Financial Industry Regulatory Authority

Web CRD | Individual Form Filing: Non-Registered Fingerprint

Fingerprint cards are maintained by Web CRD for non-registered individuals through Non-Registered Fingerprint (NRF) filings. Firms can terminate a relationship with an NRF at any time through Web CRD.

For guidance on whether to associate an individual as a non-registered fingerprint person or as a registered representative with the Operations Professional (OS) registration, please refer to FINRA Notice to Members 11-33.

Content:

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

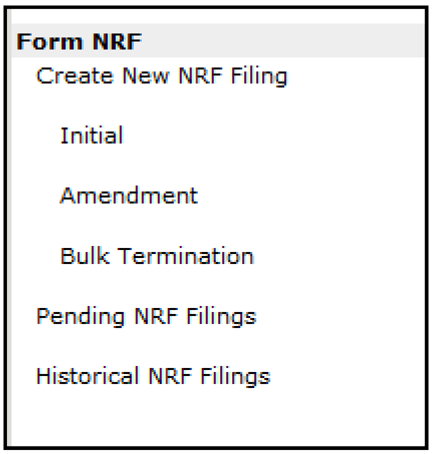
Enter your **User ID** and **Password**.
If you access via FINRA Firm Gateway, click on the **Web CRD** tab.
Once you have accessed Web CRD, you can then navigate through the system as needed.

Access NRF Filing

There are two ways to access NRF Filings in Web CRD:

From the **Forms** section of the Web CRD Site Map.

Click on the desired NRF Filing Type.

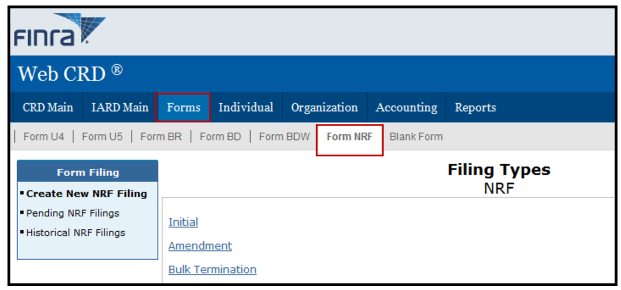


OR

Click the **Forms** tab from the toolbar.

Click **Form NRF** from the sub-menu.

Select the desired NRF Filing Type.



