FINRA
Financial Industry Regulatory Authority

Web CRD | Firm Notification

Firm Notification is the Web 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.

Access Web CRD

Web CRD can be accessed (2) ways:

1. FINRA Firm Gateway at —> https://firms.finra.org, **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.

Accessing Firm Notification

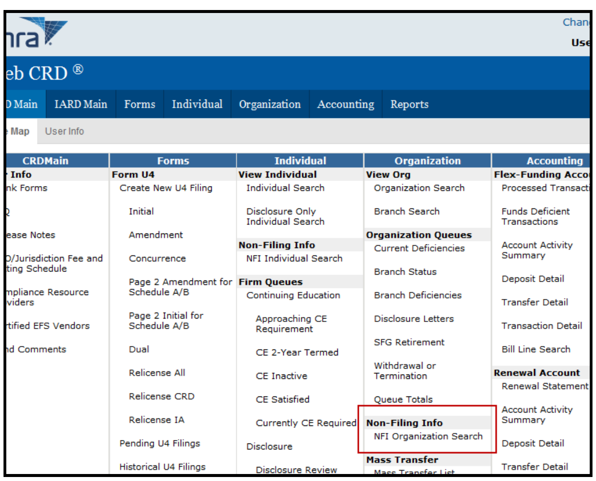
There are two ways to access the **Firm Notification** functionality in Web CRD:

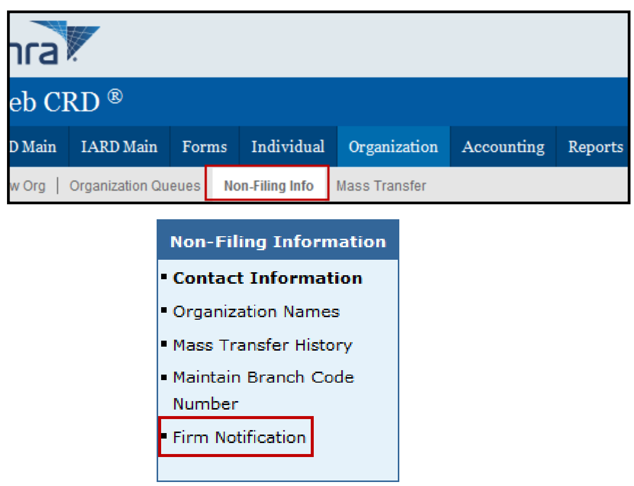
NOTE: *Be sure your Account Administrator has entitled you to the Web CRD Maintain Firm Notification privilege. In addition, Firm Notifications are not accessible through IARD. Investment adviser firms must access Firm Notifications via Web CRD.*

1. From the **Organization** section of the Web CRD site map, click **NFI Organization Search.**
2. Click **Firm Notification** from the navigation panel.

OR

1. Click the **Organization** tab on the Web CRD toolbar.
2. Click on **Non-Filing Info** from the sub-menu.
3. Click **Firm Notification** from the navigation panel.





