

About View Organization

View Organization is the “Read Only” function in CRD that provides entitled users with the capability of viewing information about registered organizations. Within View Organization, firms and regulators can access information that was submitted through the Initial Form BD, Form BD Amendment filings, and BDW filings.

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Access Web CRD

Web CRD can be accessed (2) ways:

1. FINRA Firm Gateway at → <https://firms.finra.org>, or
2. Directly at → <https://crd.finra.org>

Enter your **User ID** and **Password**.

If you access via FINRA Firm Gateway, click on the **Web CRD** tab.

Once you have accessed Web CRD, you may navigate through the system as needed.

Questions on Web CRD? Call the FINRA Gateway Call Center at 301-869-6699
8 A.M. - 8 P.M., ET, Monday through Friday.

Viewing Organization Information

There are two ways to access organization information:

From the Site Map, click the **Organization Search** hyperlink

OR

Click the **Organization** Tab from the Tool Bar.

The screenshot shows the FINRA Web CRD interface. At the top right, there are links for 'Change Password/Profile' and 'Log Out'. Below these, the user's name and 'Organization:' are displayed. The main navigation bar includes 'CRD Main', 'IARD Main', 'Forms', 'Individual', 'Organization' (highlighted with a red circle), 'Accounting', and 'Reports'. Below this, there is a 'Site Map' and 'User Info' section. The main content area is a grid of links organized into columns: CRD Main, Forms, Individual, Organization, Accounting, and Reports. In the 'Organization' column, the 'View Org' link and its sub-link 'Organization Search' are highlighted with red circles.

| CRD Main | Forms | Individual | Organization | Accounting | Reports |
|---|-----------------------------------|-----------------------------------|----------------------------|------------------------------|----------------|
| User Info | Form U4 | View Individual | View Org | Flex-Funding Account | Home |
| Blank Forms | Create New U4 Filing | Individual Search | Organization Search | Processed Transactions | Request Report |
| FAQ | Initial | Disclosure Only Individual Search | Branch Search | Funds Deficient Transactions | View Report |
| Release Notes | Amendment | Non-Filing Info | Organization Queues | Account Activity Summary | |
| SRO/Jurisdiction Fee and Setting Schedule | Concurrence | NFI Individual Search | Current Deficiencies | Deposit Detail | |
| Compliance Resource Providers | Page 2 Amendment for Schedule A/B | Firm Queues | Branch Status | Transfer Detail | |
| Certified EFS Vendors | Page 2 Initial for Schedule A/B | Continuing Education | Branch Deficiencies | Transaction Detail | |
| Send Comments | Dual | Approaching CE Requirement | Disclosure Letters | Bill Line Search | |
| | Relicense All | CE 2-Year Termed | SFG Retirement | Renewal Account | |
| | | CE Inactive | Withdrawal or Termination | Renewal Statement | |

If you are a firm user, searching for your own company, the Organization Search function will take you directly to the Applicant Information screen to begin viewing your company's information.

Viewing Organization Information (Continued)

If you are a regulator user, the Organization Search function will take you to a search screen and you will need to specify the firm you wish to view.

To conduct a **Simple Search** enter the **Organization's CRD/IARD#, SEC Number** or **Name** and click the **Search** button.

? Printer Friendly

CRD/IARD Organization Search

Simple Search
Advanced Search

Search For: Search

OR

To conduct an Advanced Search enter a combination of the **Organization's CRD/IARD#, SEC Number**, and/or **Name**. In addition you can select **Exclude IARD-Only Firms**, **Include Branch Other Names**, **Include Only Active FINRA Registered Firms** and/or select the appropriate **States**. Click the **Search** button.

? Printer Friendly

CRD/IARD Organization Search

Simple Search
Advanced Search

Search by CRD/IARD Number

CRD/IARD Number:

Search by SEC Number

SEC Number: 8 801/802

Search by Name and Main Office Location

Firm Name: Sounds Like

Exclude IARD-Only Firms:

Include Branch Other Name:

Include Only Active FINRA Registered Firms:

States:

- Alabama
- Alaska
- Arizona
- Arkansas
- California
- Colorado
- Connecticut
- Delaware
- District of Columbia

Search

View Organization Information (Continued)

To view the specific Organization Information sections, select the appropriate link for the left navigation panel:

Applicant Information section includes: Main Address, Mailing Address, Contact Information, Business Telephone Number, IRS Employer ID No., and a FINRA District assignment.

Registration Status section includes the firm's Registration Status and Status Effective Date for SEC/SRO/Jurisdictions.

Legal Status section includes: a firm's Legal Status (e.g., Corporation, Partnership, etc.), the month a firm's fiscal year ends, State/Country of Formation and Date of Formation.

Answers to Questions section includes all answers to non-disclosure and disclosure questions.

Types of Business section includes descriptions of businesses in which the Firm is involved.

Direct Owners/Executive Officers is also known as Schedule A of Form BD. Schedule A add or update the applicant's Direct Owners/Executive Officers information.

Indirect Owners is also known as Schedule B of Form BD. Schedule B is used to add or update the applicant's Indirect Owners information. Amendments to Schedule B are filed on Schedule C.

Other Business Names section includes a list of Names that an applicant may be using to conduct other business and the jurisdiction(s) in which the other name(s) is used.

