Financial Industry Regulatory Authority

Web CRD | Reports

About Reports

The Reports feature enables users to request standard reports generated from data stored in Web CRD . Requested reports are available online for viewing or downloading.

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Access Web CRD

Web CRD can be accessed (2) ways:

1. FINRA Firm Gateway at —> https://firms.finra.org/webcrd , **or**
2. Directly at —> https://crd.finra.org.

Enter your **User ID** and **Password**.

If you access via FINRA Firm Gateway, click on the **Web CRD** tab.

Once you have accessed Web CRD, you may navigate through the system as needed.

Questions on Web CRD? Call the FINRA Gateway Call Center at **301-869-6699**
8 A.M. - 8 P.M., ET, Monday through Friday.

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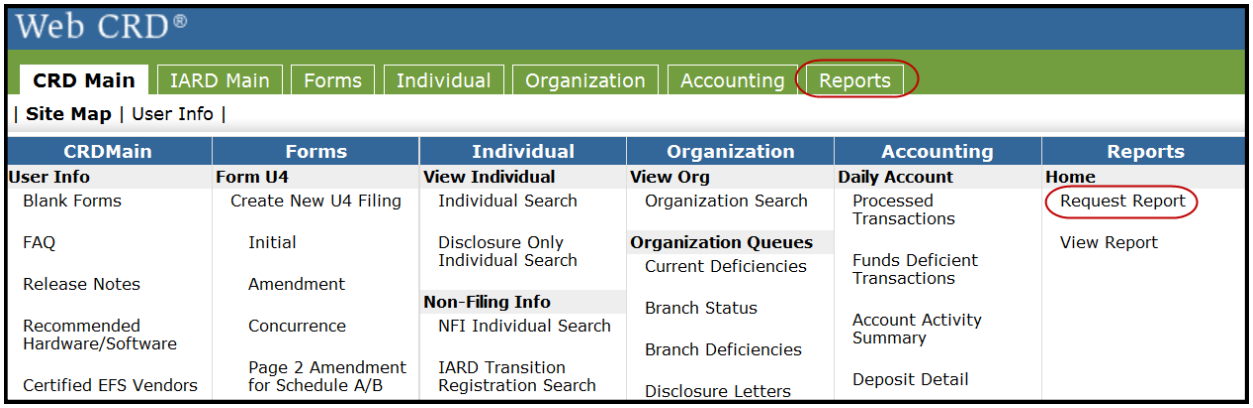
Request a Report

From the Web CRD sitemap, select the **Request Report** hyperlink or click on the **Reports** tab to view a list of available reports.



A list of all available reports displays along with a description of the information included in the report. All reports requested by you will be available to every Web CRD user in your organization who is entitled to view reports.

Once generated, reports are only available for a certain amount of time, as information may change due to form filing submissions or registration related changes made by regulators.

The **Days to View** column indicates how long the report will be available once it is generated.

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 since the archive date.	35
Accounting - Firm Accounting Download	Download of Firm Accounting Information. Financial data is available since the archive date.	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 since the archive date.	7

Report Formats

Reports are available in PDF format, downloadable format, or both.
A PDF report keeps its original appearance preserved, and can be distributed for viewing and printing.

The download format is useful if you wish to view the report in a different format or sorted differently. Once you have the download report, you may import the data into a spreadsheet or database so that you can manipulate the data. Generally the report name will contain the word “Download”.

To request a report select the **Report Name** hyperlink.

