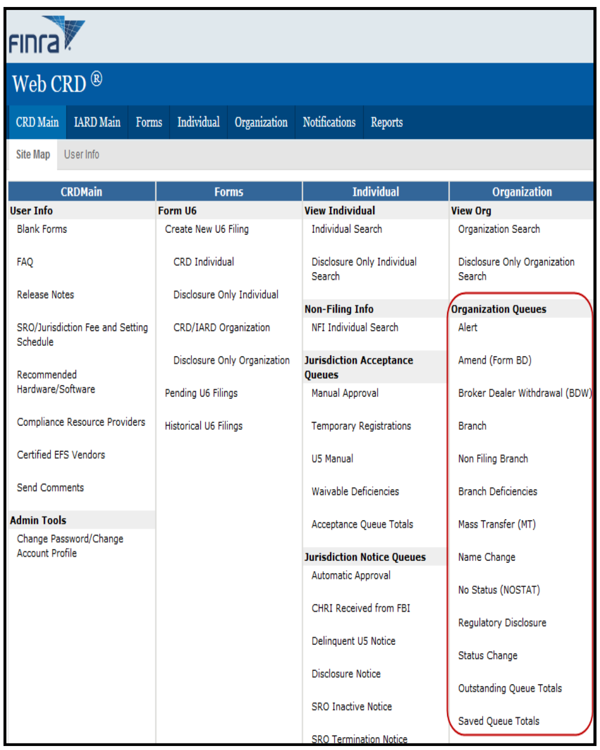
Web CRD — Jurisdiction/SRO Queues for Organizations

The **Jurisdiction/SRO Queues for Organizations** provide the mechanism for jurisdictions and SROs to receive notifications of broker-dealer form filings, branch form filings, registration status changes, outstanding filing deficiencies, disclosure information and mass transfers, as well as, changes to a registrations status. Access Web CRD® at https://crd.finra.org.

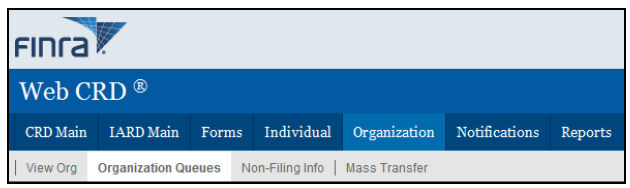
There are two ways to access the **Jurisdiction/SRO Queues for Organizations** in Web CRD.

1. From the **Organization** section of the Web CRD Site Map, click directly on the hyperink for a specific queue.

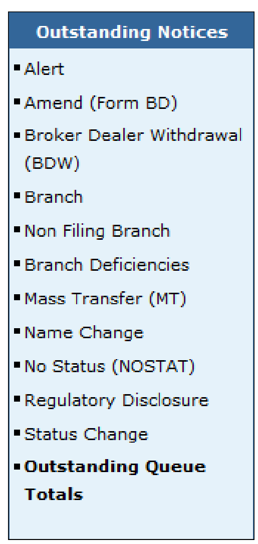


OR

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



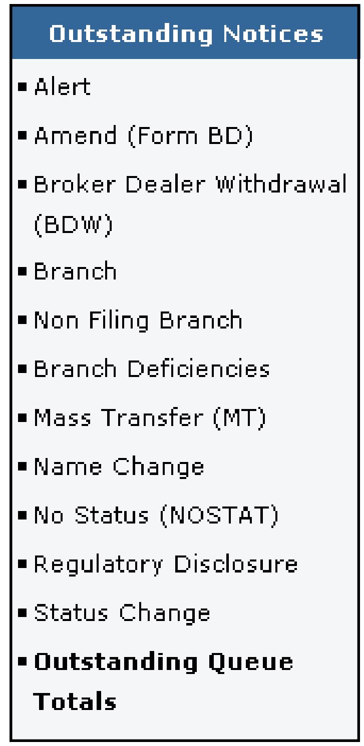
2. Click **Organization Queues** on the sub menu.
3. Choose a specific queue on the left navigation panel.



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

Jurisdiction/SRO Organization Queue Types

There are 11 types of Jurisdiction/SRO queues.



1. **Alert:** Lists notices of broker-dealers who have not corrected deficiencies within 30, 60 or 90 days. Notices are automatically deleted after 120 days.