Other Business Description section includes a description of any Other Business, including non-securities business, the applicant conducts.

Organization Names section includes a list of names that the firm has used.

Succession section reflects firm's succession history.

Introducing Arrangements section includes: a Name, CRD#, Business Address, Effective Date and description of clearing arrangements.

Custody and Clearing Arrangements section includes arrangements with others to keep or maintain the firm's books or records, or the accounts, funds or securities of the firm or its customers.

Financial and Control Arrangements section includes financial or control arrangements with individuals or entities outside the firm.

Affiliates section includes information on Control Business Affiliates and/or Control Bank Affiliates.

Form BR Branch Offices section includes Branch Composite, Branch Registration/Notice Filing Status, Branch Deficiencies, Currently Associated Individuals, Branch Address History, Supervisor/Person-In-Charge History and Branch Office Filing History information.

(See the [Form BR Quick Reference Guide](#) for information on viewing branch information.)

View Organization Information (Continued)

Schedule E Branch Offices section includes a search for branch offices, and provides information filed on Schedule E of Form BD. Filing of Schedule E was retired in October 2005 and replaced by Form BR. This section is used for viewing historical Schedule E information.

Disclosures section includes disclosure information for the applicant, or, one or more of the control affiliates for the applicant.

Filing History section includes the type of filing created and any changes.

Document Listing section includes a search for imaged documents.

Deficiencies section includes: deficiencies for the firm and "Page 2 of Form U4" deficiencies (i.e., deficiencies in information required to be reported relating to Owners/Executive Officers, and/or Indirect owners that are not required to be registered).

Legacy Information section includes: Branch Offices, Filing History, DI Information (Form U6 DRP's), and DE Information (Form BD DRP's and/or Schedule D) as it appeared in the Legacy CRD System prior to August 1999. Note: Legacy CRD information has not been updated since August 1999.

Request Snapshot provides the capability to request a report that contains a comprehensive set of administrative/disclosure data for the firm. The report includes Current Administrative Information, Current Reportable Disclosure Information and Current Non-Reportable Disclosure Information.

Non-Filing Information gives firms the ability to view and update information without submitting a form filing. Firms can maintain contact information that is not a part of the Form BD filing process and is used by the Registration and Disclosure Department for CRD issues. Firms can view organization name changes and whether the changes were due to corrections. Firms can view mass transfer information relating to their firm, type of transfer and effective date. Firms can also maintain NYSE Branch Code Numbers. For detailed steps how to use Non-Filing Information, see Chapter 9, organization Non-Filing Information.

Viewing Organization Registration Status

Click **Registration Status** from the Navigation Bar.

View Organization

- Applicant Information
- **Registration Status**
- Legal Status
- Answers to Questions
- Types of Business
- Direct Owners/Executive Officers
- Indirect Owners
- Other Business Names
- Other Business Description
- Organization Names

To view Organization Registration Status History, click on the desired **SEC/SRO/Jurisdiction** hyperlink.

? Printer Friendly

View Organization

- Applicant Information
- **Registration Status**
- Legal Status
- Answers to Questions
- Types of Business
- Direct Owners/Executive Officers
- Indirect Owners
- Other Business Names
- Other Business Description

Organization Registration Status

Organization CRD#: [0000](#) Organization Name: SECURITIES FIRM

Organization SEC#: Applicant Name: SECURITIES FIRM

[View IA Record](#)

| SEC / SRO / Jurisdiction | Registration Status | Status Effective Date |
|--------------------------|---------------------|-----------------------|
| SEC | Approved - | 04/26/1941 |
| FINRA | Approved - | 10/16/1939 |
| NOX | Approved - | 07/12/2006 |
| ARCA | Terminated - | 03/10/1993 |
| AL | Approved - | 10/23/1981 |
| AK | Approved - | 06/26/1986 |

You can see the history of the desired SEC/SRO/Jurisdiction

? Printer Friendly

Organization Registration Status History

Organization CRD#: [0000](#)

Organization Name: SECURITIES FIRM

Organization SEC#:

Applicant Name: SECURITIES FIRM

[View IA Record](#)

| SRO/SEC/Jurisdiction | Registration Status | Status Effective Date | Changed By |
|----------------------|---------------------|-----------------------|------------|
| FINRA | APPROVED | 10/16/1939 | USERID |

