

Reference Guide for Transitioning from Classic CRD to FINRA Gateway

This guide was created to help customers from Classic CRD transition to FINRA Gateway.

Classic CRD queue type	Classic CRD queue	FINRA Gateway replacement	Notes
Individual CE queues	<ul style="list-style-type: none"> CE Required CE Satisfied CE Inactive Approaching CE requirement CE 2-Year Termed 	<ul style="list-style-type: none"> CE Currently Required CE Satisfied CE Inactive CE Approaching Requirement CE 2-Year Termed 	
Individual registration queues	<ul style="list-style-type: none"> Approved Individual Registrations Purged Individual Registrations Denied Individual Registrations Inactive Registration Due to Missing Fingerprint Card Current Individual Deficiencies 	Reports – Individuals by Registration Status or Reports – Recently Approved Individual Registrations	
	<ul style="list-style-type: none"> Pending Individual Registrations 	Reports – Individuals with pending registrations	
Individual disclosure queues	<ul style="list-style-type: none"> Outstanding Disclosure Letters (firm and individual) 	Requests	
	<ul style="list-style-type: none"> Disclosure Review Notice 	Reports – Individuals with Reportable Disclosures	
Individual exam queues	<ul style="list-style-type: none"> Scheduled Exams 	Scheduled Exams	<p><i>Scheduled status for exams in FINRA Gateway Reports includes all open exam windows.</i></p> <p><i>In Classic CRD, scheduled only includes those that are open and scheduled with a testing location center.</i></p> <p><i>We are still working to bridge this gap.</i></p>
	<ul style="list-style-type: none"> Completed Exams 	Completed Exams Credited and Waived Exams	<p><i>Note FINRA Gateway Reports replaced completed exams with two templates – one for completed exams and another for those satisfied by credit or waiver.</i></p>
Individual filing queues	<ul style="list-style-type: none"> Other Firm U4 Other Firm U5 	Classic CRD queue	<i>Not currently available in FINRA Gateway</i>
Individual fingerprint queues	<ul style="list-style-type: none"> Fingerprint Status Received from FBI Notices of Undelivered Fingerprint Cards 	Individual Fingerprint Card Statuses	<i>Does not include FBI status in FINRA Gateway Reports due to PII concerns.</i>
Individual termination queues	<ul style="list-style-type: none"> Termination Manual Termination 	Reports – Individuals by Registration Status or	

	<ul style="list-style-type: none"> • Temporary Registration Cancellation • U5 • U5 Late Fees 	Reports – Terminated Individuals By Reason Code	
	<ul style="list-style-type: none"> • U5 Required 	Requests	
Branch queues	<ul style="list-style-type: none"> • Branch Status • Branch Deficiencies 	Branch Roster or Branches by Deficiency status or Active and OSJ Roster	
Firm queues	<ul style="list-style-type: none"> • Current Deficiencies • SFG Retirement • Withdrawal or Termination 	Classic CRD queue	<i>Not currently available in FINRA Gateway</i>
	<ul style="list-style-type: none"> • Disclosure Letters 	Requests	