

## Web CRD

## Firm Queues for Individuals

**Firm Queues for Individuals** provide a mechanism for Web CRD® to notify firms of events relating to individuals and their registrations. This navigation guide provides general information on how to access the various firm queues.

### 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.

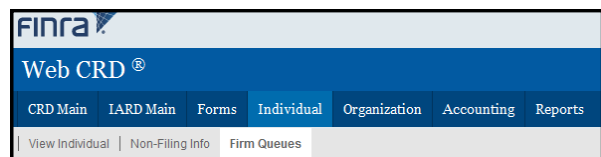
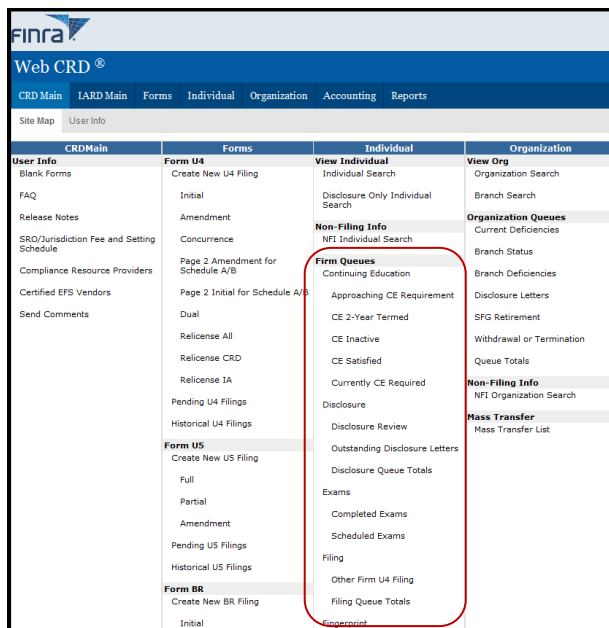
### Accessing Firm Queues for Individuals

There are 2 ways to access the queues to view notifications for individuals.

1. From the **Individual** section of the Web CRD Site Map, click the link for the specified queue.

OR

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



2. Click **Firm Queues** from the sub-menu.

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

There are a total of 8 types of Notice Queues and Alerts.

1. The **Continuing Education** queue has 5 sub-queues: Approaching CE Requirement, CE 2-Year Termed, CE Inactive, CE Satisfied, and Currently CE Required. Continuing Education queues are not applicable to investment adviser representatives (RAs).
2. The **Disclosure** queue has 3 sub-queues: Disclosure Review, Outstanding Disclosure Letters, and Disclosure Queue Totals.
3. The **Exams** queue has 2 sub-queues: Completed Exams and Scheduled Exams.
4. The **Filing** queue has 2 sub-queues: Other Firm U4 Filing, and Filing Queue Totals.
5. The **Fingerprint** queue has 4 sub-queues: Fingerprint Status Received from FBI, Inactive Registrations Due to Missing Fingerprint Cards, Notices of Undelivered Fingerprint Cards, and Fingerprint Queue Totals. Fingerprint queues are not applicable to RAs.
6. The **Registrations** queue has 5 sub-queues: Approved Individual Registrations, Current Individual Deficiencies, Denied Individual Registrations, Pending Individual Registrations, Purged Individual Registrations, and Registration Queue Totals.
7. The **Termination** queue has 8 sub-queues: Manual Termination, Temporary Registration Cancellation, Termination, U5, U5 Late Fees, U5 Required, Other Firm U5 Filing and Termination Queue Totals.
8. The **Alerts** queue displays 8 sub-queues of critical registration-related notifications: CE Inactive, CE 2-Year Termed, Denied Individual Registrations, Inactive Registrations Due to Missing Fingerprint Cards, Manual Termination, Temporary Registration Cancellation, Termination, and U5 Required.

