

Web CRD

Individual Form Filing: Non-Registered Fingerprint

Fingerprint cards are maintained by Web CRD for non-registered individuals through Non-Registered Fingerprint (NRF) filings. Firms can terminate a relationship with an NRF at any time through Web CRD.

For guidance on whether to associate an individual as a non-registered fingerprint person or as a registered representative with the Operations Professional (OS) registration, please refer to FINRA [Notice to Members 11-33](#).

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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 can then navigate through the system as needed.

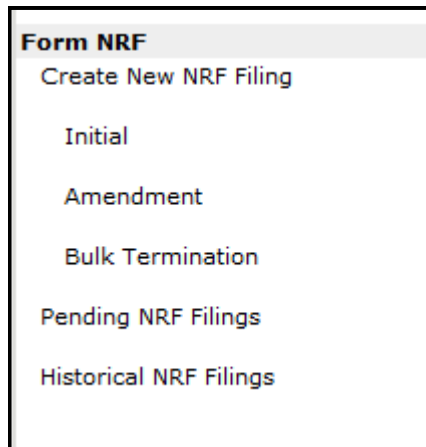
Questions on Web CRD ? Call the FINRA Gateway Call Center at 301-869-6699
8 A.M. - 8 P.M., ET, Monday-Friday.

Access NRF Filing

There are two ways to access **NRF Filings** in Web CRD:

From the **Forms** section of the Web CRD Site Map.

Click on the desired NRF Filing Type.

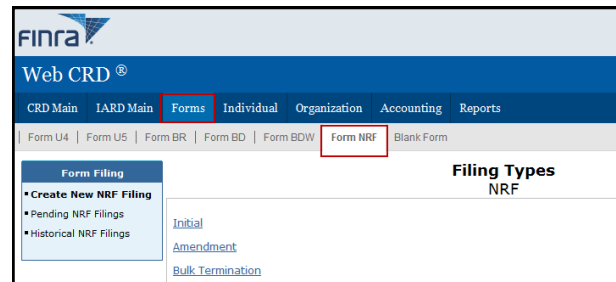


OR

Click the **Forms** tab from the toolbar.

Click **Form NRF** from the sub-menu.

Select the desired NRF Filing Type.



NRF Filing Types

NRF Filing Type	When to use
Initial	<p>An Initial NRF filing is used to associate a non-registered individual with your firm. The Initial NRF filing consists of the following sections: General Information, Personal Information, and Other Names.</p> <p>This filing type is also used when re-associating the fingerprints of a representative that was recently terminated but has been continuously employed by the filing firm.</p>
Amendment	<p>A NRF Amendment filing is used to update the individual's information or to terminate an NRF association. The NRF Amendment filing includes a Termination section.</p>
Bulk termination	<p>A NRF Bulk Termination filing is used to terminate an NRF association for more than (1) individual. The Bulk Termination filing is used to terminate up to 100 NRF individuals at one time.</p>

Create a New NRF Filing

Prior to creating any individual filing, the system will require you to search for the individual. Enter the individual's CRD Number or type a combination of one of the following: individual's Last Name and at least two (2) characters of the First Name, CRD Number, and/or Social Security Number.

For a more specific search, type a Middle Name and Birth Date to locate the individual or verify that the individual does not exist in CRD.

Individual Search Criteria NRF - Initial			
Search by CRD Number			
CRD Number :	<input type="text"/>		
Search by Social Security Number			
SSN (xxx-xx-xxxx):	<input type="text"/>		
Search by Name			
Last Name:	<input type="text" value="Doe"/>	First Name:	<input type="text" value="Jane"/>
Middle Name:	<input type="text"/>	Perform "sounds-like" search	<input type="checkbox"/>
Filter by Other Information			
Birthdate (mm/dd/yyyy):	<input type="text"/>		
Select Number of Rows			
Number of Rows per Page:	25		
<input type="button" value="Search"/>			

Create a New Individual in Web CRD

If the individual does not exist in CRD, enter the individual's SSN, Last Name, First Name, and Birth Date. Click the **Create New ID** button to begin the Form U4 filing for this individual.

Individual Search Criteria NRF - Initial			
Create a New Individual			
SSN:	<input type="text" value="000-00-0000"/>	SSN (again):	<input type="text" value="000-00-0000"/>
<input type="checkbox"/> By selecting this box, I certify that this individual does not have a Social Security number.			
Last Name:	<input type="text" value="Doe"/>	First Name:	<input type="text" value="Jane"/>
Middle Name:	<input type="text"/>	Suffix:	<input type="text"/>
Birth Date:	<input type="text" value="01/01/1981"/>		
<input type="button" value="Create New ID"/>			

Create a New NRF Filing (Continued)

Additional Verification for Initial NRF Filings

Web CRD will require additional verification of the individual's social security number (SSN) and month/day of birth for individuals already in Web CRD. The verification screen will display after the name hyperlink is selected from the search results.

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Individual Search Results

<<Previous Next>>
Rows 1 to 1

NRF - Initial

Name	CRD	Birth Year
DOE, JANE A	1111111	1975

<<Previous Next>>
Rows 1 to 1

? Printer Friendly

Individual Search

Verify SSN, Birth Month/Day

CRD Number:	1111111
First Name:	JANE
Middle Name:	A
Last Name:	DOE
Suffix:	
Birth Year:	1975

Please provide the following information. Leave the Verify SSN field blank and select the check box below if the Individual does not have a SSN:

This individual does not have a SSN. ☐

Verify SSN (xxx-xx-xxxx):

Verify Month/Day of Birth (MM/DD):

Create a New NRF Filing (Continued)

Complete the General Information section.

