



Firm Notification is a classic CRD function that provides entitled users at broker-dealer, investment adviser, and broker-dealer/investment adviser firms (joint firms), with the capability to request automatic e-mail reminders whenever significant registration-related changes occur.

 **IMPORTANT NOTE:**

All classic CRD features should now be accessed through [FINRA Gateway](#), the new FINRA reporting and compliance platform. This new system is designed to focus on compliance functions, such as research, reporting and responding to requests, rather than focusing on the specific system you would access to fulfill your requirements.

If you have any questions or feedback regarding the transition to FINRA Gateway, please contact [FeedbackFINRAGateway@finra.org](mailto:FeedbackFINRAGateway@finra.org).

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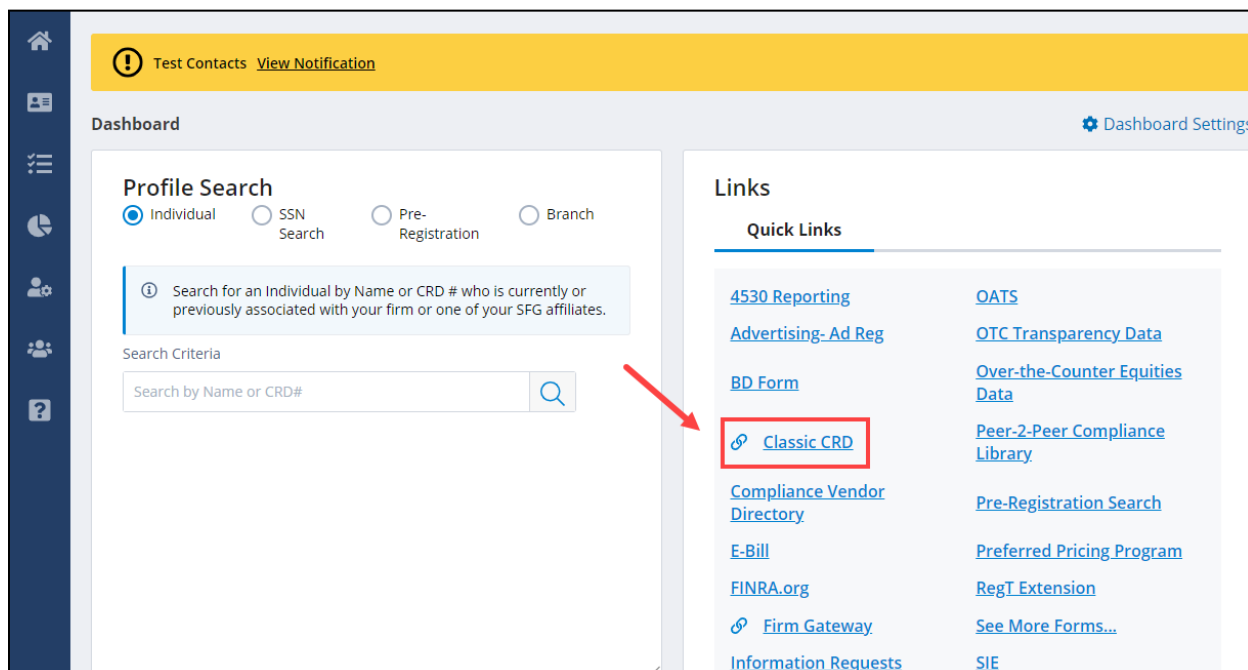
**Need help with CRD? Call the FINRA Gateway Call Center at 301-869-6699**  
8 A.M. - 8 P.M., ET, Monday-Friday

## Logging in Through FINRA Gateway

As of August 21, 2021, the previously used Firm Gateway homepage has been retired and users should access all registration applications via the new [FINRA Gateway](https://gateway.finra.org). To access FINRA Gateway:

1. Go to <https://gateway.finra.org>, and
2. Enter your existing CRD user ID and password.

Once you have successfully logged into FINRA Gateway, you can navigate to classic CRD using the **Quick Links** widget on the dashboard. Select **Classic CRD** from the list of links and then follow along with the rest of this guide.



