



FINRA Gateway Reports Individual Data Definition

**Version 0.9
11-05-20**



Revision History

DATE	AUTHOR	VERSION	DESCRIPTION
10-04-19	Zolboo	0.1	Initial draft.
	Dashzeveg		
02-06-20	Zolboo	0.2	Removed the count columns from the data dictionary. The count columns will appear in the report grid when any or all columns under a top-level column is selected to be displayed in the grid. For example, if you've selected Regulator Code column under Registrations in Individual Roster template, you will need to click on the Registrations count to see the associated regulators with the individual's registrations.
	Dashzeveg		
03-23-20	Sarah Rose	0.3	Added CE Status Date, CE Base Date, Military Deferral?, CE Sessions, Session Type, Session Type Code, CE Window Begin Date, CE Window End Date, Requirement Type, Appointment Status Code, Appointment Progress, Last Access Date, Next CE Window Begin Date, Exam Pending Flag, Waived by Regulator Name, Waiver Reason, Appointment Status Code, Appointment Date, Appointment Confirmation, Number of Alternate Names, Alternate Names.
			Status Name is now labeled Exam Status. Status Code was removed.
5-04-20	Sarah Rose	0.4	Additional fields added for Disclosures, Deficiencies, Registration History, Other Business.
7-10-20	Sarah Rose	0.5	IA Affiliations information added. Changed formatting of data dictionary to show the hierarchical nature of the data.
7-31-20	Sarah Rose	0.6	Updated description of values returned for "Is FinPro user?"
8-18-20	Sarah Rose	0.7	Added details on FinPro accounts, including last accessed date, attestation data, status, and history.
9-24-20	Sarah Rose	0.8	Added Exam and Test location fields.
11-05-20	Sarah Rose	0.9	Changed name from "FINRA Gateway Reports" to "FINRA Gateway Reports."

About the Data Dictionary

- Referring to the table below, the rows of data shown on a white background are available to add to the main table within Dynamic Reports templates. The rows of data shown with a blue background are hierarchical and will appear in a subtable. The rows of data that are blue and white indicate the data point you will click on to expand the subtable.
- When you want to export data to a CSV file, you can include the main table (white rows) plus one subtable (blue rows). The export will flatten the hierarchy and present all data points in a single row.
- Sample values are listed for each field. If you want to know all the values available for a given field, you can use the Group tool in FINRA Gateway Reports and group by the given field. The grouped view will show you all values for that field available within your data at that point in time.
- If there is no data for a given field, it may show as "Missing" or "Other."

Data Field	Data Description	Example Data
Individual CRD	Individual's CRD ID number	1234
First Name	Individual's primary first name.	John
Middle Name	Individual's primary middle name.	Steward
Last Name	Individual's primary last name.	Smith
Suffix	Individual's primary suffix.	Jr.
BRANCH OFFICE LOCATIONS	Count of individual's associated branch office locations.	3
Branch Street Address 1	Branch street address.	1234 Main Street
Branch Street Address 2	Branch street address line two.	Suite 300
Branch City	Branch city.	New York
Branch State Code	Branch state code.	NY
Branch State Name	Branch state name.	New York
Branch Postal Code	Branch postal code.	10017
CRD Branch Number	The CRD ID for the branch.	3253
Branch Billing Code	The branch billing code.	10011
Branch Code Number	The branch code number.	ABC-116333
Branch FINRA District	The branch FINRA district.	10-New York
Branch Operational Status	The branch's operational status.	Active Inactive
Individual Role	The individual's role at the branch.	Staff Person in charge Supervisor
Location End Date	The date individual stopped working at the branch office.	YYYY-MM-DD
Location Start Date	The date individual started working at the branch office.	YYYY-MM-DD
Non-registered Branch Identifier	The unique identifier of the nonregistered branch office.	3335

