

# Web CRD

## **Firm Queues for Organizations**

The **Firm Queues for Organizations** provides the mechanism for Web CRD<sup>®</sup> 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 -> <u>https://firms.finra.org</u>, or
- 2. Directly at -> <u>https://crd.finra.org</u>

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

FINTA 🕅 Web CRD ®

Site Map User Info

User Info

Blank Forms

Release Note:

Compliance Res

Send Comments

Certified EFS Vendors

SRO/Jurisdiction Fee and Setting

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

View Org

Organization Search

Organization Queues

Current Deficiencies

Branch Deficiencies

Disclosure Letters

SFG Retirement

Queue Totals

Non-Filing Info

NFI Organi

Withdrawal or Termin

Branch Status

Branch Search

OR

1. From the <b>Organization</b> section of the
Web CRD Site Map, click on the desired
organization queue.

View Individual

Non-Filing Info

Firm Queues

NFI Individual Search

Continuing Education

CE 2-Year Termed

Currently CE Required

CE Inactive

CE Satisfied

Approaching CE Requirement

Individual Search

Disclosure Only Individual

CRD Main IARD Main Forms Individual Organization Accounting Reports

Create New U4 Filing

Form U4

Initial

Dual

Relicense All

Relicense CRD

Relicense IA

Amendment

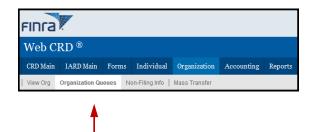
Concurrence

Page 2 Amendment for Schedule A/B

Page 2 Initial for Schedule A/B

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.

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### **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