

## Web CRD

# **Firm Notification**

Firm Notification is the Web CRD<sup>®</sup> 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 -> <u>https://firms.finra.org</u>, 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.

- From the Organization section of the Web CRD site map, click NFI Organization Search.
  Click Firm Natification from the
- 2. Click **Firm Notification** from the navigation panel.
- 1. Click the **Organization** tab on the Web CRD toolbar.
- 2. Click on **Non-Filing Info** from the submenu.
- 3. Click **Firm Notification** from the navigation panel.

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eb CRD ®				
D Main IARD Main	n Forms Individual	Organization Account	ting Reports	
Map User Info				
CRDMain	Forms	Individual	Organization	Accounting
Info	Form U4	View Individual	View Org	Flex-Funding Acco
nk Forms	Create New U4 Filing	Individual Search	Organization Search	Processed Transact
2	Initial	Disclosure Only Individual Search	Branch Search	Funds Deficient Transactions
ease Notes	Amendment		Organization Queues	
D/Jurisdiction Fee and	Concurrence	NON-Filing Into NFI Individual Search	Current Deficiencies	Summary
ting Schedule			Branch Status	Deposit Detail
npliance Resource	Page 2 Amendment for Schedule A/B	Firm Queues	Branch Deficiencies	Deposit Detail
viders		continuing Education	branch benefetete	Transfer Detail
tified EFS Vendors	Schedule A/B	Approaching CE Requirement	Disclosure Letters	Transaction Detail
d Comments	Dual	CE 2-Year Termed	SFG Retirement	Bill Line Search
	Relicense All	CE Inactive	Withdrawal or Termination	Renewal Account
	Relicense CRD	or only find	Our Table	Renewal Statement
	Rendense CRD	Cc Satisfied	Queue Totals	Account Activity
	Relicense IA	Currently CE Required	ad Non-Filing Info	Summary
	Pending U4 Filings	Disclosure	NFI Organization Search	Deposit Detail
	Historical U4 Filings	Disclosure Review	Mass Transfer	Transfer Detail

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

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#### **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.

Image: Companization CRD#: 0000   Organization Name: SECURITIES FIRM     Organization SEC#:   Applicant Name: SECURITIES FIRM							
organization openit							
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#: 0	000 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						

#### **Notification Types**

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					
	Uner					
	Notify when firm account balance is bencient					
	Notify when time account balance has gone below \$0.00					
	Notify when time account balance has gone below \$10,000.00					
	Notify when time account balance has gone below \$5,000.00					
	Notify when firm has an outstanding Form RD deficiency					
	Notify when a filing has failed submission					
	Votify when a majestered individual enters Other Firm 114 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					

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

#### **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**

- The Continuing Education (CE) notifications noted below are <u>automatically</u> e-mailed to the FINRA member firms' CE Regulatory Contact person(s) as listed in the <u>FINRA Contact</u> <u>System (FCS)</u>:
  - 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 <u>cannot</u> 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.