Data Field	Data Description	Example Data
Organization CRD #	The main organization's CRD ID.	23452
Private Residence?	Is the individual's associated branch office address is a private residence?	Yes No
Registered Location?	Is the individual's associated branch office location is registered?	Yes No
Role Type	The individual's role type associated with branch office.	Located At Supervised From
CE Base Date	The date which is used to calculate an individual's CE anniversary schedule; read-only date.	YYYY-MM-DD
CE SESSIONS	Count of individual CE sessions.	5
Appointment Progress	The individual's progress in CE training.	0 Modules Completed 0 of 4 Modules Completed 1 of 4 Modules Completed 2 of 4 Modules Completed 3 of 4 Modules Completed 4 of 4 Modules Completed
Appointment Status Code	Individual's appointment status code.	Cancel In Progress Late Cancel No Show Official Result Rescheduled Scheduled Withdraw
Last Accessed Date	The date individual last accessed online CE for this session.	YYYY-MM-DD
Next Window Begin Date	The begin date of the next CE window. The individual is required to complete the next CE starting from this date	YYYY-MM-DD
Requirement Type	The CE requirement type.	Anniversary
Session Type	The type of CE session.	General Program for Registered Persons Registered Principals and Supervisors

Data Field	Data Description	Example Data
Session Type Code	Code indicating the type of CE Regulatory Element the individual is required to satisfy	S101 S201
Window Begin Date	The date the individual's CE window begins.	YYYY-MM-DD
Window End Date	The date the individual's CE window ends.	YYYY-MM-DD
CE Status	2 year termed from industry CE 2 year termed CE inactive No CE status Required Satisfied Graduated	2 year termed from industry CE 2 year termed CE inactive No CE status Required Satisfied Graduated
CE Status Date	The date associated with current CE Status	YYYY-MM-DD
DEFICIENCIES	Count of individual's registration deficiencies.	3
Date Deficiency Set	The date that the deficiency was created.	YYYY-MM-DD
Deficiency Type	The deficiency type associated with the registration.	CE Inactive Dual Registration Exam Fingerprint Form Foreign Funds Pending Firm Approval Position: Prerequisite Deficiency Disclosure Review Firm Suspended Status FINRA AR Registration FA Registration Dual Registration RA/AG
Exam Code	The exam code of individual's exam.	101, 201, F04, FOR, G1, S12, etc
Organization CRD #	The organization CRD ID affiliated with the individual's deficiency.	10756

Data Field	Data Description	Example Data
Registration Category	The position of the registered individual.	Floor Broker – Options, Corporate Securities, Research Analyst, etc
Regulator Code	The code for the regulator name assigned to the individual's registration.	VA, NqLX, NYMEX, OTC, VT, etc
Regulator Name	The regulator name assigned to the individual's registration.	New York Mercantile Exchange, Nebraska, Cboe Futures Exchange LLC , Alabama, etc.
DISCLOSURES	Count of individual disclosures.	4
Disclosure Type	This indicates the type of disclosure as defined on the filing per individual disclosure.	Arbitration Bankruptcy Bond Civil Judicial Action Criminal Customer Complaint Internal Review Investigation Judgment/Lien Regulatory Action Termination
Reportable?	This indicates whether or not the occurrence is reportable. The setting on this field is used in VOI to determine if and where (Current Disclosures or Reg Archive Disclosures) the occurrence should be displayed.	Yes No
Disclosable?	Is this occurrence disclosable through the FINRA BrokerCheck® program?	Yes No
Publicly Disclosable?	Is the disclosure eligible for Public Disclosure? This applies to Archived Disclosures and indicates whether or not an archived customer complaint/arbitration/civil litigation occurrence may be eligible to be disclosed through the FINRA BrokerCheck® Program	Yes No
Occurrence ID	Uniquely identifies a disclosure event. Occurrences are created during the Disclosure Review process so that multiple DRPs can be related to a single event.	313131
Archived?	Is this an archived disclosure?	Yes No