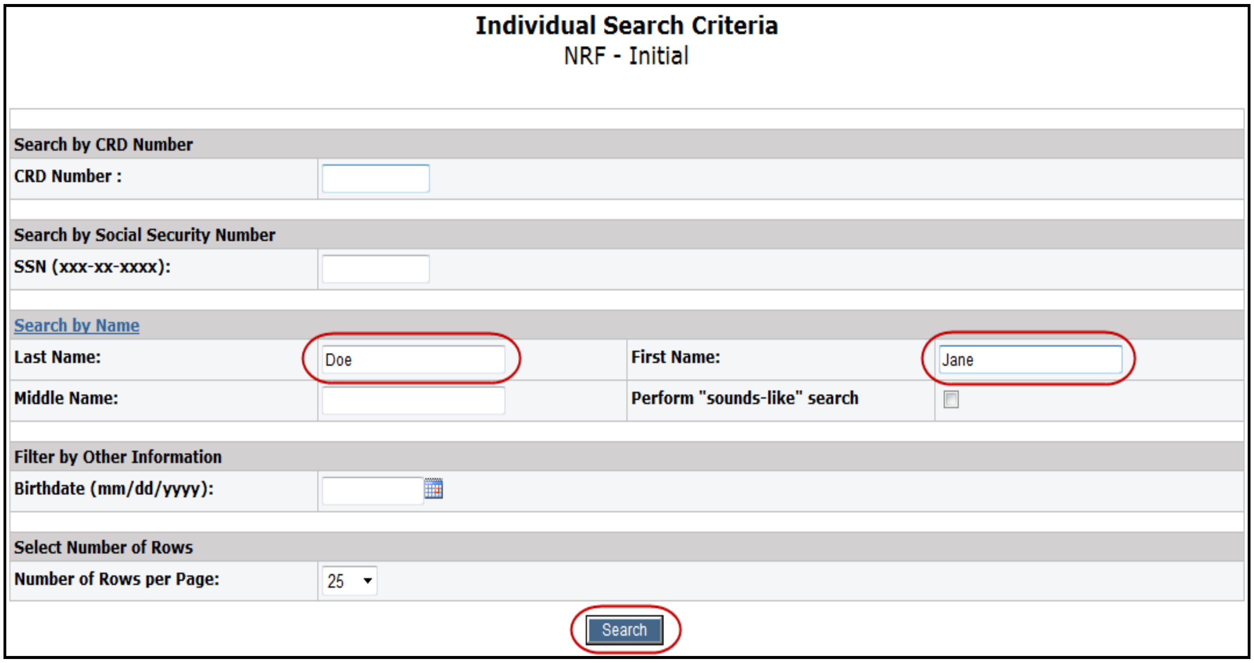
NRF Filing Types

NRF Filing Type	When to use
Initial	An Initial NRF filing is used to associate a non-registered individual with your firm. The Initial NRF filing consists of the following sections: General Information, Personal Information, and Other Names. This filing type is also used when re-associating the fingerprints of a representative that was recently terminated but has been continuously employed by the filing firm.
Amendment	A NRF Amendment filing is used to update the individual's information or to terminate an NRF association. The NRF Amendment filing includes a Termination section.
Bulk termination	A NRF Bulk Termination filing is used to terminate an NRF association for more than (1) individual. The Bulk Termination filing is used to terminate up to 100 NRF individuals at one time.

Create a New NRF Filing

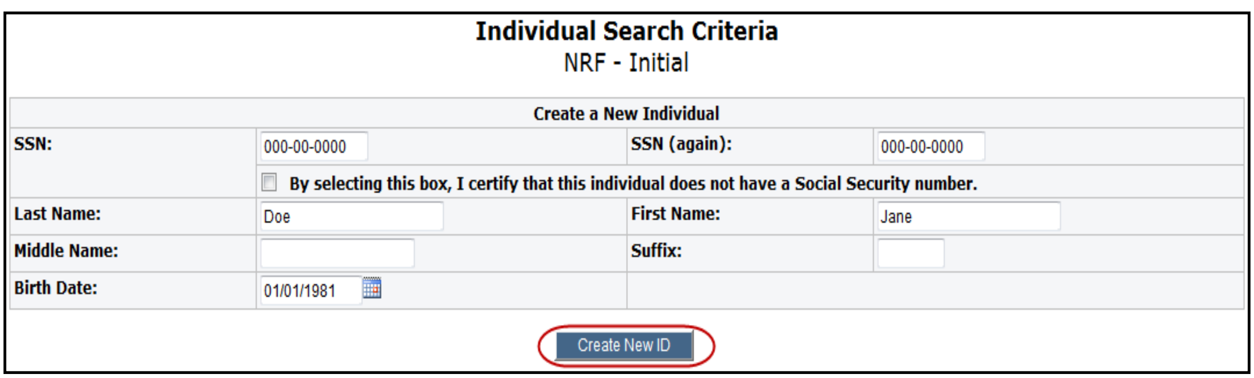
Prior to creating any individual filing, the system will require you to search for the individual. Enter the individual's CRD Number or type a combination or one of the following: individual's Last Name and at least two (2) characters of the First Name, CRD Number, and/or Social Security Number.

For a more specific search, type a Middle Name and Birth Date to locate the individual or verify that the individual does not exist in CRD.



