

Web CRD

SEC Queues for Organizations

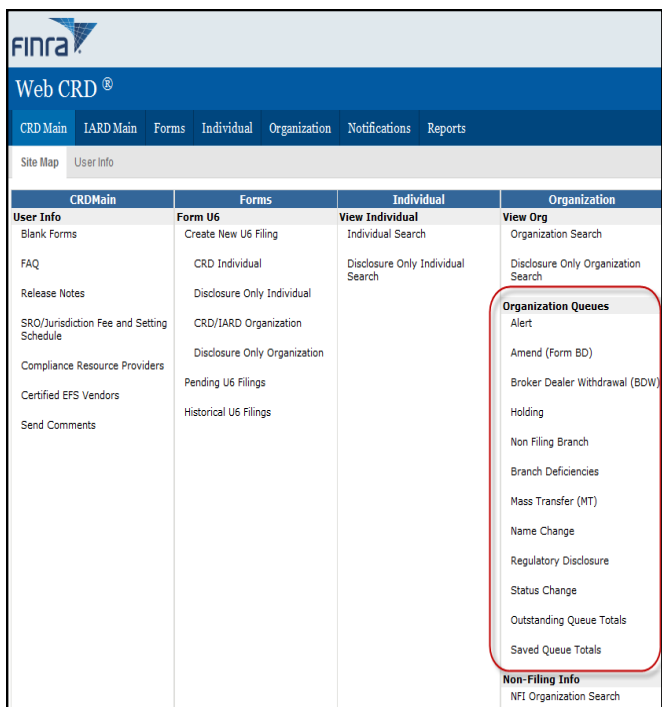
The **SEC Queues for Organizations** provide the mechanism for an SEC to receive notifications of broker-dealer form filings, registration status changes, outstanding filing deficiencies, disciplinary information and mass transfers, as well as, to identify changes in registration statuses. Access Web CRD® at <https://crd.finra.org>.

There are 2 ways to access **SEC Organization Queues** in Web CRD®:

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

OR

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



The screenshot shows the Web CRD Site Map. The 'Organization' tab is selected in the top navigation bar. The 'Organization' section is highlighted with a red box, showing a list of links including 'Organization Search', 'Disclosure Only Organization Search', 'Organization Queues', 'Alert', 'Amend (Form BD)', 'Broker Dealer Withdrawal (BDW)', 'Holding', 'Non Filing Branch', 'Branch Deficiencies', 'Mass Transfer (MT)', 'Name Change', 'Regulatory Disclosure', 'Status Change', 'Outstanding Queue Totals', and 'Saved Queue Totals'.



The screenshot shows the Web CRD toolbar. The 'Organization' tab is selected, and the 'Organization Queues' sub-menu is visible below it.

2. Click **Organization Queues** on the sub-menu.
3. Click a specific queue on the navigation bar.



The screenshot shows the 'Outstanding Notices' list. The list includes the following items: Alert, Amend (Form BD), Broker Dealer Withdrawal (BDW), Holding, Non Filing Branch, Branch Deficiencies, Mass Transfer (MT), Name Change, Regulatory Disclosure, Status Change, Outstanding Queue Totals, and Saved Queue Totals.

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

SEC Organization Queues

There are 11 types of SEC Organization Queues.

