Deficiencies* screen or click the **Filing ID** hyperlink from the *Deficiency Detail* screen.

[Result:] The *BD-Application Information* screen opens in a second browser.



NOTE: A user can view or print an entire BD filing, specific pages, schedules or DRPs and close the second browser. To print, see step 5 on page 7-9 of Steps for Creating a Form BD Amendment.

Steps for Viewing Organization Legacy Information:

Access View Organization	1. Follow step 1 or 1a on page 8-8 of Steps for Viewing Organization Information.
View Legacy Information	2. Click **Legacy Information** from the Navigation Bar. **[Result:]** CRD displays the *Legacy Branch Office Search* screen.  **NOTE:** CRD defaults to Legacy Branch Search screen. 3. Type search criteria and click the **Search** Button. **<u>OR</u>** 3a. Click the desired **View Legacy Information** (Legacy Filing History, Legacy DI Information or Legacy DE Information) from the Navigation Bar. 4. Click **Back to Previous Menu** to return to the main Navigation Bar.

Tips for Viewing Organization Information:

When viewing Filing History, filings with July 1999 dates reflect the date the filings were converted from the Legacy CRD system to the Web CRD system. Check Legacy Filing History for the actual filing date.