Create a New Individual in Web CRD

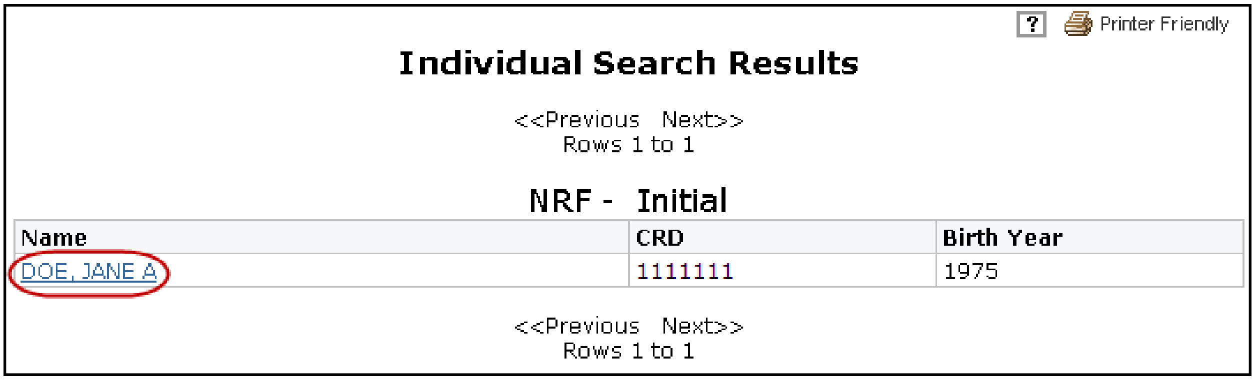
If the individual does not exist in CRD, enter the individual's SSN, Last Name, First Name, and Birth Date. Click the **Create New ID** button to begin the Form U4 filing for this individual.



Create a New NRF Filing (Continued)

Additional Verification for Initial NRF Filings

Web CRD will require additional verification of the individual's social security number (SSN) and month/day of birth for individuals already in Web CRD. The verification screen will display after the name hyperlink is selected from the search results.