1. **Alert:** Lists notices on broker-dealers, who have not corrected deficiencies. There are 3 alert types: 30 day, 60 day and 90 day. Notices in this queue are automatically deleted after 120 days.
2. **Amend (Form BD):** Lists notices of Form BD filings submitted by firms that have an SEC a status of Approved, Conditional Pending SRO Approval, Holding, Pending Approval, Pending Withdrawal, Postponed, Termination Requested, Withdrawal Requested, or firms that are pending SEC approval.
3. **Broker-Dealer Withdrawal (Form BDW):** Lists notices of broker-dealer full withdrawal requests submitted. The status of these firms is Termination Requested or Pending Withdrawal. Notices in this queue are automatically deleted after 120 days.
4. **Holding:** Lists notices of broker-dealer filings for firms that have a registration status of Holding when the filing is submitted. Notices in this queue 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 SEC of deficiencies for each branch office.
7. **Mass Transfer (MT):** Lists notices of firms to be involved in a Mass Transfer. Users can change the status of any participating firm, as well as, approve or disapprove of the transfer. Notices in this queue are automatically deleted after 30 days.
8. **Name Change:** Lists notices of broker-dealer name changes. Notices in this queue are automatically deleted after 30 days.
9. **Regulatory Disclosure:** Lists notices of disciplinary actions taken by a regulator against a firm. Notices in this queue are automatically deleted after 30 days.
10. **Status Change:** Lists notices of changes in a firm's registration status. SEC regulators can see all changes that terminate broker-dealers, as well as, approvals of broker-dealers. Notices in this queue are automatically deleted after 30 days.
11. **Outstanding Queue Totals:** Lists all of the queues with the number of items in each queue.

Outstanding Notices
▪ Alert
▪ Amend (Form BD)
▪ Broker Dealer Withdrawal (BDW)
▪ Holding
▪ Non Filing Branch
▪ Branch Deficiencies
▪ Mass Transfer (MT)
▪ Name Change
▪ Regulatory Disclosure
▪ Status Change
▪ Outstanding Queue Totals

Working the Queues

In Outstanding Notices, you can:

- Sort the queue notices.
- Review notices.
- Change a registration status.
- 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.

B) To review only those notices assigned to you:

1. Click the **Starts With** radio button.
2. Enter the first few letters or all of your name.
3. Click **Display Queue**.


 Printer Friendly

Holding Notice Queue Search Criteria

Include Assignments

☒ All

☐ Only Unassigned

☐ Starts With

Select Sort Criteria

☐ Ascending

☒ Descending



Display Queue

C) You can sort by a specific criteria, in ascending or descending order:

- Assigned To
- Notice Date
- Filing Date
- CRD #
- SEC #
- Registration Status
- Organization Name

Working the Notice Queue

- Entitled users may assign queue items to staff by typing the staff member's name in the **Assigned To** field and clicking the **Save Updates** button.
- To remove an item from the queue, place a check mark in the **Remove** box and click the **Save Updates** button.
- Click the arrow in the gray box to display details of the Notice Queue selected for review.

  Printer Friendly

Holding Notice Queue

<<Previous Next>>
 Rows 1 to 3

Save Updates
Remove Page

Assigned To	Notice Date	Filing Date	CRD #	SEC #	Registration Status	Organization Name	Remove
<div style="border: 1px solid black; height: 20px; width: 100%;"></div>	> 10/27/2008	10/27/2008	0000		Holding	SECURITIES FIRM	<input type="checkbox"/>
<div style="border: 1px solid black; height: 20px; width: 100%;"></div>	> 10/27/2008	10/27/2008	1111		Holding	SECURITIES FIRM B	<input type="checkbox"/>
<div style="border: 1px solid black; height: 20px; width: 100%;"></div>	> 10/27/2008	10/27/2008	2222		Holding	SECURITIES FIRM C	<input type="checkbox"/>

Tips for Working a Holding Notice

Clicking on different areas of the screen allows you to perform the actions described below.

- Click the Firm's CRD number to view the firm's record in View Organization.
- Click the **Filing ID** number to view the electronic form filing. You can view each page of the form, all pages, or only the changes made on this filing. The changes appear in red.
- Click on a form section in **Sections Updated** to go to a specific updated section of the form. Click in the check box to indicate that the section has been reviewed.
- Click the **Current Auto Deficiencies** hyperlink to view details of the specified deficiency in **View Organization**. Click in the check box to indicate that you have reviewed that deficiency.
- Click **Send to Save** to remove the notice from the Outstanding Notices Queues and place it into the Saved Notices Queues.
- 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 **Reset** to delete any changes made since the last time any data was saved.
- Click **Delete** to remove an item from the queue.