2. **Amend (Form BD):** Lists notices of Form BD filings pertaining to firms with one of the following statuses: No Status, Approved, Termination Requested, or Pending Approval. Branch amendments will appear in the Branch queue only and not in the Amend queue. Notices are automatically deleted after 30 days.

3. **Broker-Dealer Withdrawal (BDW):** Lists notices of broker-dealer full or partial withdrawal requests from the user's state or SRO. The status of these firms is Termination Requested. Notices are automatically deleted after 120 days.

4. **Branch:** Notifies the regulator of Form BR filings made for a branch located within a jurisdiction. For SROs, the queue lists all Form BR filings made for branches that registered or notice filed with the SRO. Notices are automatically deleted after 120 days.

5. **Non Filing Branch:** Lists notices of branches whose branch status has changed without a Form BR filing. Notices are automatically deleted after 30 days.

6. **Branch Deficiencies:** Notifies the regulator of deficiencies for each branch office.

7. **Mass Transfer (MT):** Notifies the regulator of the status of Mass Transfers scheduled for firms in that jurisdiction.

8. **Name Change:** Lists notices of broker-dealer name changes. Notices are automatically deleted after 30 days.

9. **No Status:** Lists notices of broker-dealer filings pertaining to firms with a No Status registration status. Notices are automatically deleted after 120 days.

10. **Regulatory Disclosure:** Lists notices of disclosure actions taken by other jurisdictions, the SEC, FINRA, and other SROs through a Form U6. Notices are automatically deleted after 30 days.

11. **Status Change:** Lists notices of registration status changes. Regulators will see all changes that terminate broker-dealers. Notices are automatically deleted after 30 days.

12. **Outstanding Queue Totals**: Llists all of the queues with the number of items in each queue.

NOTE: SEC users do not have the following queues: Branch, Non Filing Branch, Branch Deficiencies and No Status. SEC users do have a Holding queue.

Working the Queues

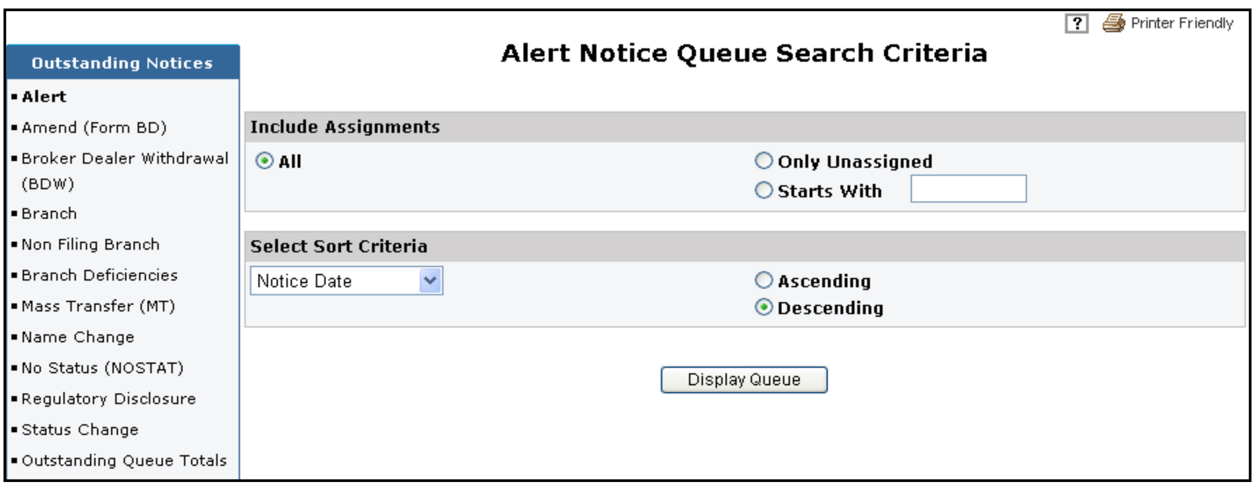
In Organization Queues, you can:

- Sort queue notices
- Review notices
- Change a registration status, if applicable
- Send a notice from the Outstanding Notice Queue to the Saved Notice Queue
- Remove items from the queue