The screenshot displays the FINRA Gateway dashboard. At the top, there is a yellow notification bar with a warning icon and the text "Test Contacts View Notification". Below this is the "Dashboard" header with "Dashboard Settings" on the right. The main content area is divided into two sections: "Profile Search" and "Links".

The "Profile Search" section includes radio buttons for "Individual" (selected), "SSN Search", "Pre-Registration", and "Branch". Below these is a search criteria box with the text "Search by Name or CRD#" and a search icon.

The "Links" section is titled "Quick Links" and contains a grid of links. A red box highlights the "Classic CRD" link, and a red arrow points to it from the search criteria box.

Quick Links	
<a href="#">4530 Reporting</a>	<a href="#">OATS</a>
<a href="#">Advertising- Ad Reg</a>	<a href="#">OTC Transparency Data</a>
<a href="#">BD Form</a>	<a href="#">Over-the-Counter Equities Data</a>
<a href="#">Classic CRD</a>	<a href="#">Peer-2-Peer Compliance Library</a>
<a href="#">Compliance Vendor Directory</a>	<a href="#">Pre-Registration Search</a>
<a href="#">E-Bill</a>	<a href="#">Preferred Pricing Program</a>
<a href="#">FINRA.org</a>	<a href="#">RegT Extension</a>
<a href="#">Firm Gateway</a>	<a href="#">See More Forms...</a>
<a href="#">Information Requests</a>	<a href="#">SIE</a>

## Accessing Firm Notification

Once you have accessed the classic CRD site map, select NFI Organization Search link in the Organization column as shown below. Then select Firm Notification from the left navigation panel on the next page.

**NOTE:** Be sure your Account Administrator has entitled you to the Web CRD Maintain Firm Notification privilege. In addition, Firm Notifications are not accessible through IARD. Investment adviser firms must access Firm Notifications via Web CRD.

**Organization**

View Org

Organization Profile in FINRA Gateway

Branch Search in FINRA Gateway

**Organization Queues**

View Requests & Filings in FINRA Gateway

Current Deficiencies

Branch Status

Branch Deficiencies

Disclosure Letters

SFG Retirement

Withdrawal or Termination

Queue Totals

**Non-Filing Info**

NFI Organization Search

**Mass Transfer**

Mass Transfer List

**Non-Filing Information**

- Contact Information
- Organization Names
- Mass Transfer History
- Firm Notification

## Accessing Firm Notification (continued)

Once Firm Notification has been accessed, Web CRD will automatically default to the *Maintain Firm Notification Info* screen. If there are existing contacts, their names are displayed indicating the telephone number, e-mail address and the specific notification type(s) the contact person currently receives. Different individuals can be selected as contacts to receive different firm notifications.

## Adding a New Notification Recipient

1. Click the **Add New** button or click the **Email Address** hyperlink to create or edit an existing e-mail contact screen.

Maintain Firm Notification Info				
Organization CRD#: 00000		Organization Name: SECURITIES FIRM		
Organization SEC#: 8-00000		Applicant Name: SECURITIES FIRM		
Contact Name	Phone Number	Email Address	Notification Type(s)	Disabled
JOHN DOE	555-555-5555	JOHN.DOE@SECURITIES.ORG	Approaching CE-30 Approaching CE-90 Branch Registration Approved CE Inactive CE Incomplete Customer Complaint Expiration Deficient Branches Firm U6 Illegible Fingerprint Card Inactive Prints Individual U6 Registration Denied Registration Revoked US Submitted by Another Firm	Yes
JANE DOE	555-555-5550	JANE.DOE@SECURITIES.ORG	Approaching CE-30 Approaching CE-90 CE Inactive CE Incomplete	Yes

2. Type the Contact Name, Contact Phone Number and Email Address in the fields.
3. Check the box(es) of the notifications that should be received.
4. Click **Save**.

