

Web CRD Jurisdiction/SRO Branch Withdrawal/Closing Review Method

The branch review method allows regulators that participate in branch office registration to choose how to process branch closing/withdrawal requests submitted using Web CRD®.

The default termination review method for branches is **Automatic**, meaning that all branches requesting closing/withdrawal will be automatically terminated or withdrawn. Regulators have the option to change the termination review method for specific branches to **Manual**, meaning that closing/withdrawal requests receive a Termination Requested status or a Termination Requested-No Registration status and appear in the Branch Organization queue for review prior to termination.

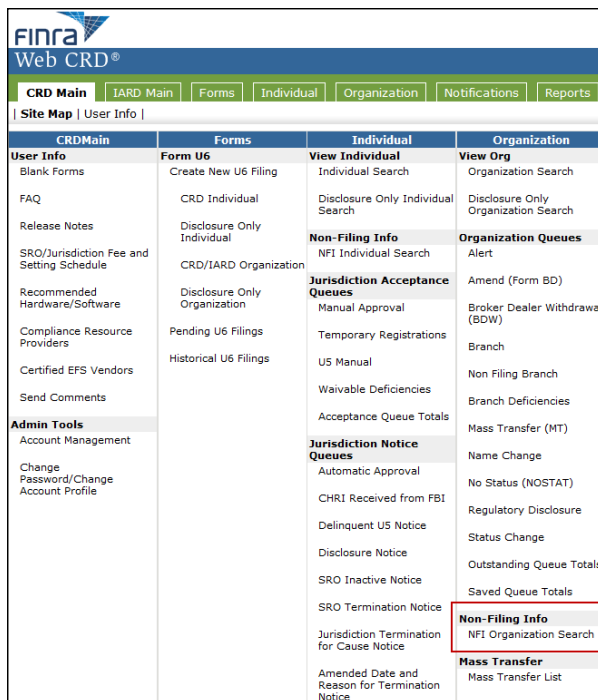
Changing a Branch Review Method:

Access Web CRD at <https://crd.finra.org>.

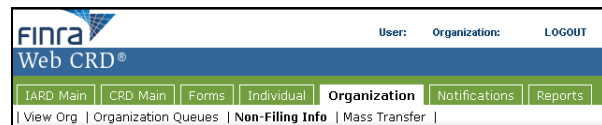
1. Click the CRD Main tab on the toolbar.
2. From the **Organization** section of the Web CRD Site Map, click the **NFI Organization Search** hyperlink.

OR

1. Click the **Organization** tab on the toolbar.



| CRDMain | Forms | Individual | Organization |
|---|------------------------------|--|-------------------------------------|
| User Info | Form U6 | View Individual | View Org |
| Blank Forms | Create New U6 Filing | Individual Search | Organization Search |
| FAQ | CRD Individual | Disclosure Only Individual Search | Disclosure Only Organization Search |
| Release Notes | Disclosure Only Individual | Non-Filing Info | Organization Queues |
| SRO/Jurisdiction Fee and Setting Schedule | CRD/IARD Organization | NFI Individual Search | Alert |
| Recommended Hardware/Software | Disclosure Only Organization | Jurisdiction Acceptance Queues | Amend (Form BD) |
| Compliance Resource Providers | Pending U6 Filings | Manual Approval | Broker Dealer Withdrawal (BDW) |
| Certified EFS Vendors | Historical U6 Filings | Temporary Registrations | Branch |
| Send Comments | | US Manual | Non Filing Branch |
| Admin Tools | | Waivable Deficiencies | Branch Deficiencies |
| Account Management | | Acceptance Queue Totals | Mass Transfer (MT) |
| Change Password/Change Account Profile | | Jurisdiction Notice Queues | Name Change |
| | | Automatic Approval | No Status (NOSTAT) |
| | | CHRI Received from FBI | Regulatory Disclosure |
| | | Delinquent US Notice | Status Change |
| | | Disclosure Notice | Outstanding Queue Totals |
| | | SRO Inactive Notice | Saved Queue Totals |
| | | SRO Termination Notice | Non-Filing Info |
| | | Jurisdiction Termination for Cause Notice | NFI Organization Search |
| | | Amended Date and Reason for Termination Notice | Mass Transfer |
| | | | Mass Transfer List |



| User: Organization: LOGOUT | | | | | | |
|---|----------|-------|------------|---------------------|---------------|---------|
| IARD Main | CRD Main | Forms | Individual | Organization | Notifications | Reports |
| View Org Organization Queues Non-Filing Info Mass Transfer | | | | | | |

2. Click **Non-Filing Info** from the sub-menu.

**Questions on Web CRD ? Call the Regulatory User Support Line at 240-386-4242
8 A.M. through 8 P.M., ET, Monday-Friday.**

3. Enter identifying information and click **Search** to perform a search.
4. Select a firm under **Primary Business Name**, and click the firm hyperlink.

| NFI Organization Search Results | | | | | | |
|----------------------------------|---------------------|------------|------------|------------|-----------------------|--|
| <<Previous Next>> Rows 1 to 1 | | | | | | |
| Primary Business Name | Name Search Located | CRD Number | SEC Number | Home State | Source of Information | |
| SECURITIES FIRM | | 2021000 | | MD | CRD/IARD | |
| <<Previous Next>> Rows 1 to 1 | | | | | | |

5. Click **Branch Review Method** from the navigation panel.

| Quick Search | | Maintain CRD Contact Info | |
|--|-------------------------|--|------------------------------------|
| <input type="text"/> <input type="button" value="Search"/> | | Organization CRD Number: 2021000 | Organization Name: SECURITIES FIRM |
| <ul style="list-style-type: none"> Non-Filing Information • Contact Information • Review Methods • Trustee Information • Organization Names • Mass Transfer History • Registrations • Branch Registrations • Branch Review Method • Firm Regulatory Notes • Branch Regulatory Notes | | Organization SEC Number: | Applicant Name: SECURITIES FIRM |
| Contact Name | JOHN DOE | | |
| Contact E-Mail | JDOE@SECURITIESFIRM.COM | | |
| Phone | 555-555-555 | | |
| Fax | | | |
| Street 1 | 123 SECURITIES LANE | | |
| Street 2 | SUITE 100 | | |
| City | ROCKVILLE | | |
| State | MD | | |
| Country | USA | | |
| ZIP/Postal Code | 20850 | | |

6. Enter search criteria, or leave all fields blank to display all branches.
7. Click **Search**.
8. Click the **Branch CRD Number** hyperlink.
9. Select the **Manual** or **Automatic** radio button to update the branch termination review

| Update Branch Review Method | |
|--|--|
| Organization CRD Number: 2021000 | Organization Name: SECURITIES FIRM |
| Organization SEC Number: | Applicant Name: SECURITIES FIRM |
| Branch CRD Number: 188323 | Branch Office Address: 123 Elm Street Suite 100, Dallas, TX 75001, UNITED STATES |
| Branch Code Number: 878296 | Firm Billing Code: 8484 |
| Current Branch Termination Review Method: Automatic | |
| Update Branch Termination Review Method: | |
| <input checked="" type="radio"/> Automatic <input type="radio"/> Manual | |
| <input type="button" value="Save"/> | |

10. Click **Save**.