Data Field	Data Description	Example Data
Statutory Disqualification?	Flag to indicate if the individual has a statutory disqualification.	Yes No
Statutory Disqualification Code	The individual's statutory disqualification status or type if the individual is associated in any business or financial activity with any person who is subject to a statutory disqualification.	Clear, Yes - Approval/ Denial Pending, Yes - Limited Suspension, etc.
DISCLOSURE FILLINGS	Count of individual's disclosure filings.	5
Allegations	The alleged damages included in this disclosure occurrence.	Block of ext
Alleged Damages	The number representing the ammount of alleged damages included in this disclosure occurrence.	100000
Comments	The comments associated with this disclosure.	Block of text
Date First Reported	Date the disclosable event was first reported.	YYYY-MM-DD
Disclosure Status	Current status of the disclosure	denied, settled, civil, tax, final, etc
Disclosure Type Code	The code for the disclosure type indicated on the disclosure filing.	ARBTN BANKRUPT BOND CIVLJUDC CRIMINAL CUSTCOMP INTRNRVW INVSTGTN JUDGEMNT REGLACTN TRMNATON

Data Field	Data Description	Example Data
Disclosure Type Name	The type of disclosure as indicated on the disclosure filing.	Arbitration Bankruptcy Bond Civil Judicial Action Criminal Customer Complaint Internal Review Investigation Judgment/Lien Regulatory Action Termination
Employing Firm	The name of the employing firm.	Acme Firm, LLC
Event Date	Date the disclosed event occurred.	YYYY-MM-DD
Filed by Firm #	The CRD ID of the organization that submitted the Filing on which the disclosure was reported.	12451
Filed by Firm Name	The name of the organization that submitted the U4 or U5 on which the disclosure was reported.	Financial Services Limited
Filed by Regulator #	The ID of the regulator that submitted the filing on which the disclosure was reported.	1
Filed by Regulator Code	The code of the regulator that submitted the filing on which the disclosure was reported.	VA, NqLX, NYMEX, OTC, VT, etc
Filed by Regulator Name	The name of the regulator that submitted the filing on which the disclosure was reported.	FINRA, New York Mercantile Exchange, Nebraska, Cboe Futures Exchange LLC , Alabama, etc.
Filing Date	The filing date for the form filing ID associated with the disclosure.	YYYY-MM-DD
Filing ID	The FINRA filing ID associated with the disclosure.	12235
Filing Type	The form filing type that provided the disclosure.	Full Amendment
Form Type	The type of form which first reported the disclosure.	U4 U5 U6

Data Field	Data Description	Example Data
Occurrence ID	Occurrences are created during the Disclosure Review process so that multiple DRPs can be related to a single event.	11111
Pending?	Is this occurrence in a Pending Status?	Yes No
Satisfies 4530 Filing?	Was this disclosure filing completed to also satisfy the 4530 filing requirement?	Yes No
Status Date	The date associated with the current status of the disclosure.	YYYY-MM-DD
EMPLOYMENTS	Count of individual employments.	11
Employment Active?	Is the individual's employment active?	Yes No
Employment End Date	Date employment ended.	YYYY-MM-DD
Employment Start Date	Date employment started.	YYYY-MM-DD
Employment Type Code	Indicates the type of employment.	Investment advisor representative Non-registered fingerprint individual Registered representative/principal Owner/officer Other
City	Employer city.	Rockville
Country Code	Employer country code.	USA
Country Name	Employer country name.	United States of America
Postal Code	Employer postal code.	20850
State Code	Employer state code.	MD
State Name	Employer state name.	Maryland
Street Address 1	Employer street address.	123 Rockville Pike
Street Address 2	Employer street address line two.	Suite 1600

Data Field	Data Description	Example Data
Firm Type Code	Employing firm type code.	BD Only IA Only JOINT Non Registered
Independent Contractor?	Was the individual employed as an independent contractor?	Yes No
Individual Billing Code	The billing code associated with the individual.	10001
Organization Applicant Name	The firm applicant name associated with the individual's employment.	Acme Financial Ltd.
Organization CRD	The employing firm's CRD ID.	1234
Organization FINRA District	The firm FINRA district office ID associated with individual's employments.	10-New York
Organization Primary Business Name	The firm primary business name associated with the individual's employment.	Acme Firm, LLC
Organization SEC 8 #	The firm SEC number associated with the individual's employment.	8-30000
Organization SEC 801 #	The firm SEC number associated with the individual's employment.	801-3001
Organization SEC 802#	The firm SEC number associated with the individual's employment.	802-3000
EXAMS	Count of individual's exams.	11
Appointment Date	Individual's exam appointment date.	YYYY-MM-DD
Appointment Status Code	The individual's appointment status code.	CANCEL IN PROGRESS LATE CANCEL NO SHOW OFFICIAL_RESULT RESCHEDULED SCHEDULED WITHDRAW
Confirmation Number	Proctor exam appointment confirmation number.	11111

