Classic CRD

Firm Notification

Firm Notification is a classic CRD function that provides entitled users at broker-dealer, investment adviser, and broker-dealer/investment adviser firms (joint firms), with the capability to request automatic e-mail reminders whenever significant registration-related changes occur.

IMPORTANT NOTE:

All classic CRD features should now be accessed through FINRA Gateway, the new FINRA reporting and compliance platform. This new system is designed to focus on compliance functions, such as research, reporting and responding to requests, rather than focusing on the specific system you would access to fulfill your requirements.

If you have any questions or feedback regarding the transition to FINRA Gateway, please contact FeedbackFINRAGateway@finra.org.

Contents:

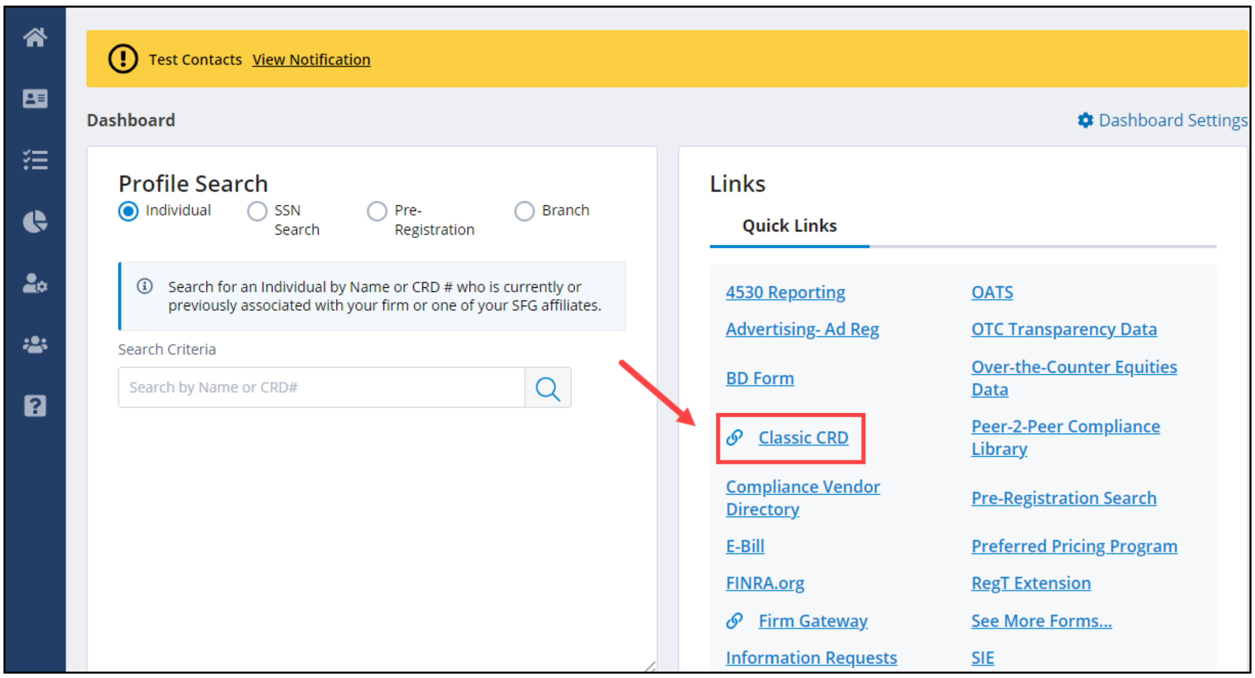
Need help with CRD? Call the FINRA Gateway Call Center at **301-869-6699**
8 A.M. - 8 P.M., ET, Monday-Friday

Logging in Through FINRA Gateway

As of August 21, 2021, the previously used Firm Gateway homepage has been retired and users should access all registration applications via the new FINRA Gateway. To access FINRA Gateway:

1. Go to https://gateway.finra.org, and
2. Enter your existing CRD user ID and password.

Once you have successfully logged into FINRA Gateway, you can navigate to classic CRD using the **Quick Links** widget on the dashboard. Select **Classic CRD** from the list of links and then follow along with the rest of this guide.