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Registration Statuses

| Registration Status Type | Description | Regulator |
|---|---|------------------------|
| Abandoned | A status used by the SEC and states to indicate a BD application is no longer active. This occurs when the SEC registration request has been in a HOLDING status for more than a year or when information for the firm has not been submitted to a state within the time period specified by the state. The firm cannot conduct business. | SEC, State |
| Approved | A status indicating the registration is approved. | SEC, FINRA, SRO, State |
| Cancelled | A status indicating the registration was cancelled. Cancellations generally occur when a firm fails to meet certain regulatory obligations (e.g., failure to pay fees, failure to file reports, etc.). | SEC, FINRA, SRO, State |
| Conditional Pending SRO Approval | A status used by the SEC to indicate its review of the BD application is complete and the SEC registration approval is contingent on the firm being approved by an SRO. | SEC |
| Conditional Restricted | A status indicating the registration is approved but with limits, conditions or restrictions. | SRO, State |
| Denied | A status indicating the registration request was denied. | SEC, FINRA, SRO, State |
| Expelled | A status indicating the registration has been expelled based on a disciplinary decision or unpaid fees. | SEC, SRO, State |
| Failed to Renew | A status indicating the firm was terminated for not paying renewal fees. | State |
| Holding | An initial SEC status set by a BD form filing indicating a BD application has been submitted and is pending review. | SEC |
| Limited | A status indicating the registration is approved but with limits, conditions or restrictions. | SRO, State |
| Liquidated | A status indicating a SIPC liquidation of a firm. | FINRA, SRO, State |
| No Status | An initial jurisdiction/SRO status set by a BD form filing indicating a BD application has been submitted and is pending review. | SRO, State |
| Pending Approval | An initial FINRA status set by a BD form filing indicating a BD application has been submitted and is pending review. This status is also used by regulators to reflect a pending registration request. | SEC, FINRA, SRO, State |
| Pending Withdrawal | A status set by the SEC after reviewing a BDW filing and determining that the filing is complete and will become effective within 60 days. The firm's registration remains approved until the withdrawal is made effective. | SEC |
| Postponed Effective | A status set by the SEC indicating it has delayed the effectiveness of a registration approval or termination request. | SEC |
| Receivership | A status indicating that a firm is in SIPC receivership. This status that can be applied to firms that are Active or Approved Equivalent. The Receivership status is a non-renewable status. | FINRA |

Registration Statuses (Continued)

| | | |
|------------------------------|---|-------------------------------|
| Revoked | A status indicating the registration status was rescinded due to a revocation order. | FINRA, SRO |
| Suspended | A status indicating that a firm's registration has been suspended. | FINRA, SRO, State |
| Terminated | A status indicating termination requested via a BDW form filing has been approved and made effective. | SEC, FINRA, SRO, State |
| Termination Requested | A status indicating that a firm with an approved registration has requested termination via a BDW form filing. The firm's registration remains approved until the termination is made effective. | SEC, FINRA, SRO, State |
| Withdrawal Requested | A status indicating that a firm with a pending registration request (i.e., not yet approved) has requested termination via a BDW form filing. The firm's registration request remains pending with the withdrawal request reflected until the termination is accepted and made effective. | FINRA, SEC, SRO, State, |
| Withdrawn | A status indicating the registration request was withdrawn prior to a registration approval being granted. | SEC, FINRA, SRO, State |

Viewing Organization Direct Owners/Executive Officers or Indirect Owners:

Click **Direct Owners/Executive Officers** or **Indirect Owners** from the Navigation Bar:



NOTE: The example below displays the Direct Owners/Executive Officers screen.

| View Organization | | Direct Owners/Executive Officers | | | | | | |
|---|-------------------------------|---|----------------------|------------------------------------|----------------|--------------------------|-------------------------|--|
| <ul style="list-style-type: none"> ▪ Applicant Information ▪ Registration Status ▪ Legal Status ▪ Answers to Questions ▪ Types of Business ▪ Direct Owners/Executive Officers ▪ Indirect Owners ▪ Other Business Names ▪ Other Business Description ▪ Organization Names ▪ Succession | | Organization CRD#: 0000 | | Organization Name: SECURITIES FIRM | | | | |
| | | Organization SEC#: | | Applicant Name: SECURITIES FIRM | | | | |
| | | View IA Record | | | | | | |
| Full Legal Name | Domestic, Foreign, Individual | Status | Date Status Acquired | Ownership Code | Control person | Public Reporting Company | CRD#, EIN, SSN, IRS# | |
| PARTNER SECURITIES FIRM | Domestic Entity | GENERAL PARTNER | 08/1987 | 5% but less than 10% | Y | N | 1111 | |
| DOE, JOHN | Individual | CHIEF FINANCIAL OFFICER | 03/1995 | Less than 5% | N | N | 1111111 | |
| DOE, JANE | Individual | CHIEF OPERATIONS OFFICER | 05/1998 | Less than 5% | N | N | 2222222 | |

If the individual has a CRD# or SSN listed, click the hyperlink to access the individual’s record. In addition, entitlement is required to view Social Security Numbers (SSNs) in Web CRD and IARD. For users who do not have this entitlement, SSNs will display as “xxx-xx-xxx” throughout the system. Click the SSN or “xxx-xx-xxxx” hyperlink to access the individual’s record.

Close the second browser.

NOTE: Indirect Owners of Form BD has the same format.

Viewing Organization Disclosures

Click **Disclosures** from the Navigation Bar.