Data Field	Data Description	Example Data
Exam Pending Flag	Is the exam pending?	Yes No
Exam	The exam code of the completed exam by the individual.	GDE, PC, S00, S3, S30, etc.
Exam Name	The name of the exam that the individual took.	uniform securities agent state law examination
Exam Date	The date the exam was last taken by the individual.	YYYY-MM-DD
Status Date	The date the exam status was created.	YYYY-MM-DD
Exam Status	The status of the exam completed by the individual.	Developed a need Exams previously taken Window expired In process filing Official result Official waiver Request Scheduled Withdraw Funds deficient Credit
Grade	The code for exam grade for the exam completed by the individual.	INCOMP FAILED CMPLT PASSED NO_SHOW LATE_CANCEL
Score	The status of the exam completed by the individual.	73
Test Center City	The city where the test center is located.	Rockville
Test Center Country	The country where the test center is located.	United States of America
Test Center ID	The ID of the test center.	
Test Center Name	The name of the test center.	Test Center
Test Center State	The state where the test center is located.	Maryland
Test Vendor	The test vendor.	Vendor Name

Data Field	Data Description	Example Data
Window End Date	The end date of exam window. The individual is required to complete the exam by this date.	YYYY-MM-DD
IA AFFILIATIONS	Count of the number of IA affiliations for the individual.	3
IA Affiliated Firm	The name of the affiliated IA firm.	Acme Financial, Ltd.
IA Affiliated Firm CRD #	The CRD ID for the affiliated IA firm.	1234
IA Affiliation	The individual's role in the IA Affiliation.	Direct Owner
OTHER NAMES	Count of individual's other names.	1
First Name	Individual's other first name.	James
Last Name	Individual's other last name.	Smithe
Middle Name	Individual's other middle name.	Stuart
Suffix	Individual's other suffix.	II
PROFESSIONAL DESIGNATIONS	Count of individual's professional designations	5
Designating Authority	The name of the organization that grants the professional designation to the individual e.g. CFP awarded by Certified Financial Planner Board of Standards.	Certified Financial Planner Board of Standards The American College American Institute of Certified Public Accountants Investment Counsel Association of America
Designation Type Code	The individual's professional designation type code.	CFP ChFC PFS CFA CIC
Designation Type Name	The individual's professional designation type name.	Certified Financial Planner Chartered Financial Consultant Personal Financial Specialist Chartered Financial Analyst Chartered Investment Counselor

Data Field	Data Description	Example Data
First Filing Date	The date of the first filing of the individual's professional designation.	YYYY-MM-DD
First Filing Employer	The employer who first filed the individual's professional designation.	Acme Firm, LLC
First Filing Organization CRD #	The CRD# of the firm that filed the most recent U4 filing that listed the designation of the individual.	1234
First Form Filing Type	The form U4 filing type that lists the designation of the individual.	AMENDMENT RELICENSE INITIAL DUAL P2BDINITIAL CONVERSION P2BDAMEND RELICENSEBD RELICENSEIA
Last Filing Date	The date of the most recent filing of the individual's professional designation.	YYYY-MM-DD
Last Filing Employer	The employer who filed the last filing.	Acme Financial, Ltd.
Last Filing Organization CRD #	The CRD ID for the employer who filed the last filing.	1234
Last Form Filing Type	The type of form used for the last filing.	AMENDMENT RELICENSE INITIAL DUAL P2BDINITIAL CONVERSION P2BDAMEND RELICENSEBD RELICENSEIA
REGISTRATION STATUS HISTORY	Count of individual's registration status history.	12
Organization CRD #	The CRD ID for the organization associated with the individual's registration.	1234
Registration Category	The registration category.	Agent