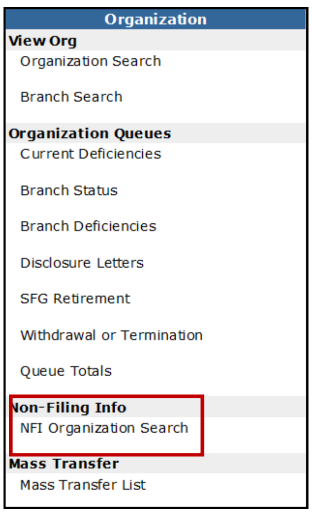


Accessing Firm Notification

Once you have accessed the classic CRD site map, there are two ways to access the **Firm Notification** functionality:

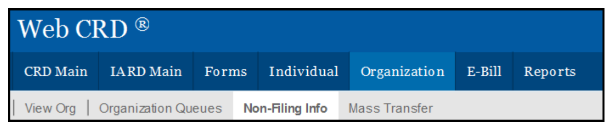
NOTE: *Be sure your Account Administrator has entitled you to the Web CRD Maintain Firm Notification privilege. In addition, Firm Notifications are not accessible through IARD. Investment adviser firms must access Firm Notifications via Web CRD.*

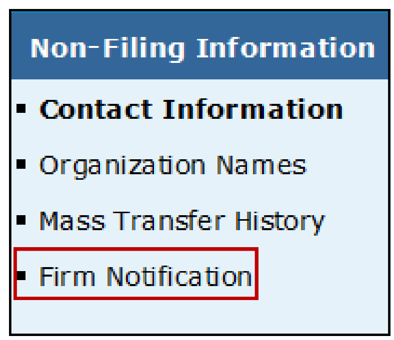
1. From the **Organization** column on the Web CRD site map, click **NFI Organization Search**.
2. Select **Firm Notification** from the left navigation panel.



OR

1. Click the **Organization** tab on the Web CRD toolbar.
2. Select on **Non-Filing Info** from the sub-menu at the top of the page.
3. Select **Firm Notification** from the left navigation panel.





Accessing Firm Notification (continued)

Once Firm Notification has been accessed, Web CRD will automatically default to the *Maintain Firm Notification Info* screen. If there are existing contacts, their names are displayed indicating the telephone number, e-mail address and the specific notification type(s) the contact person currently receives. Different individuals can be selected as contacts to receive different firm notifications.

Adding a New Notification Recipient

1. Click the **Add New** button or click the **Email Address** hyperlink to create or edit an existing e-mail contact screen.

Maintain Firm Notification Info

Organization CRD#: 00000	Organization Name: SECURITIES FIRM
Organization SEC#: 8-00000	Applicant Name: SECURITIES FIRM

Contact Name	Phone Number	Email Address	Notification Type(s)	Disabled
JOHN DOE	555-555-5555	JOHN.DOE@SECURITIES.ORG	Approaching CE-30 Approaching CE-90 Branch Registration Approved CE Inactive CE Incomplete Customer Complaint Expiration Deficient Branches Firm U6 Illegible Fingerprint Card Inactive Prints Individual U6 Registration Denied Registration Revoked U5 Submitted by Another Firm	Yes
JANE DOE	555-555-5550	JANE.DOE@SECURITIES.ORG	Approaching CE-30 Approaching CE-90 CE Inactive CE Incomplete	Yes

Add New

2. Type the Contact Name, Contact Phone Number and Email Address in the fields.
3. Check the box(es) of the notifications that should be received.
4. Click **Save**.