? Printer Friendly

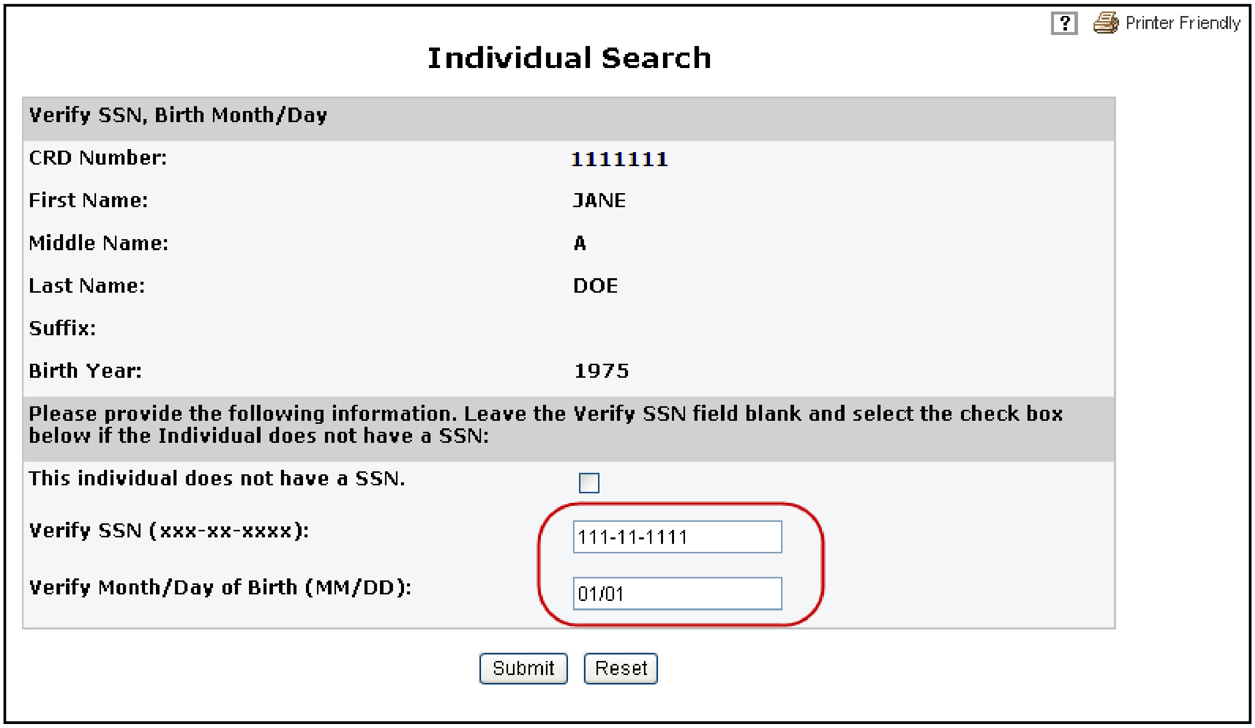
Individual Search Results

<<Previous Next>>
Rows 1 to 1

NRF - Initial

Name	CRD	Birth Year
DOE, JANE A	1111111	1975

<<Previous Next>>
Rows 1 to 1



? Printer Friendly

Individual Search

Verify SSN, Birth Month/Day	
CRD Number:	1111111
First Name:	JANE
Middle Name:	A
Last Name:	DOE
Suffix:	
Birth Year:	1975
Please provide the following information. Leave the Verify SSN field blank and select the check box below if the Individual does not have a SSN:	
This individual does not have a SSN.	☐
Verify SSN (xxx-xx-xxxx):	111-11-1111
Verify Month/Day of Birth (MM/DD):	01/01

