

Web CRDJurisdiction/SRO Branch Registration Review

Regulators that register branches via electronic Form BR submissions can update the registration status of branches in their jurisdiction using Web CRD[®].

Updating Jurisdiction/SRO Branch Registrations

Access Web CRD at https://crd.finra.org.

- 1. From the Web CRD Site Map, click the **CRD Main** tab.
- 2. From the **Organization** section, click the **NFI Organization Search** hyperlink.

FINCA					
Web CRD ®					
CRD Main IARD Main	Forms Individual Organization	Notifications Reports			
Site Map User Info					
CRDMain	Forms	Individual	Organization		
ser Info	Form U6	View Individual	View Org		
Blank Forms	Create New U6 Filing	Individual Search	Organization Search		
FAQ	CRD Individual	Disclosure Only Individual Search	Disclosure Only Organization Search		
Release Notes	Disclosure Only Individual	Non-Filing Info	Organization Oueues		
SRO/Jurisdiction Fee and Sett	ng CRD/IARD Organization	Non-Filing Into NFI Individual Search	Organization Queues		
Schedule	CRU/IARD Organization	ma anuvidual Search	Citra C		
Compliance Resource Provide	Disclosure Only Organization	Jurisdiction Acceptance Queues	Amend (Form BD) Broker Dealer Withdrawal (BDW Branch		
Certified EFS Vendors	Pending U6 Filings	Manual Approval			
Send Comments	Historical U6 Filings	Temporary Registrations			
		US Manual	Non Filing Branch		
		Waivable Deficiencies	Branch Deficiencies		
		Acceptance Queue Totals	Mass Transfer (MT)		
		Jurisdiction Notice Queues	Name Change		
		Automatic Approval	No Status (NOSTAT)		
		CHRI Received from FBI	Regulatory Disclosure		
		Delinquent U5 Notice	Status Change		
		Disclosure Notice	Outstanding Queue Totals		
		SRO Inactive Notice	Saved Queue Totals		
		SRO Termination Notice	Non-Filing Info		
		Jurisdiction Termination for Cause Notice	NFI Organization Search		
			Mass Transfer		
		Amended Date and Reason for Termination Notice	Mass Transfer List		

- OR 1. Click the Organization tab on the toolbar.
 - CRD Main
 Individual
 Organization
 Notifications
 Reports

 View Org
 Organization Queues
 Non-Filing Info
 Mass Transfer
 - 2. Click **Non-Filing Info** from the submenu.

Questions on Web CRD? Call Regulatory User Support at 240-386-4242 8 A.M. - 8 P.M., ET, Monday through Friday

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3. From the *NFI Organization Search Criteria* screen, enter identifying search criteria and click **Search**.

Non-Filing Information			NFI OI	ganiza	tion S	earch Criteria	
 NFI Organization Search 	Search by CRD/	IARD Numb	er				
	CRD/IARD Num	ber:					
	Search by SEC I	Number					
	SEC Number:	● 8- ○ 801- ○ 802-					
	Search by Name	e and Main C	Office Location				
	Firm Name:					Type of Search:	 Starts with Contains
	Names to Searc	h:	ALL Names		•		© Sounds-like
				e States		Selected State(s)	
		Ala Ariz Ark	bama ska cona ansas ifornia	•	>> <<		* *
	Select Number	of Rows					
	Number of Row	s per Page:	25				
					Search]	

4. Click the **Primary Business Name** hyperlink to select the firm.

Non-Filing Information	NFI Organization Search Results						
 NFI Organization Search 	< <previous next="">> Rows 1 to 1</previous>						
	Primary Business	Name	Name Search Located	CRD Number	SEC Number		Source of Information
	SECURITIES FIRM			(m) tank		MD	CRD/IARD
I			< <previous next="">> Rows 1 to 1</previous>				

5. Select **Branch Registrations** from the left navigation bar.

Search	Maintain CRD Contact Info				
n-Filing Information	Organization CRD Number:		Organization Name: SECURITIES FIRM		
-	Organization SEC Number:		Applicant Name: SECURITIES FIRM		
ntact Information					
view Methods					
stee Information	Contact Name	JOHN DOE			
ganization Names	Contact E-Mail	JDOEQSECURITIESFIRM.COM 555-555-555			
ss Transfer History	Phone				
gistrations	Fax				
-	Street 1	123 SECURITIES LANE			
anch Registrations	Street 2	SUITE 100			
anch Review Method	City	ROCKVILLE			
m Regulatory Notes	State MD				
Branch Regulatory Notes	Country	USA			
	ZIP/Postal Code	20850			

- 6. From the *Branch Office Search* screen, enter identifying information to perform a search. Leave all fields blank to display all branches.
- 7. Click Search.

NOTE: a.) A firm's main office is not displayed when conducting a branch search.

- b.) The system only displays active branches that are located in the jurisdiction/SRO where the user is associated.
- 8. Click the **CRD Branch Number** hyperlink to select the branch.
- 9. Click the blue Update button on the far-right.

Branch Office Registration Status Summary							
Organization CRD Number:			Organization Name: SECURITIES FIRM				
Organization SEC Number: Applicant Name: SECURITIES FIRM				ES FIRM			
Branch CRD Number: http://www.astron.com			Branch Office Address: 123 Elm Street Suite 100, Dallas, TX 75001, UNITED STATES				
Branch Code Number: 878296		Fire	Firm Billing Code: 8484				
Regulator	Current Status		Status Date				
Texas	Pending	Pending		Update			

10. Click the drop-down arrow in the **New Status** field, and select the appropriate status.

N	laintain Bra	nch Registra	tion Status		
Organization CRD Number:	3.0	Organization Name: SECURITIES FIRM			
Organization SEC Number:		Applicant Name: SECURITIES FIRM			
Branch CRD Number:		Branch Office Address: 123 Elm Street Suite 100, Dallas, TX 75001, UNITED STATES			
Branch Code Number: 878296		Firm Billing Code: 8484			
Regulator: Current Status:		Pending			
	New Status:	Approved	-		
Current Effective Date:		03/24/2014			
New Effective Date:		03/25/2014			
	BD Branch Date:		1		
	IA Branch Date:				
		Save			

11. Enter a date in the **Effective Date** field.

12. Click Save.

NOTE: If the last active branch office registration or notice filing status is changed to a Termed status, the system will display the following warning: "The change you are about to make is permanent. All active individuals associated with this branch office will be re-associated to the firm's main office if this is the only office the individual is associated with. Click "Yes" to confirm this action or "No" to cancel it".