Maintain Firm Notification Request	
Organization CRD#: <a href="#">0000</a>	Organization Name: SECURITIES FIRM
Organization SEC#:	Applicant Name: SECURITIES FIRM
<b>Contact Name</b>	<input type="text"/>
<b>Contact Phone Number</b>	<input type="text"/>
<b>Email Address</b>	<input type="text"/>
<b>Notification Types</b>	<b>Registration</b> <input type="checkbox"/> Notify when an individual's examination status changes <input type="checkbox"/> Notify when an individual has a fingerprint updated with a status of ILEG - BD Only <input type="checkbox"/> Notify when an individual's registration is Inactive Prints with the Firm - BD Only <input type="checkbox"/> Notify when an individual's registration request is T_NOU5 <input type="checkbox"/> Notify when an individual with deficient registration is Eligible to Purge within the next 30 days <input type="checkbox"/> Notify when an individual has a fingerprint updated with a status of RAPP - BD Only

## Notification Types

There are multiple categories of Firm Notification Types. The types of notifications that can be requested are:

Notification Types	<p><b>Registration</b></p> <input type="checkbox"/> Notify when an individual's examination status changes <input type="checkbox"/> Notify when an individual has a fingerprint updated with a status of ILEG - BD Only <input type="checkbox"/> Notify when an individual's registration is Inactive Prints with the Firm - BD Only <input type="checkbox"/> Notify when an individual's registration request is T_NOU5 <input type="checkbox"/> Notify when an individual with deficient registration is Eligible to Purge within the next 30 days <input type="checkbox"/> Notify when an individual has a fingerprint updated with a status of RAPP - BD Only <input type="checkbox"/> Notify when an individual's registration request has been Denied. <input type="checkbox"/> Notify when an individual's registration has been Revoked. <input type="checkbox"/> Notify when a registered individual enters Firm Temporary Registration Cancellation Queue <input type="checkbox"/> Notify when a U5 is submitted by another firm <p><b>Disclosure</b></p> <input type="checkbox"/> Notify when a Bankruptcy has expired for a registered individual with the firm <input type="checkbox"/> Notify when a Customer Complaint has expired for a registered individual with the firm <input type="checkbox"/> Notify when a U6 is filed against a registered firm or active exempt reporting adviser <input type="checkbox"/> Notify when a U6 is filed against an individual registered with the firm <input type="checkbox"/> Notify when a registered, NRF, or formerly registered individual enters Firm Outstanding Disclosure Letters Notice Queue <input type="checkbox"/> Notify when a registered, NRF, or formerly registered individual has an Outstanding Disclosure Letter more than 30-60-90 days old <input type="checkbox"/> Notify when a letter enters the Organization Disclosure Letters Queue <p><b>Other</b></p> <input type="checkbox"/> Notify when firm has an outstanding Form BD deficiency <input type="checkbox"/> Notify when a filing has failed submission <input type="checkbox"/> Notify when a registered individual enters Other Firm U4 Filing Notice Queue <input type="checkbox"/> Notify when registered individuals are within 10 days of Fingerprints Inactive status <p><b>Branch</b></p> <input type="checkbox"/> Notify when a branch registration is approved <input type="checkbox"/> Notify when a branch is deficient
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## Other Firm Notification Notes

1. The “Notify when an individual has a fingerprint updated with a status of RAPP - BD Only” email notification requires the “Maintain RAPP Notification” entitlement.

2. The notifications described in this guide are sent to firm contacts from CRD. For information about notifications sent directly to reps by the FinPro system, please visit [this page](#).

## Stopping Notifications

To stop notifications, follow the steps listed below:

1. Click the **NFI Organization Search**
2. Click **Firm Notification**
3. Click the **Email Address** link for the contact information you would like to update.
4. Uncheck the box(es) of the notification(s) you would like to stop.
5. Click **Save**.

**NOTE:** FINRA will contact the firm if there is a non-deliverable e-mail address listed on the *Firm Notification Information* screen. If the firm cannot be contacted or if a valid e-mail address can not be obtained, FINRA will disable notifications for that specific e-mail address.

You can also use the Delete button at the bottom of the page to completely remove the individual from receiving any CRD notifications.