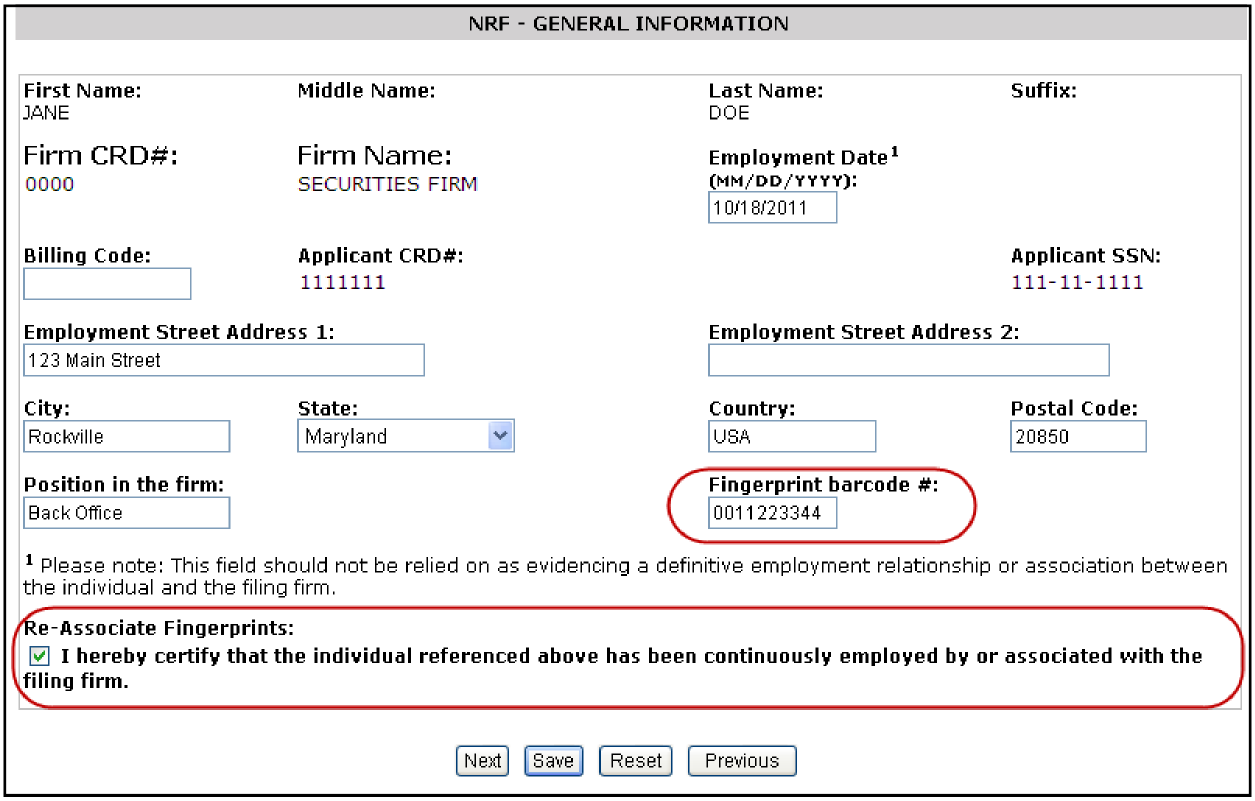
Submit Reset

Re-Associate Fingerprints for a Recently Terminated Individual

In the General Information section of an NRF filing, firms are able to re-associate a fingerprint barcode for a previously registered representative (RR) that has been continuously employed with the filing firm.

To re-associate a fingerprint card you must enter the most recently terminated fingerprint barcode submitted by the filing firm for that individual.

Select the Re-Associate Fingerprints checkbox.


NRF - GENERAL INFORMATION

First Name: JANE
Middle Name:
Last Name: DOE
Suffix:

Firm CRD#: 0000
Firm Name: SECURITIES FIRM
Employment Date[1] (MM/DD/YYYY): 10/18/2011

Billing Code:
Applicant CRD#: 1111111
Applicant SSN: 111-11-1111

Employment Street Address 1: 123 Main Street
Employment Street Address 2:

City: Rockville
State: Maryland
Country: USA
Postal Code: 20850

Position in the firm: Back Office
Fingerprint barcode #: 0011223344

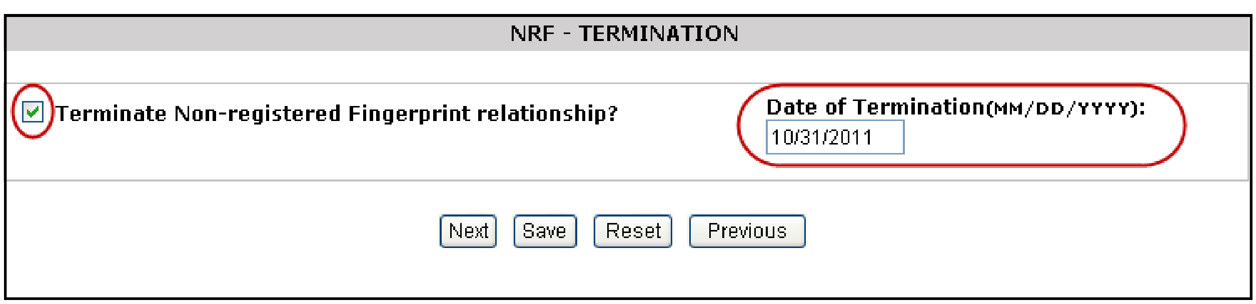
[1] Please note: This field should not be relied on as evidencing a definitive employment relationship or association between the individual and the filing firm.

Re-Associate Fingerprints:
☑ I hereby certify that the individual referenced above has been continuously employed by or associated with the filing firm.

Next Save Reset Previous

Terminate an NRF Association

The NRF Amendment filing includes a Termination section. In this section, select the Terminate checkbox and enter the Date of Termination.