Sorting the Notice Queues

A) You can filter your search to include:
- All Assignments: displays all notices in the queue, regardless of the individual the notice is assigned to
- Only Unassigned
- Starts With: displays notices in the queue assigned to a specific person

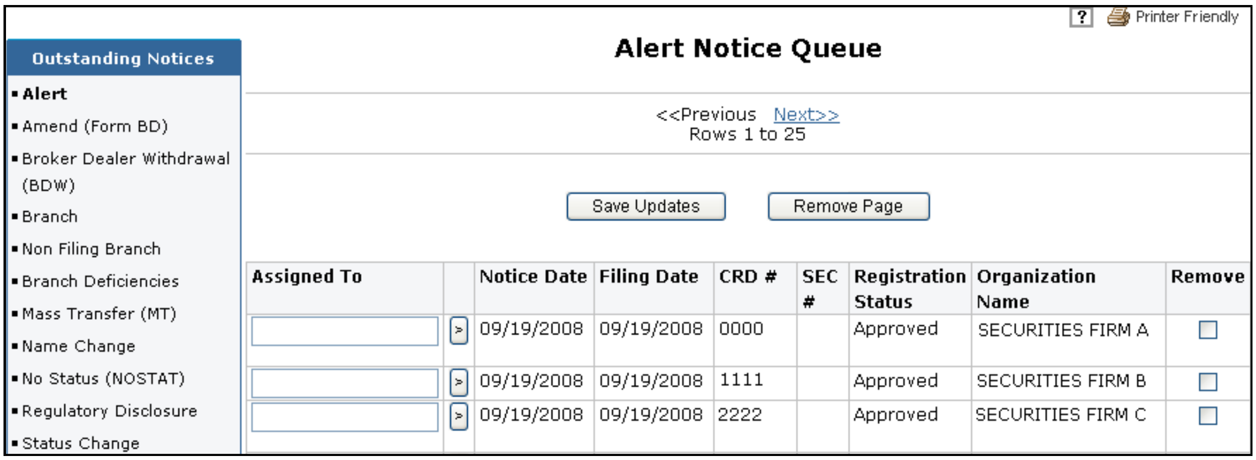
B) To review only those notices that are assigned to you:
1. Click the **Starts With** radio button.
2. Enter the first letter of your last name in the text box.
3. Click **Display Queue**.



C) You can also select to sort the results by specific column headings in ascending or descending order:
- Assigned To
- Notice Date
- Filing Date
- CRD #
- SEC #
- Registration Status
- Organization Name

