

Web CRD Jurisdiction/SRO Branch Withdrawal/Closing Review Method

The branch review method allows regulators that participate in branch office registration to choose how to process branch closing/withdrawal requests submitted using Web CRD[®].

The default termination review method for branches is **Automatic**, meaning that all branches requesting closing/withdrawal will be automatically terminated or withdrawn. Regulators have the option to change the termination review method for specific branches to **Manual**, meaning that closing/withdrawal requests receive a Termination Requested status or a Termination Requested-No Registration status and appear in the Branch Organization queue for review prior to termination.

OR

Changing a Branch Review Method:

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

- 1. Click the CRD Main tab on the toolbar.
- From the Organization section of the Web CRD Site Map, click the NFI Organization Search hyperlink.
- FINCA Web CRD ® CRD Main IARD Main Forms Individual Organization Notifications Rep Site Map User Inf Individual View Individual View Org ser Info Form U6 Create New U6 Filing Organization Search dual Search Disclosure Only Individual Search Disclosure Only Organization Search FAQ CRD Individual Disclosure Only Individual Non-Filing Info Organization Queue CRD/IARD Organization NFI Individual Search on Fee and Setting risdiction Acceptance Disclosure Only Orga Amend (Form BD) . Manual Approval Pending U6 Filings Broker Dealer Withdra Certified EFS Vendors Historical U6 Filings Temporary Registrations Branch Send Comments US Manual Non Filing Branch Waivable Deficiencie Branch Deficiencies Acceptance Queue Totals Mass Transfer (MT) urisdiction Notice Queue Name Change Automatic Approval No Status (NOSTAT) CHRI Received from FBI Regulatory Disclosure Delinquent US Notice Status Change Disclosure Notice Outstanding Queue Tota

SRO Inactive Notice

Amended Date and Reason

Saved Queue Totals Non-Filing Info NFI Organization Se Mass Transfer

Mass Transfer List

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



2. Click **Non-Filing Info** from the submenu.

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

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- 3. Enter identifying information and click **Search** to perform a search.
- 4. Select a firm under **Primary Business Name**, and click the firm hyperlink.

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	Home State	Source of Information		
	SECURITIES FIRM			0401448		MD	CRD/IARD		
	< <previous next="">> Rows 1 to 1</previous>								

5. Click Branch Review Method from the navigation panel.

<u>Quick Search</u>						
Search	Maintain CRD Contact Info					
Non-Filing Information	Organization CRD Number:	200213008	Organization Name: SECURITIES FIRM			
Non-Filling Information	Organization SEC Number:		Applicant Name: SECURITIES FIRM			
 Contact Information 						
 Review Methods 						
 Trustee Information 	Contact Name	e JOHN DOE				
 Organization Names 	Contact E-Mail	JDOE@SECURITIESFIRM.COM 555-555				
Mass Transfer History	Phone					
 Registrations 	Fax					
Branch Desistrations	Street 1	123 SECURITIES LANE				
Dranch Registrations	Street 2	SUITE 100				
 Branch Review Method 	City	ROCKVILLE				
Firm Regulatory Notes	State MD					
Branch Regulatory Notes	Country	USA				
	ZIP/Postal Code	20850				

- 6. Enter search criteria, or leave all fields blank to display all branches.
- 7. Click Search.
- 8. Click the Branch CRD Number hyperlink.
- 9. Select the Manual or Automatic radio button to update the branch termination review

Update Branch Review Method						
Organization CRD Number:	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					
Current Branch Termination Review Method:	Automatic					
Update Branch Termination Review Method:	 Automatic Manual 					
Save						

10. Click Save.