NRF - TERMINATION

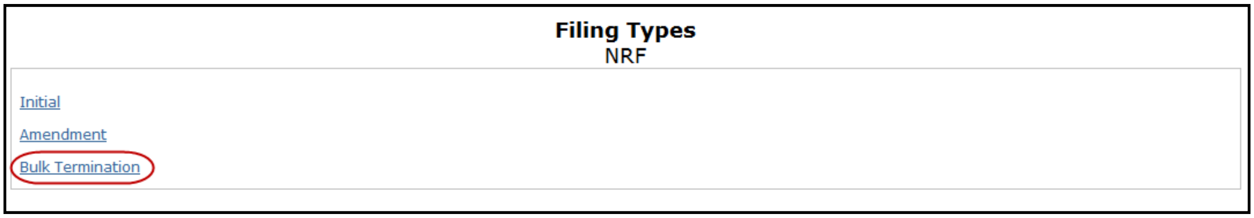
☑ Terminate Non-registered Fingerprint relationship?
Date of Termination(MM/DD/YYYY): 10/31/2011

Next Save Reset Previous

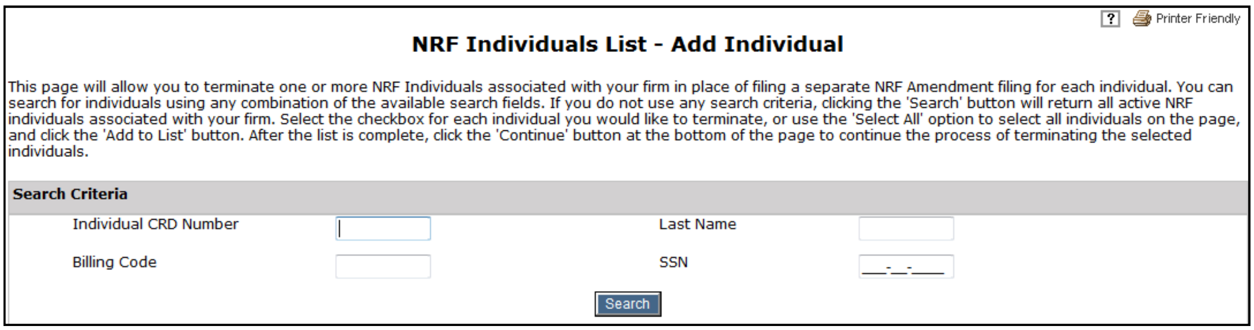
Bulk Termination for NRF Individuals

Bulk Termination is used to terminate multiple NRF associations with the firm.