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Maintain Firm Notification Request

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

Contact Name	
Contact Phone Number	
Email Address	
Notification Types	Registration ☐ Notify when an individual's examination status changes ☐ Notify when an individual has a fingerprint updated with a status of ILEG - BD Only ☐ Notify when an individual's registration is Inactive Prints with the Firm - BD Only ☐ Notify when an individual's registration request is T_NOU5 ☐ Notify when an individual with deficient registration is Eligible to Purge within the next 30 days ☐ Notify when an individual has a fingerprint updated with a status of RAPP - BD Only

Notification Types

There are (5) categories of Firm Notification Types. The types of notifications that can be requested are:

Registration

- ☐ Notify when an individual's examination status changes
- ☐ Notify when an individual has a fingerprint updated with a status of ILEG - BD Only
- ☐ Notify when an individual's registration is Inactive Prints with the Firm - BD Only
- ☐ Notify when an individual's registration request is T_NOU5
- ☐ Notify when an individual with deficient registration is Eligible to Purge within the next 30 days
- ☐ Notify when an individual has a fingerprint updated with a status of RAPP - BD Only
- ☐ Notify when an individual's registration request has been Denied.
- ☐ Notify when an individual's registration has been Revoked.
- ☐ Notify when a registered individual enters Firm Temporary Registration Cancellation Queue
- ☐ Notify when a U5 is submitted by another firm

Disclosure

- ☐ Notify when a Bankruptcy has expired for a registered individual with the firm
- ☐ Notify when a Customer Complaint has expired for a registered individual with the firm
- ☐ Notify when a U6 is filed against a registered firm or active exempt reporting adviser
- ☐ Notify when a U6 is filed against an individual registered with the firm
- ☐ Notify when a registered, NRF, or formerly registered individual enters Firm Outstanding Disclosure Letters Notice Queue
- ☐ Notify when a registered, NRF, or formerly registered individual has an Outstanding Disclosure Letter more than 30-60-90 days old
- ☐ Notify when a letter enters the Organization Disclosure Letters Queue

CE

- ☐ Notify when a registered individual is within 30 days of the end of his or her CE Required window - BD Only
- ☐ Notify when a registered individual is within 90 days of the end of his or her CE Required window - BD Only
- ☐ Notify when registered individuals receive an INCOMPLETE result for a CE session - BD Only
- ☐ Notify when a registered individual enters Firm CE Inactive Queue - BD Only

Other

- ☐ Notify when firm has an outstanding Form BD deficiency
- ☐ Notify when a filing has failed submission
- ☐ Notify when a registered individual enters Other Firm U4 Filing Notice Queue
- ☐ Notify when registered individuals are within 10 days of CE Inactive status

Branch

- ☐ Notify when a branch registration is approved
- ☐ Notify when a branch is deficient

Stopping Notifications

To stop notifications, follow the steps listed below:

1. Click the **NFI Organization Search**
2. Click **Firm Notification**
3. Click the **Email Address** link for the contact information you would like to update.
4. Uncheck the box(es) of the notification(s) you would like to stop.
5. Click **Save**.

NOTE: FINRA will contact the firm if there is a non-deliverable e-mail address listed on the *Firm Notification Information* screen. If the firm cannot be contacted or if a valid e-mail address can not be obtained, FINRA will disable notifications for that specific e-mail address.

Other Firm Notification Notes

1. The Continuing Education (CE) notifications noted below are automatically e-mailed to the FINRA member firms' CE Regulatory Contact person(s) as listed in the FINRA Contact System (FCS):
   - Notify when a registered individual is within 30 days of the end of his or her CE Required window - BD Only
   - Notify when a registered individual is within 90 days of the end of his or her CE Required window - BD Only
   - Notify when registered individuals receive an INCOMPLETE result for a CE session - BD Only
   - Notify when a registered individual enters Firm CE Inactive Queues - BD Only
2. CE notifications to FCS contacts cannot be removed through Web CRD. As long as the person is listed as a CE Contact in FCS, notifications will automatically be generated.
3. The "Notify when an individual has a fingerprint updated with a status of RAPP - BD Only" email notification requires the "Maintain RAPP Notification" entitlement.