



Financial Industry Regulatory Authority

Web CRD

Regulator Notifications

Regulator Notifications is the Web CRD® function that provides entitled regulators with the capability to request automatic e-mail reminders when certain events occur within individual and/or firm CRD records.

To Find Regulator Notifications:

To access the **Regulator Notifications** functionality logon to Web CRD at: <https://crd.finra.org>. Enter your user name and password, then proceed using the steps below.

There are two ways to access the functionality in Web CRD.

1. From the Notifications section of the Web CRD Site Map, click directly on the link for each specific notification type.

The screenshot shows the Web CRD Site Map. The top navigation bar includes links for CRD Main, IARD Main, Forms, Individual, Organization, Notifications, and Reports. Below this is a secondary navigation bar with Site Map and User Info. The main content area is organized into several sections: CRD Main (User Info, Blank Forms, FAQ, Release Notes, SRO/Jurisdiction Fee and Setting Schedule, Compliance Resource Providers, Certified EFS Vendors, Send Comments), Forms (Form U6, Create New U6 Filing, CRD Individual, Disclosure Only Individual, Disclosure Only Organization, CRD/IARD Organization, Pending U6 Filings, Historical U6 Filings), Individual (View Individual, Individual Search, Disclosure Only Individual Search, Non-Filing Info, NFI Individual Search), Organization (View Org, Organization Search, Disclosure Only Organization Search, Jurisdiction Acceptance Queues, Alert, Amend (Form BD), Manual Approval, Temporary Registrations, U5 Manual), and Organization Queues (Broker Dealer Withdrawal (BDW), Branch, Non Filing Branch). A red box highlights the 'Notifications' section, which contains links for Home (Agent Registration (Flag to Advise), Individual Disclosure Filing Received, Organization Disclosure Filing Received, Other Notifications).

OR

1. Click the **Notifications** tab on the toolbar.
2. On the next page, click the appropriate notification type from the left navigation panel.

The screenshot shows the Web CRD toolbar. The top navigation bar includes links for CRD Main, IARD Main, Forms, Individual, Organization, Notifications, and Reports. Below this is a secondary navigation bar with Home and Notifications. A red circle highlights the 'Notifications' tab. A yellow box at the bottom contains the text: 'Questions on Web CRD? Call Regulatory User Support at 240-386-4242 between 8 A.M and 8 P.M, ET, Monday-Friday.'

Regulator Notification Types

- ◊ **Agent Registration (Flag to Advise)** - This page allows authorized users to flag the CRD system, so that if a specified agent is filing any type of registration in that jurisdiction, the regulator will be automatically notified via e-mail.
- ◊ **Individual Disclosure Filing Received** - This page allows authorized users to flag the CRD system, so that if a filing containing new or amended disclosure is received for individuals selected by the regulator, the regulator will be automatically notified via e-mail.
- ◊ **Organization Disclosure Filing Received** - This page allows authorized users to flag the CRD system, so that if a filing containing new or amended disclosure is received for specified firms, the regulator will be automatically notified via e-mail.
- ◊ **Other Notifications** - This page allows users to elect to receive additional notifications. This page can also be used to update the regulator's email address in the CRD database.

Maintaining Regulator Notifications Information

Once the Notifications section has been accessed, authorized users are able to use the left navigation panel to select the type of notification to edit. If the regulator has already selected individuals or firms to receive notifications for, the existing selections will automatically display. The system also allows users to add and remove individuals or firms from the list of records that will generate notifications (sample screens follow).

Agent Registration (Flag to Advise)

1 Record(s) Found

Selected Individuals				
	Name	CRD#▲	SSN	Birth Date
Remove	[REDACTED]	[REDACTED]	XXX-XX-XXXX	View SSN

Individual Disclosure Filing Received

1 Record(s) Found

Selected Individuals				
	Name	CRD#▲	SSN	Birth Date
Remove	[REDACTED]	[REDACTED]	XXX-XX-XXXX	View SSN

Organization Disclosure Filing Received

<div style="border: 1px solid #ccc; padding: 5px; margin-bottom: 5px;"> <input style="width: 100%; height: 20px; border: none; margin-bottom: 2px;" type="text"/> Add Firm </div> <div style="border: 1px solid #ccc; padding: 2px 5px; border-radius: 5px; display: inline-block; background-color: #e0e0e0;">Clear</div>	<p style="margin: 0;">Firm CRD Number:</p>									
<p>1 Record(s) Found</p> <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th colspan="3" style="text-align: center;">Selected Firms</th> </tr> <tr> <th style="width: 10%;"></th> <th style="width: 20%; text-align: left;">Name</th> <th style="width: 10%; text-align: center;">CRD#▼</th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">Remove</td> <td style="text-align: left;">[REDACTED]</td> <td style="text-align: center;">[REDACTED]</td> </tr> </tbody> </table>		Selected Firms				Name	CRD#▼	Remove	[REDACTED]	[REDACTED]
Selected Firms										
	Name	CRD#▼								
Remove	[REDACTED]	[REDACTED]								

To request or remove any Other Notifications, check or uncheck the box next to the desired notification.

All Regulator Notifications are sent to the e-mail address that is entered in the Current E-Mail Address field on the Other Notifications page. To change the email address, update the field and click Save.

Other Notifications	
  Printer Friendly	
Notify	Type of Notification
<input checked="" type="checkbox"/>	When any firm changes its type of business
<input checked="" type="checkbox"/>	When the 6th or more customer complaint is filed against any individual
<input checked="" type="checkbox"/>	When another regulator updates an individual's registration status to Bar, Suspension, or Revoked
<input checked="" type="checkbox"/>	ADV-E completed with a termination statement.
<input checked="" type="checkbox"/>	ADV-E completed with qualified opinion.
E-Mail Address	
Current E-mail Address: <input type="text"/>	
Notifications will be delivered to you via e-mail.	
<input type="button" value="Save"/> <input type="button" value="Reset"/>	