1. Select Bulk Termination on the **NRF Filing Types** screen

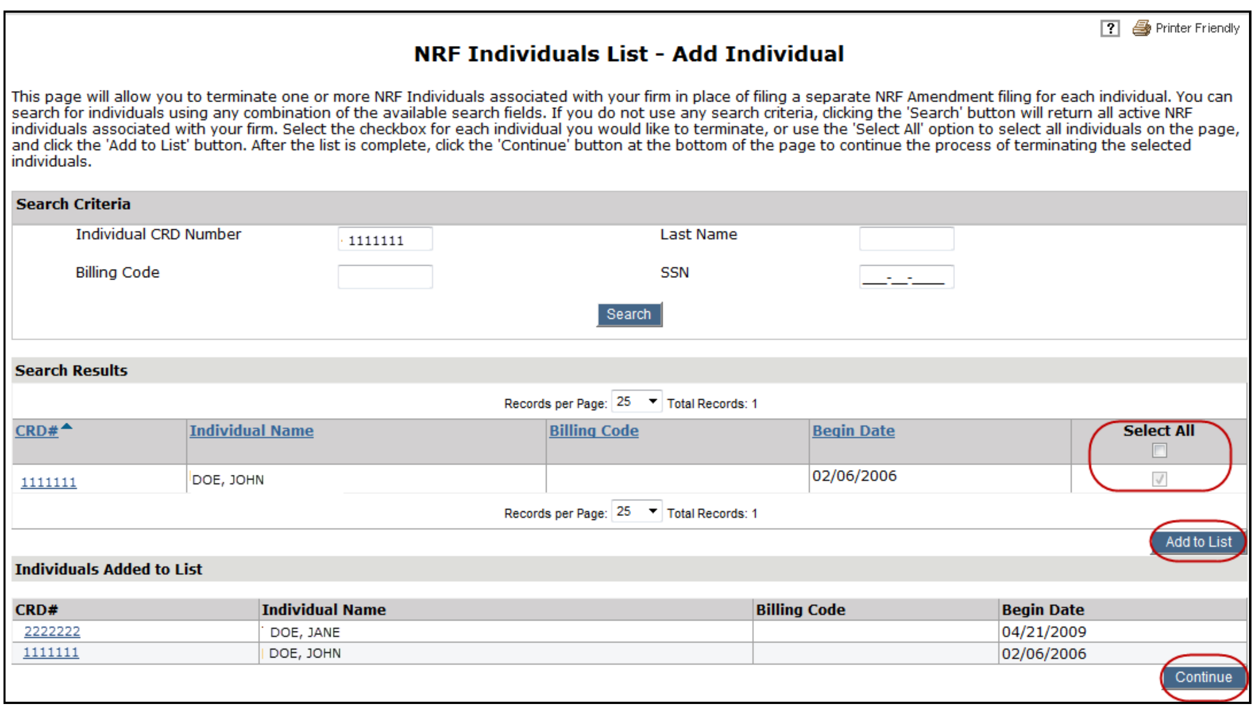


2. Enter the **Individual CRD Number**, **Last Name**, **Billing Code** or **SSN** and click **Search**.



NOTE: To view the list of all NRF Individuals with your firm, leave all fields blank and click the Search. Button.

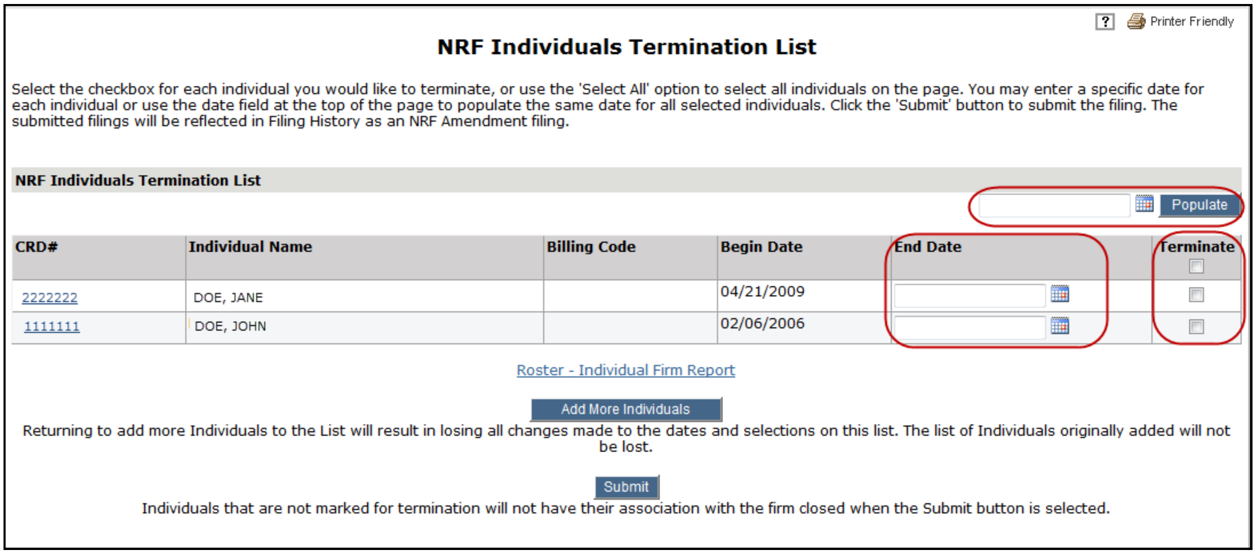
3. Click the **Select All** checkbox then click the **Add to List** button and when list is finished, click **Continue**.