Working the Queues Notices

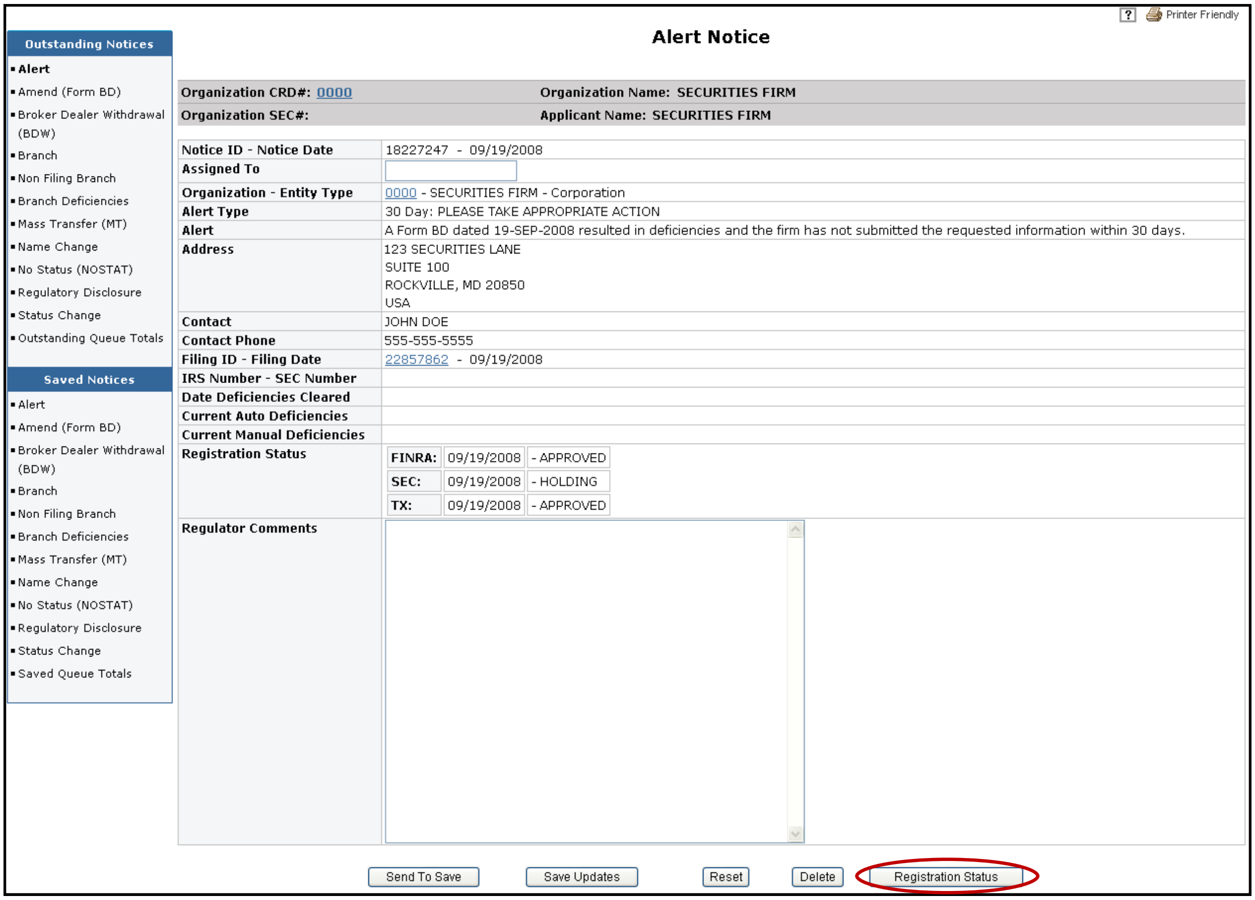
- You may assign queue items to staff members by entering the staff member's name in the **Assigned To** field and clicking **Save Updates**.
- Click the arrow in the gray box to display details of the *Notice Queue* screen.
- Select the **Remove** box and click **Save Updates** to remove a specific notice from the queue.
- Click **Remove Page** to remove all of the notices on the page.



Tips for Working a *Notice* Screen

- Click the **Firm's CRD number** to view the firm's record in View Organization
- Click **Send to Save** to remove the notice from the Outstanding Notice Queue and place it into the Saved Notice Queue to work on at a later time.
- Click **Save Updates** to save the current content of Regulator Comments and the check marks that indicate that you reviewed the section or deficiency.
- Click **Registration Status** to bring up the screen to change the registration status of the firm. Clicking this button links you to the **Non Filing Information** section for **Organizations**.

An example of an *Alert Notice* screen in shown on page 5.