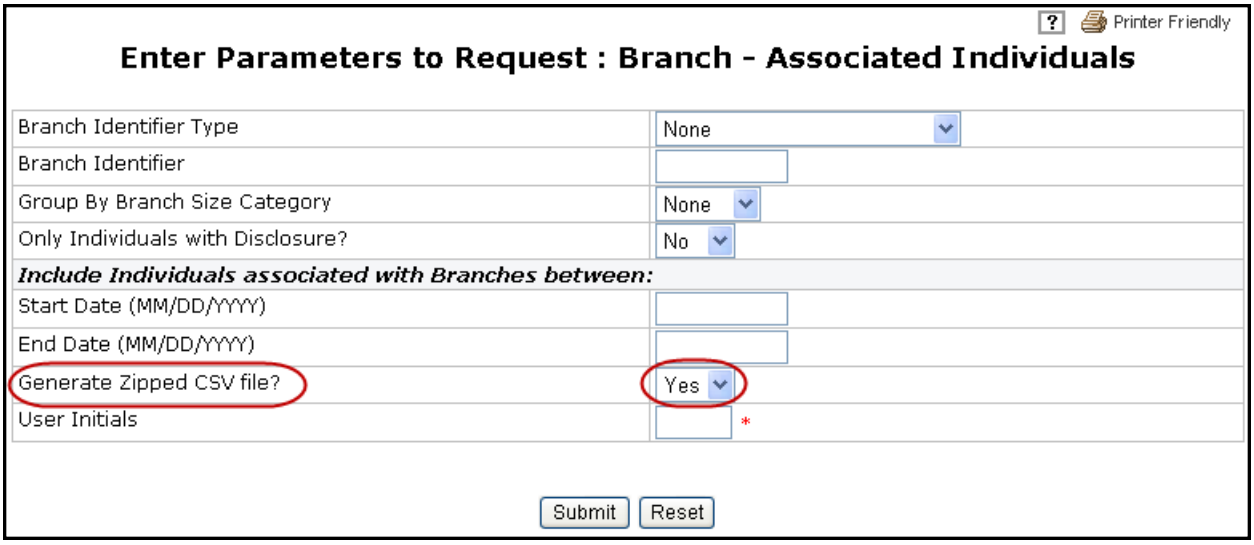
Printer Friendly

Select a Report to Request

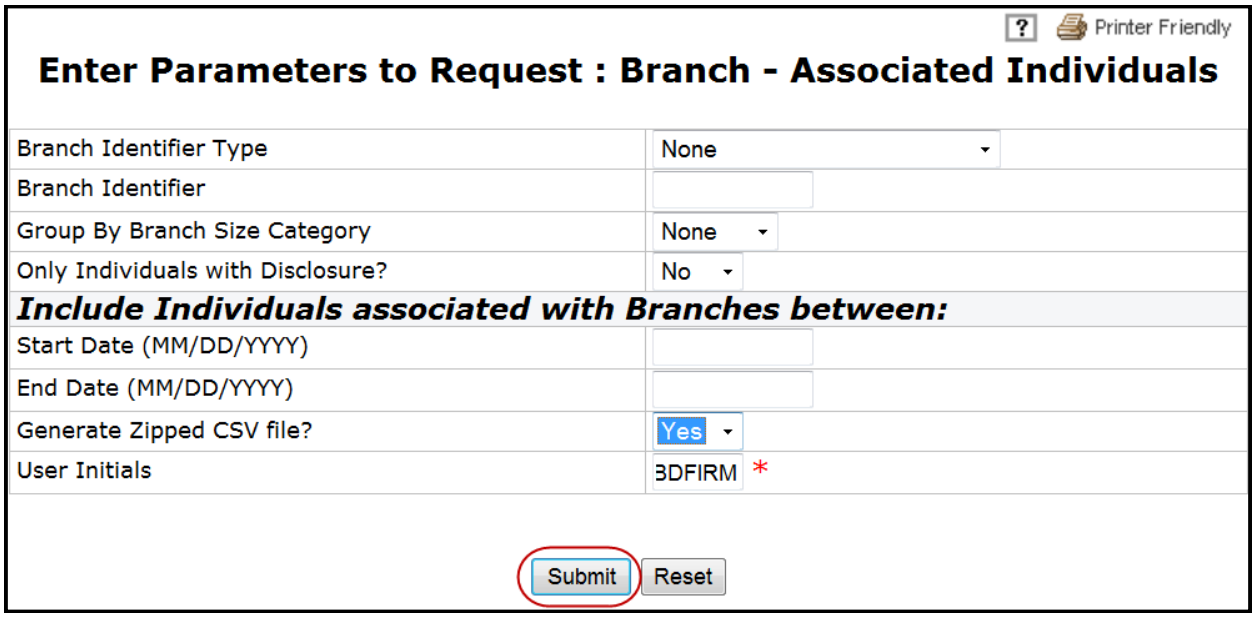
Report Name	Report Description	Days to View
Accounting - Account Activity - Firms	This report provides monthly account activity details for a firm. Financial data is available since the archive date.	35
Accounting - Firm Accounting Download	Download of Firm Accounting Information. Financial data is available since the archive date.	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 since the archive date.	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
Branch - Branch Snapshot	This report provides branch office details by firm.	7
Branch - Individuals with Multiple Employment Addresses	This report enables the requestor to generate a detailed list of associated individuals that have been associated with more than one branch office with the same firm.	7
Branch - Supervising OSJ and Regular Branches	This report includes a list of FINRA OSJ or NYSE Regular Branches that have Non-OSJ or Small branches reporting to it.	7
CE - Approaching CE Queue Download	Download of individuals in the firms Approaching CE Individual Firm Queue	7

Select the appropriate report parameters. Depending on the report requested, the parameters may be in the form of drop down options or free text fields. Required fields are designated with an asterisk.