- Form BR Branch Offices
- Schedule E Branch Offices
- **Disclosures**
- Filing History
- Document Listing
- Deficiencies
- Legacy Information
- Request Snapshot
- Non-Filing Information

NOTE: Current Disclosures and Reg. Arc. And Z Rec. (non-reportable) has the same format with the same hyperlinks. The following is an example of Current Disclosures:

Click the **Occurrence ID number** hyperlink.

| View Organization | | Current Disclosure Summary | | | | | ? | Printer Friendly | |
|--|-------------------------|---|---|------------------------------------|------------|--------------------|---------------|------------------|--|
| <ul style="list-style-type: none"> ▪ Back To Previous Menu ▪ Current Disclosures ▪ Reg. Arc and Z Rec. | | Organization CRD#: 0000 | | Organization Name: SECURITIES FIRM | | | | | |
| | | Organization SEC#: | | Applicant Name: SECURITIES FIRM | | | | | |
| | | View IA Record | | | | | | | |
| Occurrence | Reportable/ Disclosable | | Composite Filing | | Event Date | Questions Answered | Filed Against | | |
| Regulatory Action (1419775) | Yes | Yes | U6-REGORG 09/16/2008 | FINRA | 09/12/2008 | | | | |
| | | | BD-AMENDMENT 09/23/2008 | | 09/12/2008 | 11E2 | Applicant | | |
| Regulatory Action (1332560) | Yes | Yes | U6-REGORG 12/12/2006 | FINRA | 12/11/2006 | | | | |
| | | | BD-AMENDMENT 12/18/2006 | | 01/01/2002 | 11E2 | Applicant | | |
| Regulatory Action (1294983) | Yes | Yes | BD-AMENDMENT 03/06/2006 | | 10/01/2004 | 11D2 | Applicant | | |

Viewing Organization Disclosures (Continued)

NOTE: A second browser will open where the user can view a composite of the BD DRP and the U6 DRP, if those DRPs exist for the occurrence.

| View Organization | | | | Disclosure Occurrence Composite | | | |
|---|-----------------------|---|------------------------------------|---------------------------------|--------|--|--|
| ▪ | Back To Previous Menu | Organization CRD#: 0000 | Organization Name: SECURITIES FIRM | | | | |
| ▪ | Current Disclosures | Organization SEC#: | Applicant Name: SECURITIES FIRM | | | | |
| ▪ | Reg. Arc and Z Rec. | View IA Record | | | | | |
| Occurrence | | 1419775 | | | | | |
| Disclosure | | Regulatory Action | | | | | |
| Publicly Disclosable | | Yes | | | | | |
| Reportable | | Reportable | | | Reason | | |
| | | Yes | | | | | |
| Latest Filings | | Filing | Event Date | Questions Answered | | | |
| | | BD 09/23/2008 | 09/12/2008 | 11E2 | | | |
| | | U6 09/16/2008 | 09/12/2008 | | | | |
| Last Review | | 09/24/2008 | | | | | |
| Comments | | | | | | | |
| BD - REGULATORY ACTION DRP | | | | | | | |
| This Disclosure Reporting Page (DRP BD) is an <input checked="" type="radio"/> INITIAL OR <input type="radio"/> AMENDED response used to report details for affirmative responses to <i>Items 11C, 11D, 11E, 11F or 11G</i> of Form BD; | | | | | | | |
| Check item(s) being responded to: | | | | | | | |
| Regulatory Action | | | | | | | |

OR

On the *Disclosure Summary* screen, click the filing type hyperlink in the **Composite Filing** column (e.g., [BD-AMENDMENT](#))

| View Organization | | | | Current Disclosure Summary | | | |
|--|-------------------------|---|--|----------------------------|------------|--------------------|---------------|
| ▪ | Back To Previous Menu | Organization CRD#: 0000 | Organization Name: SECURITIES FIRM | | | | |
| ▪ | Current Disclosures | Organization SEC#: | Applicant Name: SECURITIES FIRM | | | | |
| ▪ | Reg. Arc and Z Rec. | View IA Record | | | | | |
| Occurrence | Reportable/ Disclosable | | Composite Filing | | Event Date | Questions Answered | Filed Against |
| Regulatory Action (1419775) | Yes | Yes | U6-REGORG 09/16/2008 | FINRA | 09/12/2008 | | |
| | | | BD-AMENDMENT 09/23/2008 | | 09/12/2008 | 11E2 | Applicant |
| Regulatory Action (1332560) | Yes | Yes | U6-REGORG 12/12/2006 | FINRA | 12/11/2006 | | |
| | | | BD-AMENDMENT 12/18/2006 | | 01/01/2002 | 11E2 | Applicant |
| Regulatory Action (1294983) | Yes | Yes | BD-AMENDMENT 03/06/2006 | | 10/01/2004 | 11D2 | Applicant |

Viewing Organization Disclosures (Continued)

NOTE: CRD displays the entire filing in a second browser.