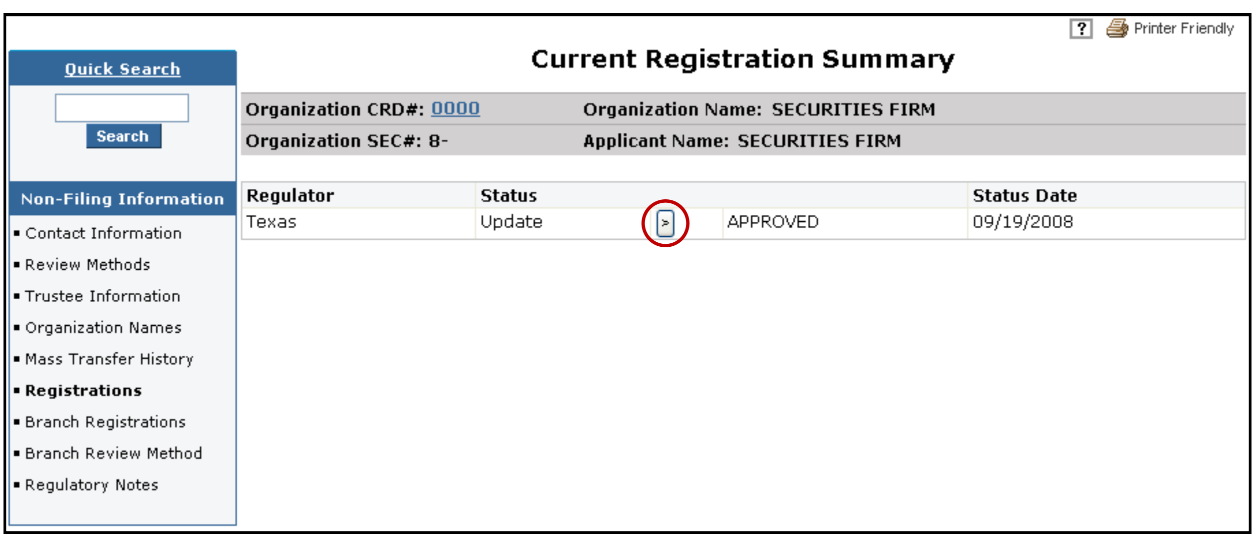
Changing a Firm's Registration Status

Changing a firm's registration status must be completed in the Non Filing Info queues of Web CRD. Clicking **Registration Status** from a *Notice* screen will allow you to access the Non Filing Info queues.

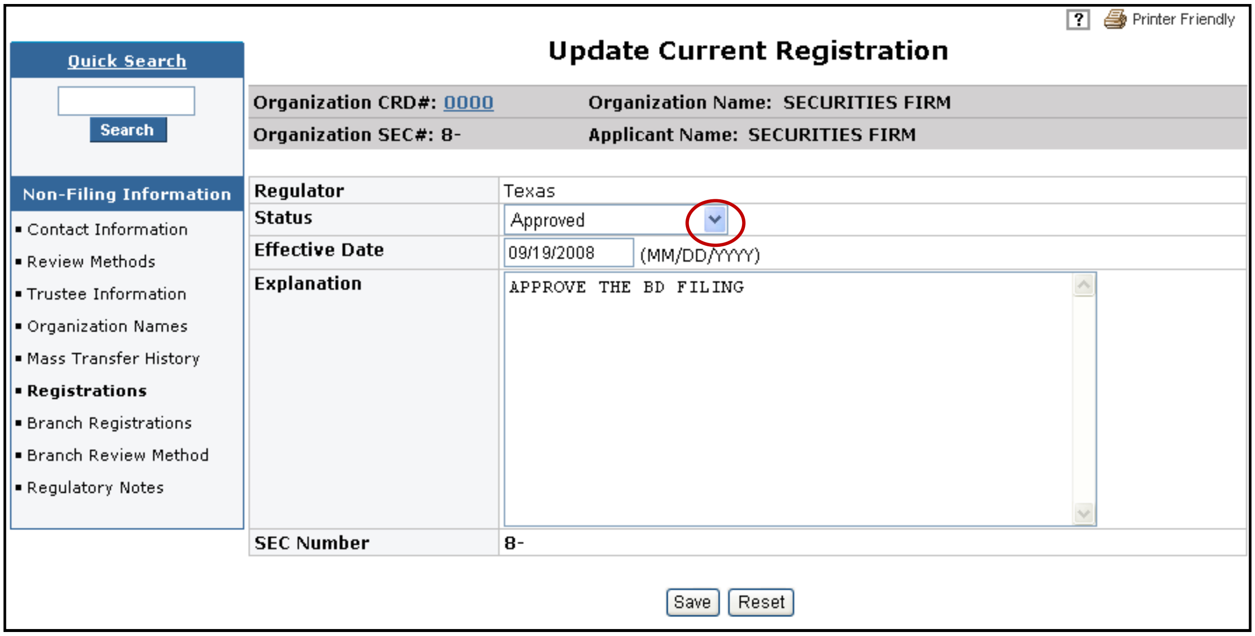
To change a firm's registration, complete the following steps.

1. From the *Notice* screen click **Registration Status**.

2. From the *Current Registration Summary* screen, click the **Status Update** arrow in the gray box to access the *Update Current Registration* screen.



3. From the *Update Current Registration* screen, click the **Status** drop-down arrow and choose a registration status.



4. Enter an **Effective Date**.
5. Enter an **Explanation** of the status change.
6. Click **Save**.