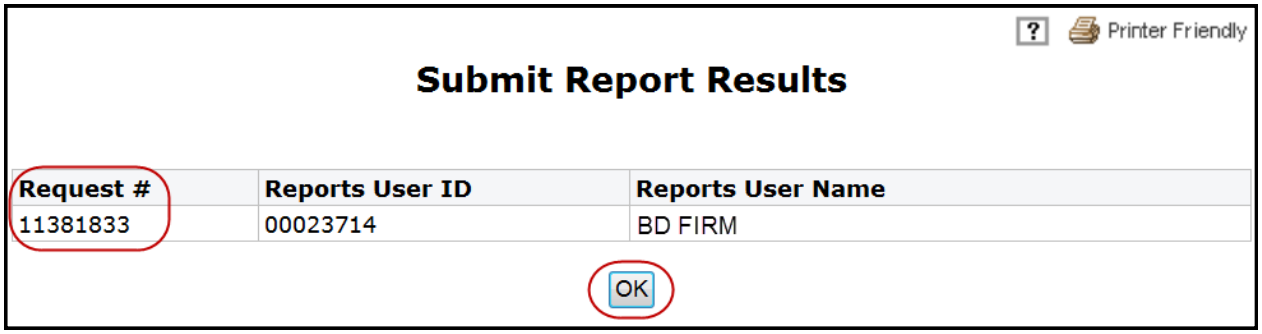
Many reports are available in a downloadable format or read-only PDF format. The **Generate Zipped CSV file** option allows the requestor to identify the report format. Select Yes from the drop down to request the report in a downloadable format.



Click the **Submit** button to request the report.



Make note of the report **Request #** and click the **OK** button.



Generally reports will generate within the hour. Availability timeframe may vary depending on the complexity and size of the report.

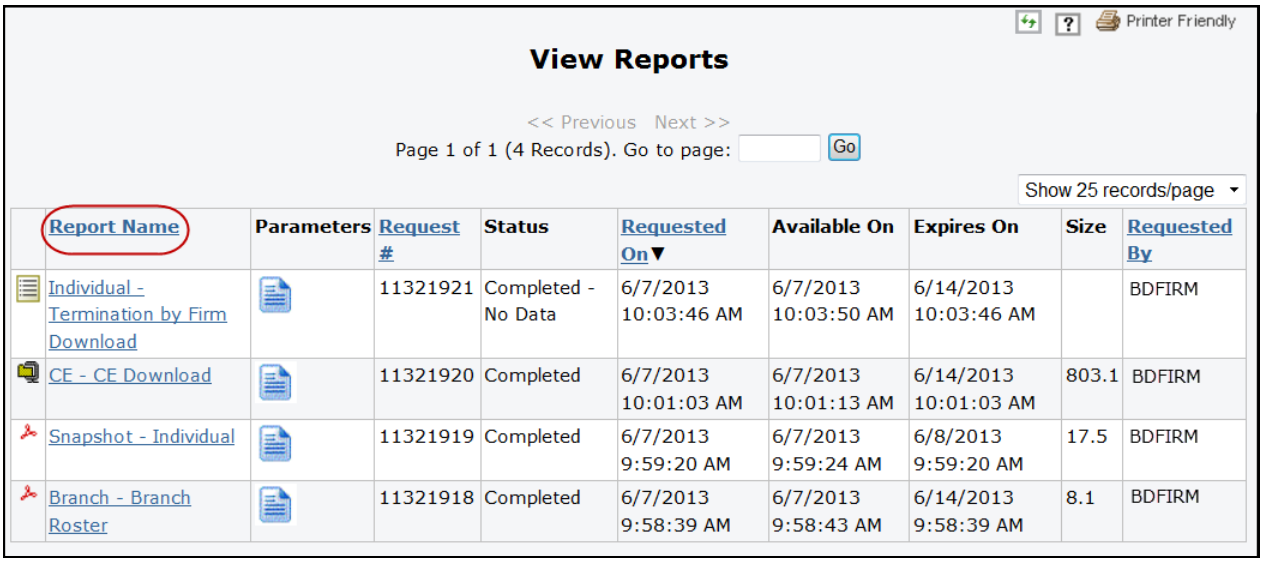
Tip: If for any reason there is a problem with your report or the report does not generate, call the FINRA Gateway Call Center at 301-869-6699. Providing the Request # will help in troubleshooting the issue more efficiently.