4. Enter the **End** Date for each individual on the list.

Or

4a. To enter the same **End Date** for multiple individuals, use the calendar at the top of the screen. Select the desired date of termination and click the **Terminate** button next to all individuals that the date applies. Click the **Populate** button.



5. When all individuals have been added and an **End Date** entered, click the **Submit** button.

NOTES:

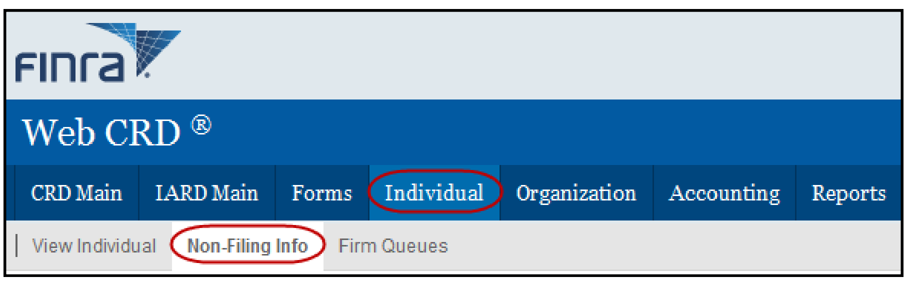
- Future dates will not be accepted.
- Click Add More Individuals button if needed. Follow steps to add an individual.
- If you need listing of all of your active NRF individuals, click the Roster - Individual Firm Report hyperlink. You need entitlement for Reports to use this feature. Select Non-Registered from the drop-down menu located in the Include Individuals Section. Enter your User Initials and proceed to request and view the report. If you need additional guidance on requesting and viewing reports, please review the [Reports Quick Reference Guide].

Amend NRF Termination Dates

Firms are able to correct the Termination date for previously submitted NRF Amendment filings. This is done through the Individual Non-Filing Information (NFI) page on Web CRD.

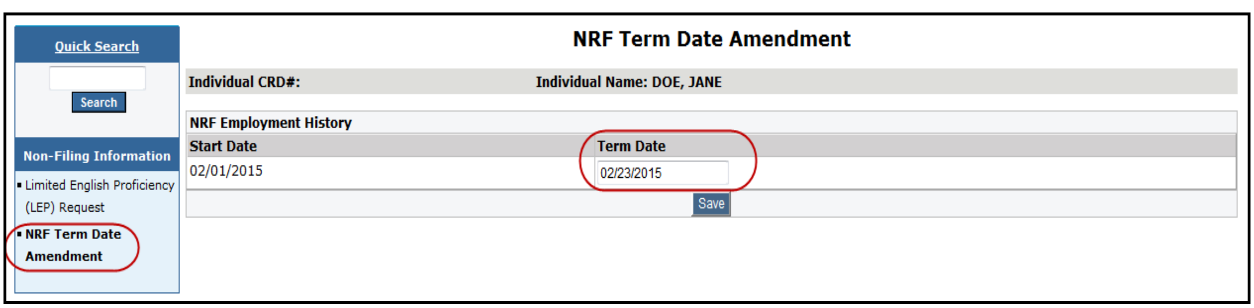
1. Navigate to Individual NFI using the link on the sitemap or on the sub-menu of the Individual tab.

OR



2. Search for the individual and select the NRF Term Date Amendment link on the left navigation panel.

3. Enter the corrected date and click Save.



4. The updated date will be visible in the Office of Employment Address History section of the Employment History page in View Individual. There will also be a non-clickable entry in Filing History.