Data Field	Data Description	Example Data
Registration Category Code	The position code of the registered individual with the associated firm.	AG
Registration Status Code	The registration status code of the individual with the associated firm.	ADMTERM APPRNT APPROVED APPROVED_RES BAR CE2_YEAR_TRMD CE_INACTIVE DEFICIENT DENIED FTR INACTIVE_PRINTS
Registration Status Name	Individual's registration status name.	Administrative termination, Approved pending prints, etc.
Regulator Code	The regulator code assigned to the individual's registration.	OTC, ND, ISE MRX, NK, etc.
Regulator Name	The regulator name assigned to the individual's registration.	OTC Bulletin Board, North Dakota, etc.
Status Effective Date	The date the status became effective.	YYYY-MM-DD
REGISTRATIONS	Count of individual registrations.	2
Current Status Date	Date the current status was posted.	YYYY-MM-DD
Filing Date	The date the registration filing occurred.	YYYY-MM-DD
Organization CRD #	The organization CRD ID for which the individual is registered.	1234
Registration Approved?	Is the individual's registration approved?	Yes No
Registration Begin Date	The date the registration began.	YYYY-MM-DD
Registration Category Code	The code for the registered individual's position.	AF, SC, TA, FP, MM, RP, etc.
Registration Category Name	The registered individual's position name.	Securities Trader, Options Member, Compliance Officer, Investment Advisor, etc.
Registration End Date	The date the individual's registration ended.	YYYY-MM-DD
Registration Status Code	Individual's registration status code.	APPROVED, CE2_YEAR_TRMD, DEFICIENT, etc.

Data Field	Data Description	Example Data
Registration Status Name		Approved, Termed, Deficient, Inactive - Prints, etc.
Registration Status Type Code	This indicates whether the individual's registration with the associated firm is active or inactive.	ACTIVE INACTIVE
Regulator Code	The regulator code assigned to the individual's registration.	NYSE, OTC, CBOE, VT, CO, etc.
Regulator Name	The regulator name assigned to the individual's registration.	New York Mercantile Exchange, Nebraska, etc.
RESIDENTIAL LOCATIONS	Count of individual's residential locations.	7
Address End Date	End date of individual residency at the address.	YYYY-MM-DD
Address Start Date	Start date of individual residency at the address.	YYYY-MM-DD
City	Residence city.	New York
Country Code	Residence country code.	USA
Country Name	Residence country name.	United States of America
Postal Code	Residence postal code.	10017
State Code	Residence state code.	NY
State Name	Residence state name.	New York
Street Address 1	Residence street address.	123 Main Street
Street Address 2	Residence street address line two.	Suite 5000
Is FinPro User?	Is the individual a FinPro user? The value will be "Yes" if individual has fully registered and visit the FinPro home page at least once. The value will be "No" if the user has never registered and accessed the FinPro home page.	Yes No
Date FinPro Account Created	The date the user first logged in and visited the FinPro home page.	YYYY-MM-DD
Date Last Accessed FinPro	The date the user last logged in and visited the FinPro home page.	YYYY-MM-DD
Latest Attestation Status	Status of representative's most recent attestation that the data in FinPro is accurate and complete.	Data Correct Data Incorrect

Data Field	Data Description	Example Data
Latest Attestation Date	Date of last representative attestation that the data in FinPro is accurate and complete.	YYYY-MM-DD
ATTESTATION HISTORY	A number representing the number of attestations on file for the representative.	1
Attestation Status	Status of representative's historical attestation that the data in FinPro is accurate and complete.	Data Correct Data Incorrect
Attestation Date	Date of representative historical attestation that the data in FinPro is accurate and complete.	YYYY-MM-DD
Military Deferral?	Is the individual's CE requirement deferred due to military service?	Yes No
Other Business Description	This describes the business conducted by the individual outside of the registered firm. It includes: the name and address of the other business; the nature of the other business, including whether it is investment-related; the position, title, or association with the other business, including duties; the start date of the relationship with the other business; the approximate number of hours per month devoted to the other business; and the number of hours devoted to the other business during securities trading hours.	Block of text
Other Business?	A flag to indicate if the individual conducts business outside of the registered firm.	Yes No