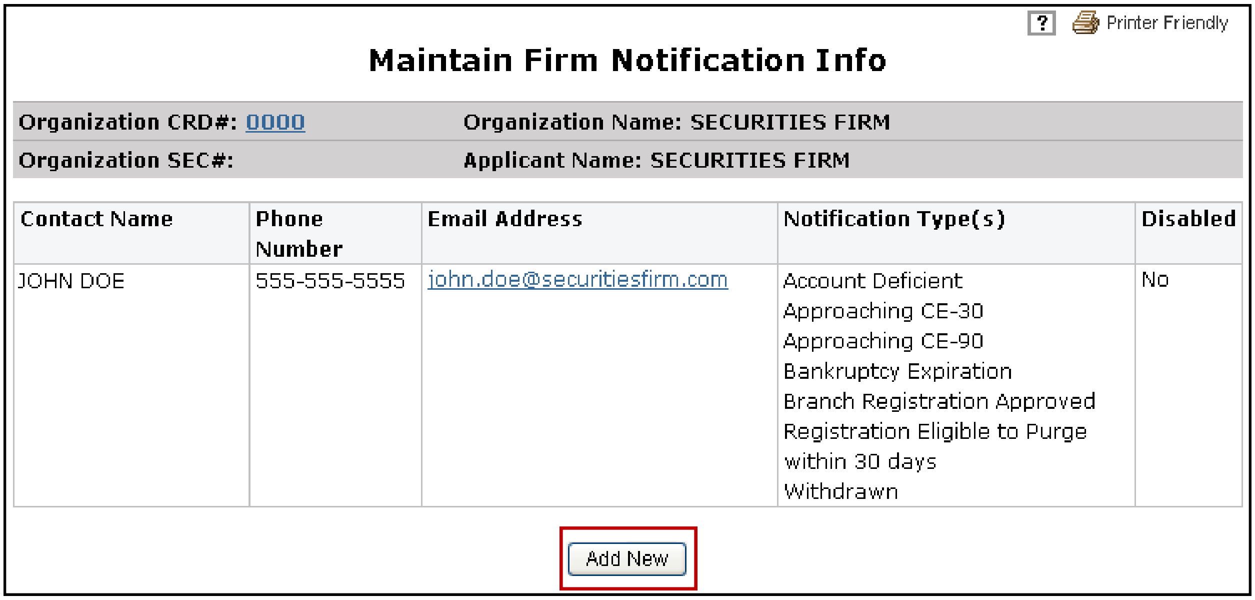
Questions on Web CRD? Call the FINRA Gateway Call Center at **301-869-6699**
8 A.M. - 8 P.M., ET, Monday-Friday

Maintaining Firm Notification Information

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 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.



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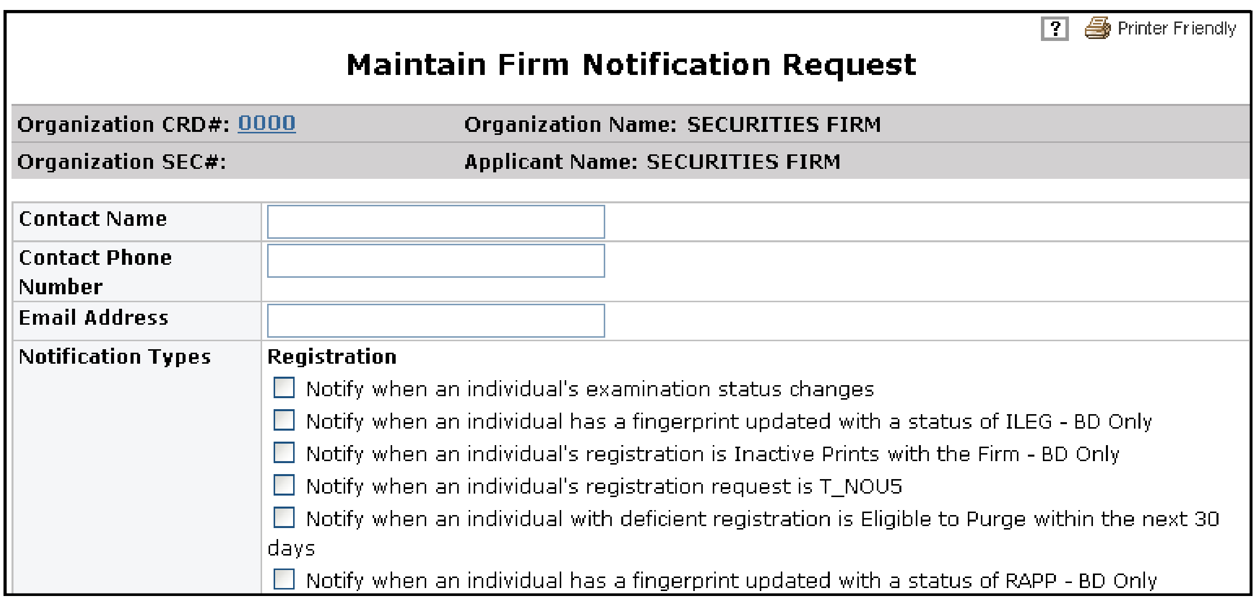
Maintain Firm Notification Info

Organization CRD#: 0000	**Organization Name:** SECURITIES FIRM
Organization SEC#:	**Applicant Name:** SECURITIES FIRM

Contact Name	Phone Number	Email Address	Notification Type(s)	Disabled
JOHN DOE	555-555-5555	john.doe@securitiesfirm.com	Account Deficient Approaching CE-30 Approaching CE-90 Bankruptcy Expiration Branch Registration Approved Registration Eligible to Purge within 30 days Withdrawn	No

Add New

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**.