Notice Queues	
▪	Continuing Education
▪	Disclosure
▪	Exams
▪	Filing
▪	Fingerprint
▪	Registrations
▪	Termination
Alerts	
▪	Alerts

### Queue Management Tips

- For queues that contain the sub-queue **Queue Totals**, check Queue Totals first to see if there are any notices in that queue that need reviewing.
- Check queues regularly, depending on the size of your firm, as information in Web CRD is constantly updated.
- Each queue has a sort and filter search screen to customize the information that is displayed in the queue. Use sort and filter parameters that best meet the needs of the firm.

## Continuing Education (CE) Queues (Not applicable to RAs)

Continuing Education
▪ Back to Previous Menu
▪ <b>Approaching CE Requirement</b>
▪ CE 2-Year Termed
▪ CE Inactive
▪ CE Satisfied
▪ Currently CE Required

**Approaching CE Requirement:** Lists individuals who will enter their CE requirement window within 28 days. Individuals remain in this queue for 28 days prior to their CE session.

**CE 2-Year Termed:** Lists individuals who have been terminated due to being CE Inactive for 2 years. Notices enter this queue when the SRO registration status for an individual becomes CE 2-Year Termed. Individuals remain in this queue indefinitely.

**CE Inactive:** Lists individuals who are inactive due to failure to satisfy their continuing education requirements. Individuals remain in this queue until either their CE is completed, the firm terminates the individual, or automatic termination occurs.

**CE Satisfied:** Lists individuals who have satisfied their CE requirements. Individuals remain in this queue indefinitely.

**Currently CE Required:** Lists individuals that are required to take the CE session. Individuals remain in this queue as long as they are within their 120-day requirement window and the requirement is incomplete.

## Disclosure Queues

**Disclosure Review:** Lists individuals that have had recent (within the last 30 days) disclosures submitted to Web CRD through a U4, U5 or U6 filing. Individuals remain in this queue indefinitely.

**Outstanding Disclosure Letters:** Lists individuals that have disclosure deficiency letters or inquiry letters that are unresolved. Individuals remain in this queue until the outstanding letter is resolved.

**Disclosure Queue Totals:** Lists all of the queues with the number of items in each queue.

Disclosure
▪ Back to Previous Menu
▪ <b>Disclosure Review</b>
▪ Outstanding Disclosure Letters
▪ Disclosure Queue Totals

## Exam Queues

**Completed Exams:** Lists individuals that have completed exams, with the exam results. Individuals remain in this queue indefinitely.

**Scheduled Exams:** Lists individuals that have open exam windows. Individuals remain in this queue as long as the exam is scheduled.

Exams
▪ Back to Previous Menu
▪ <b>Completed Exams</b>
▪ Scheduled Exams

## Filing Queues

Filing
▪ Back to Previous Menu
▪ <b>Other Firm U4 Filing</b>
▪ Filing Queue Totals

**Other Firm U4 Filing:** Lists dually registered individuals that have had a U4 filing submitted by another firm that employs them. The queue notifies the non-filing firm and allows the firm to review the information submitted. Individuals remain in this queue indefinitely.

**Filing Queue Totals:** Lists all of the queues with the number of items in each.

## Fingerprint Queues (Not applicable to RAs)

Fingerprint
▪ Back to Previous Menu
▪ Fingerprint Status Received from FBI
▪ <b>Inactive Registrations Due to Missing Fingerprint Cards</b>
▪ Notices of Undelivered Fingerprint Cards
▪ Fingerprint Queue Totals

**Fingerprint Status Received from FBI:** Lists notices from the FBI regarding an individual's fingerprint card status: Clear (CLER), Illegible (ILEG), Returned from FBI with criminal record (RAPP), or Returned from FBI and rejected (REJT). Individuals remain in this queue for 30 days from the day the status is updated. Only users with CHRI privileges can access this queue. The ability to view the FBI response to fingerprint card submissions require special entitlement.

**Inactive Registration Due to Missing Fingerprint Cards:** Lists Individual's whose registration status has been changed from Approved Pending Prints to Inactive Prints, because a fingerprint card was not received by Web CRD within 30 days from the initial application. Individuals remain in this queue as long as they have a registration status of Inactive Prints.