| | |
|--|---|
| <div style="background-color: #4F81BD; color: white; padding: 2px; text-align: center; font-weight: bold;">View Filing Options</div> <ul style="list-style-type: none"> View Changes on Filing View Only Sections Changed <div style="background-color: #4F81BD; color: white; padding: 2px; text-align: center; font-weight: bold;">View History</div> <ul style="list-style-type: none"> Page 1 Page 2 Page 3 Page 4 Page 5 Schedule A Schedule B Schedule C Schedule D Schedule E All Open Branches DRPs All Pages | <div style="background-color: #D3D3D3; padding: 2px;"> Primary Business Name: SECURITIES FIRM BD Number: 0000 </div> <div style="background-color: #D3D3D3; padding: 2px;"> BD - AMENDMENT 09/23/2008 </div> <div style="background-color: #D3D3D3; padding: 2px; text-align: center; font-weight: bold;"> BD - APPLICANT INFORMATION </div> <div style="padding: 2px;"> OMB Number3235-0012 </div> <div style="padding: 2px;"> Expires.....November 30, 2010 Estimated average burden hours per: Response.....2.75 Amendment.....0.33 </div> <div style="padding: 2px; font-size: small;"> WARNING: Failure to keep this form current and to file accurate supplementary information on a timely basis, or the failure to keep accurate books and records or otherwise to comply with the provisions of law applying to the conduct of business as a broker-dealer would violate the Federal securities laws and the laws of the <i>jurisdictions</i> and may result in disciplinary, administrative, injunctive or criminal action. </div> <div style="padding: 2px; font-weight: bold;"> INTENTIONAL MISSTATEMENTS OR OMISSIONS OF FACTS MAY CONSTITUTE CRIMINAL VIOLATIONS. </div> <div style="padding: 2px; text-align: center;"> <input type="radio"/> APPLICATION <input checked="" type="radio"/> AMENDMENT </div> <div style="padding: 2px;"> 1. Exact name, principal business address, mailing address, if different, and telephone number of <i>applicant</i>: A. Full name of <i>applicant</i>(if sole proprietor, state last, first and middle name): SECURITIES FIRM B. IRS Empl. Ident. No.: </div> |
|--|---|

OR

On the *Disclosure Summary* screen, click the **Date** hyperlink to view the DRP

| <div style="background-color: #4F81BD; color: white; padding: 2px; text-align: center; font-weight: bold;">View Organization</div> <ul style="list-style-type: none"> Back To Previous Menu Current Disclosures Reg. Arc and Z Rec. | <h3>Current Disclosure Summary</h3> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|---|--|------------|--|------------|------------|--------------------|------------|--------------------|---------------|---------------|-----|--------|------------|--|-----|-----|--|------------|--|--|--|--|--|--|--|------------|------|--|-----------|--|-----|-----|--|------------|--|--|--|--|--|--|--|------------|------|--|-----------|--|-----|-----|--|------------|------|--|-----------|
| <div style="background-color: #D3D3D3; padding: 2px;"> Organization CRD#: 0000 Organization Name: SECURITIES FIRM </div> <div style="background-color: #D3D3D3; padding: 2px;"> Organization SEC#: Applicant Name: SECURITIES FIRM </div> <div style="padding: 2px;"> View IA Record </div> | <table border="1" style="width: 100%; border-collapse: collapse; font-size: small;"> <thead> <tr> <th rowspan="2">Occurrence</th> <th colspan="2">Reportable/ Disclosable</th> <th colspan="2">Composite</th> <th rowspan="2">Event Date</th> <th rowspan="2">Questions Answered</th> <th rowspan="2">Filed Against</th> </tr> <tr> <th>Yes</th> <th>Yes</th> <th>Filing</th> <th>Event Date</th> </tr> </thead> <tbody> <tr> <td>Regulatory Action (1419775)</td> <td>Yes</td> <td>Yes</td> <td>U6-REGORG 09/16/2008 FINRA</td> <td>09/12/2008</td> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td></td> <td></td> <td>BD-AMENDMENT 09/23/2008</td> <td>09/12/2008</td> <td>11E2</td> <td></td> <td>Applicant</td> </tr> <tr> <td>Regulatory Action (1332560)</td> <td>Yes</td> <td>Yes</td> <td>U6-REGORG 12/12/2006 FINRA</td> <td>12/11/2006</td> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td></td> <td></td> <td>BD-AMENDMENT 12/18/2006</td> <td>01/01/2002</td> <td>11E2</td> <td></td> <td>Applicant</td> </tr> <tr> <td>Regulatory Action (1294983)</td> <td>Yes</td> <td>Yes</td> <td>BD-AMENDMENT 03/06/2006</td> <td>10/01/2004</td> <td>11D2</td> <td></td> <td>Applicant</td> </tr> </tbody> </table> | Occurrence | Reportable/ Disclosable | | Composite | | Event Date | Questions Answered | Filed Against | Yes | Yes | Filing | Event Date | Regulatory Action (1419775) | Yes | Yes | U6-REGORG 09/16/2008 FINRA | 09/12/2008 | | | | | | | BD-AMENDMENT 09/23/2008 | 09/12/2008 | 11E2 | | Applicant | Regulatory Action (1332560) | Yes | Yes | U6-REGORG 12/12/2006 FINRA | 12/11/2006 | | | | | | | BD-AMENDMENT 12/18/2006 | 01/01/2002 | 11E2 | | Applicant | Regulatory Action (1294983) | Yes | Yes | BD-AMENDMENT 03/06/2006 | 10/01/2004 | 11D2 | | Applicant |
| Occurrence | Reportable/ Disclosable | | Composite | | Event Date | Questions Answered | | | | Filed Against | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | Yes | Yes | Filing | Event Date | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Regulatory Action (1419775) | Yes | Yes | U6-REGORG 09/16/2008 FINRA | 09/12/2008 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | | | BD-AMENDMENT 09/23/2008 | 09/12/2008 | 11E2 | | Applicant | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Regulatory Action (1332560) | Yes | Yes | U6-REGORG 12/12/2006 FINRA | 12/11/2006 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | | | BD-AMENDMENT 12/18/2006 | 01/01/2002 | 11E2 | | Applicant | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Regulatory Action (1294983) | Yes | Yes | BD-AMENDMENT 03/06/2006 | 10/01/2004 | 11D2 | | Applicant | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