View a Report

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

NOTE:

- 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.
- The Parameters column will display the parameters that were selected for the report.



Report Name	Parameters	Request #	Status	Requested On	Available On	Expires On	Size	Requested By
Individual - Termination by Firm Download		11321921	Completed - No Data	6/7/2013 10:03:46 AM	6/7/2013 10:03:50 AM	6/14/2013 10:03:46 AM		BDFIRM
CE - CE Download		11321920	Completed	6/7/2013 10:01:03 AM	6/7/2013 10:01:13 AM	6/14/2013 10:01:03 AM	803.1	BDFIRM
Snapshot - Individual		11321919	Completed	6/7/2013 9:59:20 AM	6/7/2013 9:59:24 AM	6/8/2013 9:59:20 AM	17.5	BDFIRM
Branch - Branch Roster		11321918	Completed	6/7/2013 9:58:39 AM	6/7/2013 9:58:43 AM	6/14/2013 9:58:39 AM	8.1	BDFIRM

View a Report (Continued)

To view a report, click on the report name. The report will open in either PDF format or as a downloadable zip file.

Printer Friendly

View Reports

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Page 1 of 1 (3 Records). Go to page: Go

Show 25 records/page

	Report Name	Request #	Status	Requested On ▼	Available On	Expires On	Size	Requested By
	Individual - Termination by Firm Download	11381835	Completed No Data	3/15/2013 11:11:14 AM	3/15/2013 11:11:22 AM	3/22/2013 11:11:14 AM		BDFIRM
	Snapshot - Individual	11381834	Completed	3/15/2013 11:10:21 AM	3/15/2013 11:10:26 AM	3/16/2013 11:10:21 AM	11.8	BDFIRM
	Branch - Associated Individuals	11381833	Completed	3/15/2013 10:58:05 AM	3/15/2013 10:58:12 AM	3/22/2013 10:58:05 AM	2	BDFIRM

Download and Import a Report from Web CRD

Instructions for importing a downloaded report into Microsoft Excel:

1. The file that you download from Web CRD will be a ZIP file. The ZIP file compresses the size of the file (s), allowing for quicker download times. In order to "unzip" the file, you must have a compression program such as WinZip. This program may already be on your computer. If it is not, you may download it for free from many sites on the Internet. Please see your technology department for more information if you need assistance.
2. Unzip the file and save it to a location on your computer.
3. Open Microsoft Excel.
4. Click **File**, then **Open**. At the bottom of the dialogue box, you will have the option to change the Files of Type:
5. Change this option to All Files.
6. Proceed to open the file that you just extracted.
7. The Text Import Wizard will appear:
8. Step One: click **Delimited**, then **Next**. You may start the import at Row 1.
9. Step Two: check the box for the delimited Other. In the text box next to it, type in a pipe, "|" -- this key is typically found above the Enter key on your keyboard. You may then click **Next**.

(Instructions continued on next page)

Download and Import a Report from Web CRD (Continued)

Instructions for importing a downloaded report into Microsoft Excel: (Continued)

10. Step Three: the default option should be a General Column Data Format. Click **Finish**.
11. The data will now be arranged into separate columns and rows. Excel allows the user to sort information quickly and easily. In order to sort the information in your report, follow these steps:
12. Click **Ctrl-A** to Select All.
13. Click **Data**, then **Sort**.
14. Select the column that by which you would like to sort the information (Column A, for example), then click **OK.**.If the information is not sorted the way that you want, click **Ctrl-Z** to Undo the sort.

NOTES:

The ability to view Social Security Numbers and Fingerprint statuses that are received from the FBI require special entitlement. Therefore certain reports also require appropriate entitlement. These reports include:

- Fingerprint - Exception Download
- Fingerprint - Reconciliation Download
- Fingerprint - Snapshot Report
- Individual - Viewed SSN Download

Ad Hoc Reports

An **Ad Hoc** report is a report that is not listed on the View 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 FINRA Gateway Call Center at **301-869-6699**. Describe the information that you want included in the report as well as the format to receive the report (e.g., email or CD).

Generally, there is a fee assessed to firms that request Ad Hoc reports. The charge for Ad Hoc reports depends on the complexity and time it takes to generate the report.

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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