

## Web CRD

## Jurisdiction/SRO Queues for Organizations

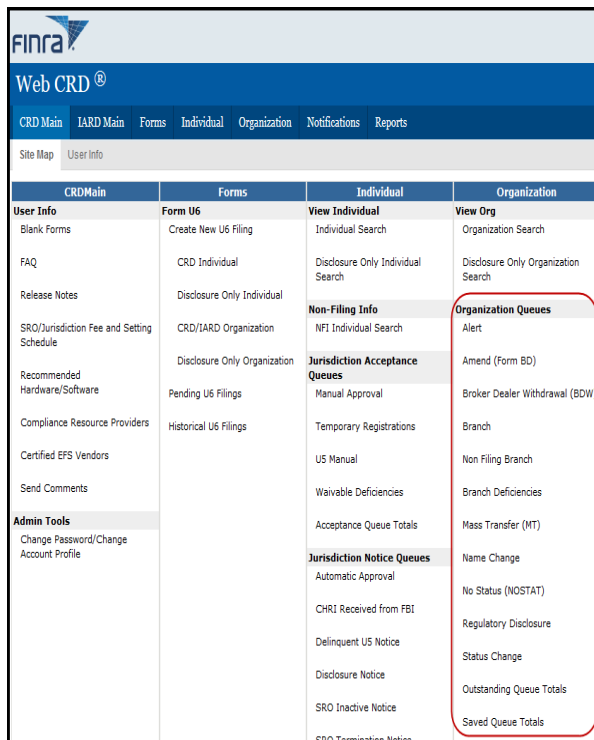
The **Jurisdiction/SRO Queues for Organizations** provide the mechanism for jurisdictions and SROs to receive notifications of broker-dealer form filings, branch form filings, registration status changes, outstanding filing deficiencies, disclosure information and mass transfers, as well as, changes 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 hyperlink for a specific queue.

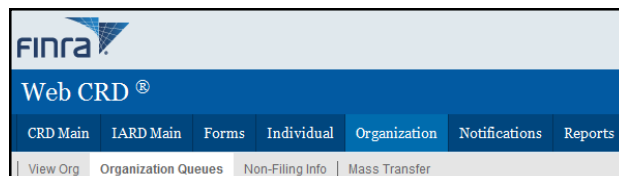
OR

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



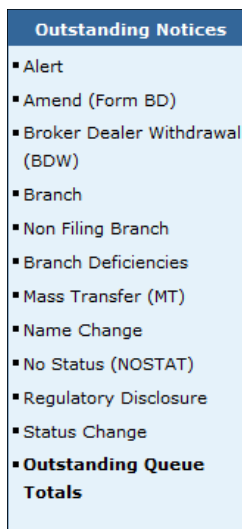
The screenshot shows the Web CRD Site Map with the 'Organization' section selected. A red box highlights the 'Organization Queues' link in the 'View Org' column.

CRDMain	Forms	Individual	Organization
<b>User Info</b>	<b>Form U6</b>	<b>View Individual</b>	<b>View Org</b>
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	<b>Non-Filing Info</b>	<b>Organization Queues</b>
SRO/Jurisdiction Fee and Setting Schedule	CRD/IARD Organization	NFI Individual Search	Alert
Recommended Hardware/Software	Disclosure Only Organization	<b>Jurisdiction Acceptance Queues</b>	Amend (Form BD)
Compliance Resource Providers	Pending U6 Filings	Manual Approval	Broker Dealer Withdrawal (BDW)
Certified EFS Vendors	Historical U6 Filings	Temporary Registrations	Branch
Send Comments		US Manual	Non Filing Branch
<b>Admin Tools</b>		Waivable Deficiencies	Branch Deficiencies
Change Password/Change Account Profile		Acceptance Queue Totals	Mass Transfer (MT)
		<b>Jurisdiction Notice Queues</b>	Name Change
		Automatic Approval	No Status (NOSTAT)
		CHR1 Received from FBI	Regulatory Disclosure
		Delinquent US Notice	Status Change
		Disclosure Notice	Outstanding Queue Totals
		SRO Inactive Notice	Saved Queue Totals
		SRO Termination Notice	



The screenshot shows the Web CRD toolbar with the 'Organization' tab selected. The 'Organization Queues' sub-menu item is highlighted, and a red arrow points to it.

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



The screenshot shows the 'Outstanding Notices' navigation panel with a list of queue types:

- Alert
- Amend (Form BD)
- Broker Dealer Withdrawal (BDW)
- Branch
- Non Filing Branch
- Branch Deficiencies
- Mass Transfer (MT)
- Name Change
- No Status (NOSTAT)
- Regulatory Disclosure
- Status Change
- Outstanding Queue Totals
- Saved Queue Totals

**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.

Outstanding Notices
▪ Alert
▪ Amend (Form BD)
▪ Broker Dealer Withdrawal (BDW)
▪ Branch
▪ Non Filing Branch
▪ Branch Deficiencies
▪ Mass Transfer (MT)
▪ Name Change
▪ No Status (NOSTAT)
▪ Regulatory Disclosure
▪ Status Change
▪ <b>Outstanding Queue Totals</b>

12. **Outstanding Queue Totals:** Lists 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.