Viewing Organization Disclosures (Continued)

NOTE: CRD displays the *Disclosure Form History* screen in a second browser.

| Disclosure Form History | |
|--|---|
| Organization CRD #: 0000 | Organization Name: SECURITIES FIRM |
| Organization SEC #: | Applicant Name: SECURITIES FIRM |
| U6 - REGORG 09/16/2008 | |
| Rev. Form U6 (06/2003) | |
| U6 - REGULATORY ACTION DRP | |
| This Disclosure Reporting Page is an <input checked="" type="radio"/> INITIAL OR <input type="radio"/> AMENDED | |
| Regulatory Action | |
| 1. | Regulatory Action initiated by: <input type="radio"/> SEC <input type="radio"/> Other Federal <input type="radio"/> State <input checked="" type="radio"/> SRO <input type="radio"/> Foreign (Full name of regulator, foreign financial regulatory authority, federal, state, SRO, or commodities exchange) FINRA |
| 2. | Principal Sanction/Relief Sought: Other Sanctions/Relief Sought: |
| 3. | Date Initiated (MM/DD/YYYY): 09/12/2008 <input checked="" type="radio"/> Exact <input type="radio"/> Explanation |

Close the second browser to return to the main View Organization menu.

Viewing Organization Filing History

Click **Filing History** from the Navigation Bar.

- Form BR Branch Offices
- Schedule E Branch Offices
- Disclosures
- **Filing History**
- Document Listing
- Deficiencies
- Legacy Information
- Request Snapshot
- Non-Filing Information

Select the **All** or **Exclude Schedule E** radio button, type a date range, click the **Sort/Select** button and then click a **Filing ID** hyperlink

? Printer Friendly

Organization Form Filing History

| | |
|-------------------------|--|
| Organization CRD#: 0000 | Organization Name: SECURITIES FIRM, INC. |
| Organization SEC#: | Applicant Name: SECURITIES FIRM, INC. |

[View IA Record](#)

Include: All Exclude Schedule E

Filing Date: From Date: To Date:

| Filing ID | Form Type | Filing Type | Filing Date | Section Changed |
|--------------------------|-----------|-------------|-------------|---|
| 26728514 | BD | AMENDMENT | 02/18/2010 | Direct Owners |
| 26725650 | BD | AMENDMENT | 12/15/2009 | Applicant Info |
| 24158480 | BD | AMENDMENT | 11/13/2008 | SRO/Jurisdiction Registrations |
| 24146396 | BD | AMENDMENT | 11/11/2008 | SRO/Jurisdiction Registrations |
| 24146335 | BDW | PARTIAL | 11/11/2008 | Applicant Information, Registration, Financial Liabilities, Disclosure Questions, Custodian Information |

Viewing Organization Filing History (Continued)

NOTE: A second browser opens where a user can view or print an entire Form BD filing, specific pages, schedules or DRPs.

Click the desired **View Form Pages** section (including **View Changes on Filing** or **View Only Sections Changed**) from the Navigation Bar.

| | |
|--|---|
| ? Printer Friendly | |
| View Filing Options | Primary Business Name: SECURITIES FIRM BD Number: 0000 BD - AMENDMENT 09/23/2008 |
| <ul style="list-style-type: none"> • View Changes on Filing • View Only Sections Changed | |
| View History | BD - APPLICANT INFORMATION |
| <ul style="list-style-type: none"> • Page 1 • Page 2 • Page 3 • Page 4 • Page 5 • Schedule A • Schedule B • Schedule C • Schedule D • Schedule E • All Open Branches • DRPs • All Pages | OMB Number3235-0012 Expires.....November 30, 2010 Estimated average burden hours per: Response.....2.75 Amendment.....0.33 WARNING: Failure to keep this form current and to file accurate supplementary information on a timely basis, or the failure to keep accurate books and records or otherwise to comply with the provisions of law applying to the conduct of business as a broker-dealer would violate the Federal securities laws and the laws of the <i>jurisdictions</i> and may result in disciplinary, administrative, injunctive or criminal action. INTENTIONAL MISSTATEMENTS OR OMISSIONS OF FACTS MAY CONSTITUTE CRIMINAL VIOLATIONS. <div style="text-align: center;"> <input type="radio"/> APPLICATION <input checked="" type="radio"/> AMENDMENT </div> 1. Exact name, principal business address, mailing address, if different, and telephone number of <i>applicant</i> : A. Full name of applicant (if sole proprietor, state last, first and middle name): SECURITIES FIRM B. IRS Empl. Ident. No.: |

The changes appear in red if **View Changes on Filing** section was chosen.

8. Current status ? Pending On Appeal Final

9. If on appeal, regulatory action appealed to: (SEC, SRO, Federal or State Court) and Date Appeal Filed:

If Final or On Appeal, complete all items below. For Pending Actions, complete Item 13 only.