**Notices of Undelivered Fingerprint Cards:** Lists notices for individuals who have an outstanding fingerprint card. These notices are generated if no fingerprint card is submitted to Web CRD within the 30 day time period. Individuals remain in this queue until a final FBI response fingerprint status is received.

**Fingerprint Queue Totals:** Lists all of the queues with the number of items in each.

## Registration Queues

**Approved Individual Registrations:** Lists all approved individual registrations with a status of: Approved, Approved Pending Prints, Approved Pending Results, Restricted Approval, and Temporary Registration. Individuals remain in this queue indefinitely.

**Current Individual Deficiencies:** Lists individuals whose registration is deficient due to one or more of the following: CE Inactive, Disclosure Review, Dual; Exam, Fingerprint, Firm Suspended, Foreign, Funds Deficient, FINRA, FINRA-AR, FINRA-FA, Pending Firm Approval, Position, Pre-Training Period, Training Period. Individuals remain in this queue indefinitely for historical purposes.

Registrations
▪ Back to Previous Menu
▪ <b>Approved Individual Registrations</b>
▪ Current Individual Deficiencies
▪ Denied Individual Registrations
▪ Pending Individual Registrations
▪ Purged Individual Registrations
▪ Registration Queue Totals

## Registration Queues (continued)

**Denied Individual Registrations:** Lists individual registrations that have been assigned a status of Denied or Rejected by a regulator. Individuals remain in this queue for 30 days.

**Pending Individual Registrations:** Lists non-deficient individual registrations that are waiting for an SRO or Jurisdiction approval. Individuals with a status of Pending remain in this queue as long as the registration status is Pending.

**Purged Individual Registrations:** Lists individual registrations that Web CRD has changed from Deficient to Purged because the time period to correct the deficiency has been exceeded. Individuals remain in this queue for 30 days.

**Registration Queue Totals:** Lists all of the queues with the number of items in each queue.

Registrations
▪ Back to Previous Menu
▪ <b>Approved Individual Registrations</b>
▪ Current Individual Deficiencies
▪ Denied Individual Registrations
▪ Pending Individual Registrations
▪ Purged Individual Registrations
▪ Registration Queue Totals

## Termination Queues

Termination
▪ Back to Previous Menu
▪ <b>Manual Termination</b>
▪ Temporary Registration Cancellation
▪ Termination
▪ U5
▪ U5 Late Fees
▪ U5 Required
▪ Other Firm U5 Filing
▪ Termination Queue Totals

**Manual Termination:** Lists individuals for whom a U5 has been filed but has been blocked by a regulator. The registration status is Termination Requested. Individuals remain in this queue as long as their status is Termination Requested.

**Temporary Registration Cancellation:** Lists individuals who have had temporary registrations revoked. Individuals remain in queue for 30 days.

**Termination:** Lists individuals whose registration(s) have been terminated without a U5 filing. Individuals remain in this queue for 30 days.

**U5:** Lists all Full or Partial Form U5 filings submitted by your firm. The individuals in this queue have a registration status of Termed or Termination Requested. Individuals remain in this queue indefinitely.

**U5 Late Fees:** Lists individuals who have been assessed a fee for a late Form U5 filing. A Form U5 filing is considered late, if it is filed more than 30 days from the actual date of termination or more than 30 days from the submission of a Relicense Form U4 filing. Individuals remain in this queue indefinitely. This queue is not applicable to RAs.

**U5 Required:** Lists individuals for whom your firm is required to submit a Form U5 filing to terminate their association with your firm. A Form U5 filing is required when a Relicense Form U4 has been filed. Individuals remain in this queue until the Form U5 filing is submitted.

**Other Firm U5 Filing:** Lists individuals for whom a U5 filing was submitted by another firm.

**Termination Queue Totals:** Lists all of the queues with the number of items in each.