

### **Risk Monitoring Reports Detail Data**

The Risk Monitoring Reports provide information and trends around a variety of topics in which non-compliant activity could pose risk to investors and your firm. Unlike many of the reports on the Report Center, these reports are not designed to evaluate a firm's performance in respect to a particular rule. Rather, the Risk Monitoring Reports enable firms to examine trends that may indicate potential areas of risk, but do not necessarily indicate a rule violation.

This document contains instructions to assist your firm in acquiring some of the detail data underlying these reports. For more information on the Risk Monitoring Reports, please see <a href="http://www.finra.org/reportcenter/riskmonitoring">http://www.finra.org/reportcenter/riskmonitoring</a>. If you have questions or comments about the Risk Monitoring Reports, please send an email to <a href="mailto:reportcenter-admin@finra.org">reportcenter/riskmonitoring</a>. If you have questions or comments about the Risk Monitoring Reports, please send an email to <a href="mailto:reportcenter-admin@finra.org">reportcenter/riskmonitoring</a>.

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# Accessing Detail Data for the Sales Practice Complaint Report and the Customer Complaint Report

The Sales Practice Complaint Report is a quarterly report that displays trends in complaints with Sales Practice problem codes as reported per NASD Rule 3070(c) and NYSE Rule 351(d). Similarly Customer Complaint Report also displays trends in complaint information submitted per those rules, but the Customer Complaint Report is not limited to only complaints with sales practice problem codes.

If your firm submits complaints to the FINRA's Disclosure Events & Complaints system, users entitled to that system may query the system to review submitted customer complaints. Instructions are provided below.

- Check Customer Complaint Due Dates (<u>http://www.finra.org/RegulatorySystems/RegulationFilingApplications/p005712</u>) to see when the Customer Complaint Filings were due for the period in question.
- 2) Log into <u>https://firms.finra.org</u>, click the Forms and Filings tab, and open the Disclosure Events & Complaints application. Please note: you must have entitlement to the Reg Disclosure Events & Complaints system to log in. If you are not sure whether or not you have access, please send an email to <u>reportcenter-admin@finra.org</u>.
- 3) Select **Submitted Filings** from the left navigation list, enter the **From Date** and **To Date** for the filing period in question, and select **Complaints** from the Filing Type field.
- 4) Click **Search**.

The search will return a list of all customer complaints submitted during that period.

**Please note:** The Sales Practice Complaints Report only includes complaints with sales practice problem codes, whereas the system search returns all customer complaints. Check the Code field to identify sales practice complaints. To see a list of the codes that are considered sales practice codes, click the "How do I interpret this report?" link below either table of the report.

Disclosure Events & Complaints		ABC SECURITIES, INC Firm Id							
Draft Filings	Rep. Id:	Cust. L. Na	ame: F	From Date:	To Date:	Code:	Filing Id:	Filing Type	:
Submitted Filings				01/01/2008	04/15/2008			Complaints	Search
Create a Complaint								and the second sec	500 Mar 199
Create a Disclosure				Submitte	ed Filings - Pa	age 1	of 24 🕈		
<u>Create a Disclosure</u> File Upload				Submitte	ed Filings - Pa	age 1	of 24 🕈		D-4-
<u>Create a Disclosure</u> File Upload Job Status	Action	Filing Id Tyj	vpe (	Submitte CodeRep Id	<b>ed Filings -</b> Pa Cust. L. Name:	age 1	of 24 🕨		Date
Create a Disclosure File Upload Job Status Select Firm REA Message Center	Action View Amd Del	Filing Id Tyj	v <b>pe (</b> omplaint	Submitte CodeRep Id	ed Filings - Pa Cust. L. Name: John Doe	age 1	_ of 24 ▶		Date January 15, 2008



### Accessing Detail Data for the Registered Representative Composition Report

The Registered Representative Composition Report displays trends in the profile of registered representatives associated with your firm. The report allows firms to compare their statistics to those of the industry. The data in this report is extracted from Web CRD<sup>®</sup>.

Beginning with 2nd Quarter 2009, firms can request the details for all of the counts provided in the report, other than the count of all registered representatives, since a firm can request a list of all of its registered reps via Web CRD<sup>®</sup>. If you have access to Web CRD, click Request Report from the CRD site map, and request the report entitled Roster - Individual - Firms to see a list of all individuals registered with the firm at the time the report is requested.

To request detail for any quarter after 1<sup>st</sup> Quarter 2009, navigate to that quarter using the Period drop-down in the report header, and click the Details link.

🗘 Back							🖄 Export	Details	s 🎒 Print	er Friendly
			Period: 2r	nd Quarter	2009 Ver.	1 🗸 G	0			
Firm: ABC SECURIT Org ID: 9999999	Reg TES, INC	istered	l Repre	sentat	ive Co	mpos	ition Re	Perio	d: 2nd Qu	Jarter 2009
Description: This re	port aispi	Registe	gistered Reps New to Industry Reps							
Period	Fi	Firm Industry			Firm			Industry		
	Count	% Change from Prior Period	Count	% Change from Prior Period	Count	% of Total Reps	% Change from Prior Period	Count	% of Total Reps	% Change from Prior Period
2nd Quarter 2009	541	0.74%	711,606	7.14%	5	0.92%	-44.44%	2,390	0.3 <mark>4</mark> %	-78.51%
1st Quarter 2009	537	2.48%	664,169	-1.06%	9	1.68%	28.57%	11,120	1.67%	-19.40%

The detail data contains the First Name, Middle Name, Last Name, Suffix, and Individual CRD Number for each registered representative included in any of the counts provided on the report (other than the Registered Reps Count), and a "Yes" indicating the count(s) in which the rep is included.

Please note: the detail provided for the quarter will correspond to the count provided in that quarter. Any activity occurring after the end of the quarter will not affect that quarter's detail. For instance, if the firm has three reps with disclosure in the 2nd Quarter, and then one of those reps leaves the firm in the 3rd Quarter, the detail data for 2nd Quarter 2009 will still contain that representative's information. The only exception to this is in the case where a registered rep's disclosure is expunged from his record. If detail data is requested after the expungement is complete, the "Reps with 1 or More Disclosures Count" on the summary report will not change, however that representative will no longer be included in the detail data for that category.



## Accessing Detail Data for the Canceled and As-Of Trades and Customer Debits Reports

The Canceled and As-Of Trades Report and the Customer Debits Report provide a rolling 12 months of data, as well as a daily view of the data. These reports contain data submitted by self-clearing firms or by clearing firms on behalf of your firm, and as such, you should contact your clearing firm or the internal group responsible for filing this information if you need the underlying detail for the daily and monthly data displayed in the report.