- Click the **Registration Status** button to access the screen that changes the registration status of the firm. Clicking this button links you to the **Non Filing Information** section for Organizations.

Holding Notice													
Organization CRD#:	Organization Name: TEST PRIMARY BUSINESS NAME												
Organization SEC#:	Applicant Name: TEST APPLICANT NAME												
Notice ID - Notice Date	26633055 - 02/12/2015												
Assigned To													
Organization - Entity Type	- TEST PRIMARY BUSINESS NAME - Corporation												
Address	TEST STREET TEST CITY, MD 20850 USA												
Contact	TEST NAME												
Contact Phone	352-283-6733												
Filing ID - Filing Date	37450181 - 02/12/2015												
IRS Number - SEC Number	99-1234567 -												
Date Deficiencies Cleared													
Yes Answers	None												
Unanswered	None												
Types of Business	EMC EMF IDM BDR BDD												
Disclosure History	No												
Sections Updated	<input type="checkbox"/> Applicant Info <input type="checkbox"/> Arrangements <input type="checkbox"/> Control Affiliates <input type="checkbox"/> Disclosure Questions <input type="checkbox"/> Indirect Owners <input type="checkbox"/> Legal Status <input type="checkbox"/> Other Business <input type="checkbox"/> Direct Owners <input type="checkbox"/> Successions <input type="checkbox"/> SEC Registration <input type="checkbox"/> SRO/Jurisdiction Registrations <input type="checkbox"/> Types of Business												
Date Received	02/12/2015												
Current Auto Deficiencies	<input type="checkbox"/> PENDING REVIEW[916423]												
Current Manual Deficiencies													
Registration Status	<table border="1"> <tbody> <tr> <td>BX:</td> <td>02/12/2015</td> <td>- APPROVED</td> </tr> <tr> <td>FINRA:</td> <td>02/12/2015</td> <td>- APPROVED</td> </tr> <tr> <td>ISE:</td> <td>02/12/2015</td> <td>- APPROVED</td> </tr> <tr> <td>SEC:</td> <td>02/12/2015</td> <td>- APPROVED</td> </tr> </tbody> </table>	BX:	02/12/2015	- APPROVED	FINRA:	02/12/2015	- APPROVED	ISE:	02/12/2015	- APPROVED	SEC:	02/12/2015	- APPROVED
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Regulator Comments													
<div> <input type="button" value="Send To Save"/> <input type="button" value="Save Updates"/> <input type="button" value="Reset"/> <input type="button" value="Delete"/> <input type="button" value="Registration Status"/> </div>													

Changing a Firm's Registration Status


A change to a registration status must be performed through the Non-filing Info section in the NFI Organization queue. The Current Registration Summary screen displays the firm's current registration status.

To change a Registration Status complete the following steps:

1. Click the **Status Update** arrow to access the *Update Current Registration* screen.

Current Registration Summary


Organization CRD#: 0000 Organization Name: SECURITIES FIRM
 Organization SEC#: 8- Applicant Name: SECURITIES FIRM

Regulator	Status	Status Date
United States Securities and Exchange Commission	Update  HOLDING	10/27/2008

2. Click the **Status** arrow to change the firm's registration status.

Update Current Registration

Organization CRD#: 0000 Organization Name: SECURITIES FIRM
 Organization SEC#: 8- Applicant Name: SECURITIES FIRM

Regulator	United States Securities and Exchange Commission	
Status	Holding 	
Effective Date		
Explanation	Abandoned Approved Cancelled Conditional Pending SRO Approval Denied Holding Pending Approval Pending Withdrawal Postponed Effective Revoked Terminated Termination Requested Withdrawal Requested Withdrawn	
SEC Number		

Save Reset

3. Enter the **Effective Date** the status changed.
4. Enter an **Explanation** of the status, if any.
5. Click **Save**.