10. How was matter resolved:
Acceptance, Waiver & Consent(AWC)

11. Resolution Date (MM/DD/YYYY):
09/12/2008 Exact Explanation
 If not exact, provide explanation:

12. **Resolution Detail:**

A. Were any of the following Sanctions Ordered? (Check all appropriate items):

| | |
|--|---|
| <input checked="" type="checkbox"/> Monetary/Fine | Amount: \$ 10,000.00 |
| <input type="checkbox"/> Revocation/Expulsion/Denial | <input type="checkbox"/> Disgorgement/Restitution |
| <input checked="" type="checkbox"/> Censure | <input type="checkbox"/> Cease and Desist/Injunction |
| <input type="checkbox"/> Bar | <input type="checkbox"/> Suspension |

B. Other Sanctions Ordered:

C. Sanction detail: if suspended, *enjoined* or barred, provide duration including start date and capacities affected (General Securities Principal, Financial Operations Principal, etc.). If requalification by exam/retraining was a condition of the sanction, provide length of time given to requalify/retrain, type of exam required and whether condition has been satisfied. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide total amount, portion levied against *applicant* or *control affiliate*, date paid and if any portion of penalty was waived:
WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, THE FIRM IS CENSURED AND FINED \$10,000.

Viewing Organization Filing History (Continued)

OR

Click the desired **View History** (Including pages 1-5, Schedule A – E, All Open Branches, DRPs or All Pages) from the Navigation Bar.

| | |
|--|---|
| Printer Friendly | |
| View Filing Options | Primary Business Name: SECURITIES FIRM BD Number: 0000 BD - AMENDMENT 09/23/2008 |
| <ul style="list-style-type: none"> ▪ View Changes on Filing ▪ View Only Sections Changed | BD - APPLICANT INFORMATION |
| View History | OMB Number3235-0012 Expires.....November 30, 2010 Estimated average burden hours per: Response.....2.75 Amendment.....0.33 |
| <ul style="list-style-type: none"> ▪ Page 1 ▪ Page 2 ▪ Page 3 ▪ Page 4 ▪ Page 5 ▪ Schedule A ▪ Schedule B ▪ Schedule C ▪ Schedule D ▪ Schedule E ▪ All Open Branches ▪ DRPs ▪ All Pages | <p>WARNING: Failure to keep this form current and to file accurate supplementary information on a timely basis, or the failure to keep accurate books and records or otherwise to comply with the provisions of law applying to the conduct of business as a broker-dealer would violate the Federal securities laws and the laws of the <i>jurisdictions</i> and may result in disciplinary, administrative, injunctive or criminal action.</p> <p>INTENTIONAL MISSTATEMENTS OR OMISSIONS OF FACTS MAY CONSTITUTE CRIMINAL VIOLATIONS.</p> <p style="text-align: center;"> <input type="radio"/> APPLICATION <input checked="" type="radio"/> AMENDMENT </p> <p>1. Exact name, principal business address, mailing address, if different, and telephone number of <i>applicant</i>:</p> <p>A. Full name of applicant(if sole proprietor, state last, first and middle name): SECURITIES FIRM</p> <p>B. IRS Empl. Ident. No.:</p> |

Close the second browser.

NOTE: When viewing Filing History, filings with July 1999 dates is a conversion filing that was created when the CRD information was converted from the Legacy CRD system to the Web CRD system. Check Legacy Filing History for the actual filing Information.

Viewing Organization Deficiencies

Click **Deficiencies** from the Navigation Bar.

NOTE: Organization Deficiencies and Page 2 Deficiencies have the same format with the same hyperlinks. The following is an example of Organization Deficiencies

- Schedule E Branch Offices
- Disclosures
- Filing History
- Document Listing
- **Deficiencies**
- Legacy Information
- Request Snapshot
- Non-Filing Information

Click the **All** or **Outstanding** radio buttons and click the **Sort/Select** button.

? Printer Friendly

Organization Deficiencies

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

[View IA Record](#)

Include These Deficiencies: All Outstanding

Sort By: Deficiency ▼ Ascending Descending

Sort/Select

| Deficiency | Date Set | Deficiency Filing | Deficiency Status |
|--|------------|--|-------------------|
| There are one or more deficient Schedule A or Schedule B members of this firm. | 11/03/2008 | BD - AMENDMENT 11/03/2008 | Outstanding |

Viewing Organization Deficiencies (Continued)

Click the **Deficiency** hyperlink:

Printer Friendly

Organization Deficiencies

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

[View IA Record](#)

Include These Deficiencies: All Outstanding

Sort By: Deficiency Ascending Descending

| Deficiency | Date Set | Deficiency Filing | Deficiency Status |
|--|------------|--|-------------------|
| There are one or more deficient Schedule A or Schedule B members of this firm. | 11/03/2008 | BD - AMENDMENT 11/03/2008 | Outstanding |

The *Deficiency Detail* screen opens:

Printer Friendly

Organization Deficiency Detail

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

[View IA Record](#)

| | |
|--------------------------------|--|
| Deficiency ID: | 755552 |
| Filing ID: | 23998677 |
| Occurrence ID: | |
| Disclosure Type: | |
| Date Set: | 11/03/2008 |
| Set By: | OPM AUTOMATED PROCESSING |
| Date Cleared: | |
| Cleared By: | |
| Reason for Clearing: | |
| Deficiency: | PAGE2 - There are one or more deficient Schedule A or Schedule B members of this firm. |
| Form Type: | BD |
| Filing Type: | AMENDMENT |
| Form Section: | BD/BDW FILING |
| Form Item: | NONE |
| Additional Information: | There are one or more deficient Schedule A or Schedule B members of this firm. |