Outstanding Notices		Alert Notice Queue						
<ul style="list-style-type: none"> <li>▪ <b>Alert</b></li> <li>▪ Amend (Form BD)</li> <li>▪ Broker Dealer Withdrawal (BDW)</li> <li>▪ Branch</li> <li>▪ Non Filing Branch</li> <li>▪ Branch Deficiencies</li> <li>▪ Mass Transfer (MT)</li> <li>▪ Name Change</li> <li>▪ No Status (NOSTAT)</li> <li>▪ Regulatory Disclosure</li> <li>▪ Status Change</li> </ul>		<<Previous <a href="#">Next</a> >> Rows 1 to 25						
		Save Updates		Remove Page				
Assigned To		Notice Date	Filing Date	CRD #	SEC #	Registration Status	Organization Name	Remove
<input type="text"/>	>	09/19/2008	09/19/2008	0000		Approved	SECURITIES FIRM A	<input type="checkbox"/>
<input type="text"/>	>	09/19/2008	09/19/2008	1111		Approved	SECURITIES FIRM B	<input type="checkbox"/>
<input type="text"/>	>	09/19/2008	09/19/2008	2222		Approved	SECURITIES FIRM C	<input type="checkbox"/>

## 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 is shown on page 5.

### Alert Notice

<b>Organization CRD#:</b> <a href="#">0000</a>	<b>Organization Name:</b> SECURITIES FIRM
<b>Organization SEC#:</b>	<b>Applicant Name:</b> SECURITIES FIRM

<b>Notice ID - Notice Date</b>	18227247 - 09/19/2008									
<b>Assigned To</b>										
<b>Organization - Entity Type</b>	0000 - SECURITIES FIRM - Corporation									
<b>Alert Type</b>	30 Day: PLEASE TAKE APPROPRIATE ACTION									
<b>Alert</b>	A Form BD dated 19-SEP-2008 resulted in deficiencies and the firm has not submitted the requested information within 30 days.									
<b>Address</b>	123 SECURITIES LANE SUITE 100 ROCKVILLE, MD 20850 USA									
<b>Contact</b>	JOHN DOE									
<b>Contact Phone</b>	555-555-5555									
<b>Filing ID - Filing Date</b>	22857862 - 09/19/2008									
<b>IRS Number - SEC Number</b>										
<b>Date Deficiencies Cleared</b>										
<b>Current Auto Deficiencies</b>										
<b>Current Manual Deficiencies</b>										
<b>Registration Status</b>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td><b>FINRA:</b></td> <td>09/19/2008</td> <td>- APPROVED</td> </tr> <tr> <td><b>SEC:</b></td> <td>09/19/2008</td> <td>- HOLDING</td> </tr> <tr> <td><b>TX:</b></td> <td>09/19/2008</td> <td>- APPROVED</td> </tr> </table>	<b>FINRA:</b>	09/19/2008	- APPROVED	<b>SEC:</b>	09/19/2008	- HOLDING	<b>TX:</b>	09/19/2008	- APPROVED
<b>FINRA:</b>	09/19/2008	- APPROVED								
<b>SEC:</b>	09/19/2008	- HOLDING								
<b>TX:</b>	09/19/2008	- APPROVED								
<b>Regulator Comments</b>										

## 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.

### Current Registration Summary

<b>Organization CRD#:</b> <a href="#">0000</a>	<b>Organization Name:</b> SECURITIES FIRM		
<b>Organization SEC#:</b> 8-	<b>Applicant Name:</b> SECURITIES FIRM		

Regulator	Status		Status Date
Texas	Update		APPROVED 09/19/2008

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

Quick Search		Update Current Registration	
<input type="text"/>		Organization CRD#: <a href="#">0000</a>	Organization Name: SECURITIES FIRM
<input type="button" value="Search"/>		Organization SEC#: 8-	Applicant Name: SECURITIES FIRM
<b>Non-Filing Information</b>		<b>Regulator</b>	Texas
<ul style="list-style-type: none"> <li>▪ Contact Information</li> <li>▪ Review Methods</li> <li>▪ Trustee Information</li> <li>▪ Organization Names</li> <li>▪ Mass Transfer History</li> <li>▪ <b>Registrations</b></li> <li>▪ Branch Registrations</li> <li>▪ Branch Review Method</li> <li>▪ Regulatory Notes</li> </ul>		<b>Status</b>	Approved 
		<b>Effective Date</b>	09/19/2008 (MM/DD/YYYY)
		<b>Explanation</b>	APPROVE THE BD FILING
		<b>SEC Number</b>	8-
		<input type="button" value="Save"/> <input type="button" value="Reset"/>	

- Enter an **Effective Date**.
- Enter an **Explanation** of the status change.
- Click **Save**.