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Maintain Firm Notification Request

Organization CRD#: 0000	**Organization Name:** SECURITIES FIRM
Organization SEC#:	**Applicant Name:** SECURITIES FIRM

Contact Name	
Contact Phone Number	
Email Address	
Notification Types	**Registration** ☐ Notify when an individual's examination status changes ☐ Notify when an individual has a fingerprint updated with a status of ILEG - BD Only ☐ Notify when an individual's registration is Inactive Prints with the Firm - BD Only ☐ Notify when an individual's registration request is T_NOU5 ☐ Notify when an individual with deficient registration is Eligible to Purge within the next 30 days ☐ Notify when an individual has a fingerprint updated with a status of RAPP - BD Only

Notification Types

There are (5) categories of Firm Notification Types. The types of notifications that can be requested are:

Notification Types	
	Registration
	[ ] Notify when an individual's examination status changes
	[ ] Notify when an individual has a fingerprint updated with a status of ILEG - BD Only
	[ ] Notify when an individual's registration is Inactive Prints with the Firm - BD Only
	[ ] Notify when an individual's registration request is T_NOU5
	[ ] Notify when an individual with deficient registration is Eligible to Purge within the next 30 days
	[ ] Notify when an individual has a fingerprint updated with a status of RAPP - BD Only
	[ ] Notify when an individual's registration request has been Denied.
	[ ] Notify when an individual's registration has been Revoked.
	[ ] Notify when a registered individual enters Firm Temporary Registration Cancellation Queue
	[ ] Notify when a U5 is submitted by another firm
	Disclosure
	[ ] Notify when a Bankruptcy has expired for a registered individual with the firm
	[ ] Notify when a Customer Complaint has expired for a registered individual with the firm
	[ ] Notify when a U6 is filed against a registered firm or active exempt reporting adviser
	[ ] Notify when a U6 is filed against an individual registered with the firm
	[ ] Notify when a registered or NRF individual enters Firm Outstanding Disclosure Letters Notice Queue
	[ ] Notify when a registered or NRF individual has an Outstanding Disclosure Letter more than 30 days old
	[ ] Notify when a letter enters the Organization Disclosure Letters Queue
	CE
	[ ] Notify when a registered individual is within 30 days of the end of his or her CE Required window - BD Only
	[ ] Notify when a registered individual is within 90 days of the end of his or her CE Required window - BD Only
	[ ] Notify when registered individuals receive an INCOMPLETE result for a CE session - BD Only
	[ ] Notify when a registered individual enters Firm CE Inactive Queue - BD Only
	Other
	[ ] Notify when Firm account balance is 'Deficient'
	[ ] Notify when firm account balance has gone below $0.00
	[ ] Notify when firm account balance has gone below $10,000.00
	[ ] Notify when firm account balance has gone below $3,000.00
	[ ] Notify when firm account balance has gone below $500.00
	[ ] Notify when firm has an outstanding Form BD deficiency
	[ ] Notify when a filing has failed submission
	[x] Notify when a registered individual enters Other Firm U4 Filing Notice Queue
	[ ] Notify when registered individuals are within 10 days of CE Inactive or Prints Inactive statuses
	Branch
	[ ] Notify when a branch registration is approved
	[ ] Notify when a branch is deficient

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. Check 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.

Other Firm Notification Notes

1. The Continuing Education (CE) notifications noted below are automatically e-mailed to the FINRA member firms' CE Regulatory Contact person(s) as listed in the FINRA Contact System (FCS):

    - Notify when a registered individual is within 30 days of the end of his or her CE Required window - BD Only
    - Notify when a registered individual is within 90 days of the end of his or her CE Required window - BD Only
    - Notify when registered individuals receive an INCOMPLETE result for a CE session - BD Only
    - Notify when a registered individual enters Firm CE Inactive Queues - BD Only

2. CE notifications to FCS contacts cannot be removed through Web CRD. As long as the person is listed as a CE Contact in FCS, notifications will automatically be generated.

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