Viewing Organization Deficiencies (Continued)

OR

Click the **Deficiency Filing** hyperlink from the *Branch Deficiencies* screen or click the **Filing ID** hyperlink from the *Deficiency Detail* screen.

| Organization Deficiencies | | | |
|--|---|---|-------------------|
| Organization CRD#: 0000 | Organization Name: SECURITIES FIRM | | |
| Organization SEC#: | Applicant Name: SECURITIES FIRM | | |
| View IA Record | | | |
| Include These Deficiencies: <input type="radio"/> All <input checked="" type="radio"/> Outstanding | | | |
| Sort By: Deficiency <input type="radio"/> Ascending <input checked="" type="radio"/> Descending | | | |
| <input type="button" value="Sort/Select"/> | | | |
| Deficiency | Date Set | Deficiency Filing | Deficiency Status |
| There are one or more deficient Schedule A or Schedule B members of this firm. | 11/03/2008 | BD - AMENDMENT 11/03/2008 | Outstanding |

NOTE: The *BD-Application Information* screen opens in a second browser. A user can view or print an entire BD filing, specific pages, schedules or DRPs and close the second browser.

| View Filing Options | |
|---|--|
| <input type="checkbox"/> View Changes on Filing | |
| <input type="checkbox"/> View Only Sections Changed | |
| View History | |
| <input checked="" type="checkbox"/> Page 1 | |
| <input type="checkbox"/> Page 2 | |
| <input type="checkbox"/> Page 3 | |
| <input type="checkbox"/> Page 4 | |
| <input type="checkbox"/> Page 5 | |
| <input type="checkbox"/> Schedule A | |
| <input type="checkbox"/> Schedule B | |
| <input type="checkbox"/> Schedule C | |
| <input type="checkbox"/> Schedule D | |
| <input type="checkbox"/> Schedule E | |
| <input type="checkbox"/> All Open Branches | |
| <input type="checkbox"/> DRPs | |
| <input type="checkbox"/> All Pages | |

| Primary Business Name: SECURITIES FIRM | | BD Number: 0000 |
|--|--|-----------------|
| BD - AMENDMENT | | |
| 11/03/2008 | | |
| BD - APPLICANT INFORMATION | | |
| OMB Number3235-0012 | | |
| Expires.....November 30, 2010 | | |
| Estimated average burden hours per: | | |
| Response.....2.75 | | |
| Amendment.....0.33 | | |
| WARNING: Failure to keep this form current and to file accurate supplementary information on a timely basis, or the failure to keep accurate books and records or otherwise to comply with the provisions of law applying to the conduct of business as a broker-dealer would violate the Federal securities laws and the laws of the <i>jurisdictions</i> and may result in disciplinary, administrative, injunctive or criminal action. | | |
| INTENTIONAL MISSTATEMENTS OR OMISSIONS OF FACTS MAY CONSTITUTE CRIMINAL VIOLATIONS. | | |
| <input type="radio"/> APPLICATION <input checked="" type="radio"/> AMENDMENT | | |
| 1. Exact name, principal business address, mailing address, if different, and telephone number of <i>applicant</i> : | | |
| A. Full name of <i>applicant</i> (if sole proprietor, state last, first and middle name): | | |
| SECURITIES FIRM | | |
| B. IRS Empl. Ident. No.: | | |

Close the second browser.

Registration Deficiencies

| Deficiencies | Definition |
|-----------------------|--|
| CONFLICT | Question was answered "No" on the filing but details were provided on Form BD "or" Form BDW. |
| PENDING REVIEW | The filing is under review by FINRA. |
| PAGE 2 | A person on Schedule A or B does not have an open employment with the firm. |
| DENIED | Name not allowed. |
| GOVT | The SEC Registration and/or Types of Business selected are not allowed. |
| FINAN | Financial information missing or invalid. |
| CONTROL | No control person is designated for an individual or entity listed on Schedule A. |
| INFO | An entry on Schedule A and/or B is missing one or more fields of information on Form BD, or, an "Other Business Name" has been listed but no jurisdiction was specified, or, on Form BDW, Question 5 was answered "yes", but no details were provided. |
| FUNDS | Pending transactions have not been processed due to Insufficient Funds. |
| PRED | Question 5 was answered "no", but details were provided. |
| UNANS | Question was not answered on Form BD or Form BDW. |
| IRS | The IRS number supplied is invalid. |
| BOOKS | Custodian's name, telephone number or address is missing or invalid on Form BDW. |
| MISSING TEXT | Text is missing for items 7, 8 and 9 (Schedule D). |

Manually Set Deficiencies (by FINRA Staff)

- Inconsistent details or questions
- Disclosure requested:
 - ◊ Disclosure Questions
 - ◊ DRP – Applicant and Control Affiliate
 - ◊ DRP – Applicant
 - ◊ DRP – Firm Control Affiliate
 - ◊ DRP – Individual Control Affiliate
 - ◊ DRPs
- Insufficient details provided
- Ownership is not clearly defined or exceeds 100%
- Other BD (any deficiency not categorized)