

Web CRD

Firm Queues for Organizations

The **Firm Queues for Organizations** provides the mechanism for Web CRD® to notify firms about current firm and branch deficiencies, registration withdrawal or termination, and firms retiring from their simultaneous filing group.

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.

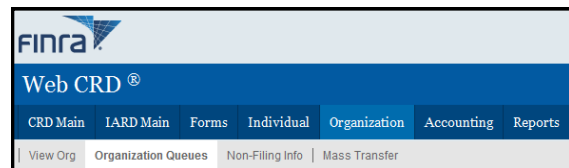
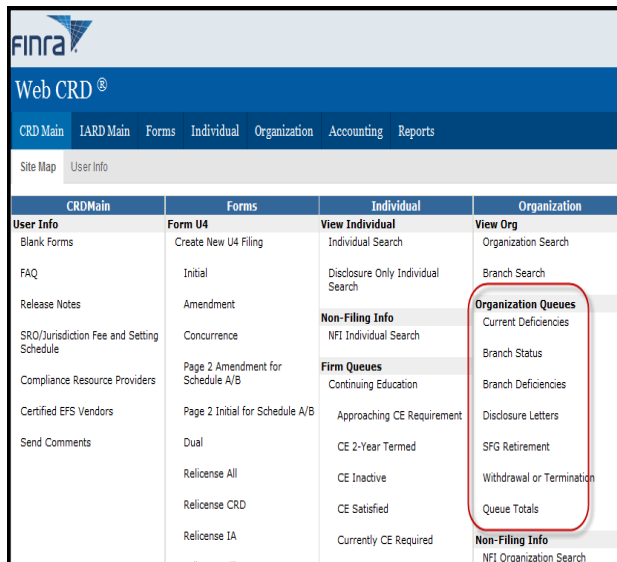
Accessing Firm Queues

There are two ways to access Firm Queues for Organizations in Web CRD:

1. From the **Organization** section of the Web CRD Site Map, click on the desired organization queue.

OR

1. Click the **Organization** tab from the toolbar.
2. Click **Organization Queues** from the sub-menu.



NOTE: The system will automatically default to the *Current Deficiencies* screen, where the Organization Queues can be accessed.

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

Description of Firm Queues

Current Deficiencies: Displays the firm's current Form BD and BDW deficiencies by filing date. The number of days deficient is also displayed, with a link to obtain deficiency detail information. Notices remain in the queue until the deficiency is satisfied.

Branch Status: Lists all participating jurisdiction and SRO branch office statuses for a firm.

Branch Deficiencies: Displays any deficiencies for branch offices.

Disclosure Letters: Displays Organization Disclosure alerts sent to the firm.

SFG Retirement: Displays firms retiring from their simultaneous filing group, by date of retirement. Notices remain in the queue for 120 days.

Withdrawal or Termination: Displays the firm's withdrawal or termination notices by effective date. The screen includes the regulator reason and the effective date. Notices remain in the queue for 120 days.

Queue Totals: Displays a list of all of the queues, with the number of items in each.

Notices
▪ Current Deficiencies
▪ Branch Status
▪ Branch Deficiencies
▪ Disclosure Letters
▪ SFG Retirement
▪ Withdrawal or Termination
▪ Queue Totals