NRF - General Information			
First Name: jane	Middle Name:	Last Name: doe	Suffix:
Firm CRD #: 23714	Firm Name: SECURITIES FIRM	Employment Date¹ (MM/DD/YYYY): 05/04/2015	
Firm Billing Code: <input type="text"/>	Applicant CRD #: 1111111	Applicant SSN: <input type="text" value="XXX-XX-XXXX"/> View/Edit SSN	
Search Address By Billing Code			
Employment Street Address 1: 123 Main St		Employment Street Address 2: <input type="text"/>	
City: Rockville	State: Maryland	Country: United States	Postal Code: 20850
Position in the firm: Back Office		Fingerprint barcode #: 1111111111	
¹ Please note: This field should not be relied on as evidencing a definitive employment relationship or association between the individual and the filing firm.			
Re-Associate Fingerprints: <input type="checkbox"/> I hereby certify that the individual referenced above has been continuously employed by or associated with the filing firm.			
« Previous		Save	Next »

NOTES:

- To View/Edit the SSN, requires entitlement.
- The Employment Address can be entered by selecting the "Search Address By Billing Code" bar.
- A Fingerprint barcode # must be entered.

Complete the Personal Information and Other Names sections, as needed.

Re-Associate Fingerprints for a Recently Terminated Individual

In the General Information section of an NRF filing, firms are able to re-associate a fingerprint barcode for a previously registered representative (RR) that has been continuously employed with the filing firm.

To re-associate a fingerprint card you must enter the most recently terminated fingerprint barcode submitted by the filing firm for that individual.

Select the Re-Associate Fingerprints checkbox.

NRF - General Information			
First Name: jane	Middle Name:	Last Name: doe	Suffix:
Firm CRD #: 11111	Firm Name: SECURITIES FIRM	Employment Date¹ (MM/DD/YYYY): 05/04/2015	
Firm Billing Code: <input type="text"/>	Applicant CRD #: 1111111	Applicant SSN: xxx-xx-xxxx	View/Edit SSN
Search Address By Billing Code			
Employment Street Address 1: 123 Main St		Employment Street Address 2: <input type="text"/>	
City: Rockville	State: Maryland	Country: United States	Postal Code: 20850
Position in the firm: Back Office		Fingerprint barcode #: 1111111111	
<small>¹Please note: This field should not be relied on as evidencing a definitive employment relationship or association between the individual and the filing firm.</small>			
Re-Associate Fingerprints:			
<input checked="" type="checkbox"/> I hereby certify that the individual referenced above has been continuously employed by or associated with the filing firm.			
« Previous	Save	Next »	

Terminate an NRF Association

The NRF Amendment filing includes a Termination section. In this section, select the Terminate checkbox and enter the Date of Termination.

NRF - Termination	
<input checked="" type="checkbox"/> Terminate Non-registered Fingerprint relationship?	Date of Termination(MM/DD/YYYY): 07/14/2015
« Previous	Next »

Bulk Termination for NRF Individuals

Bulk Termination is used to terminate multiple NRF associations with the firm.

1. Select Bulk Termination on the **NRF Filing Types** screen

Filing Types NRF	
Initial	
Amendment	
Bulk Termination	

2. Enter the **Individual CRD Number**, **Last Name**, **Billing Code** or **SSN** and click **Search**.

NRF Individuals List - Add Individual			
<p>This page will allow you to terminate one or more NRF Individuals associated with your firm in place of filing a separate NRF Amendment filing for each individual. You can search for individuals using any combination of the available search fields. If you do not use any search criteria, clicking the 'Search' button will return all active NRF individuals associated with your firm. Select the checkbox for each individual you would like to terminate, or use the 'Select All' option to select all individuals on the page, and click the 'Add to List' button. After the list is complete, click the 'Continue' button at the bottom of the page to continue the process of terminating the selected individuals.</p>			
Search Criteria			
Individual CRD Number	<input type="text"/>	Last Name	<input type="text"/>
Billing Code	<input type="text"/>	SSN	<input type="text"/>
<input type="button" value="Search"/>			

NOTE: To view the list of all NRF Individuals with your firm, leave all fields blank and click the Search Button.

3. Click the **Select All** checkbox then click the **Add to List** button and when list is finished, click **Continue**.

NRF Individuals List - Add Individual				
<p>This page will allow you to terminate one or more NRF Individuals associated with your firm in place of filing a separate NRF Amendment filing for each individual. You can search for individuals using any combination of the available search fields. If you do not use any search criteria, clicking the 'Search' button will return all active NRF individuals associated with your firm. Select the checkbox for each individual you would like to terminate, or use the 'Select All' option to select all individuals on the page, and click the 'Add to List' button. After the list is complete, click the 'Continue' button at the bottom of the page to continue the process of terminating the selected individuals.</p>				
Search Criteria				
Individual CRD Number	<input type="text" value="1111111"/>	Last Name	<input type="text"/>	
Billing Code	<input type="text"/>	SSN	<input type="text"/>	
<input type="button" value="Search"/>				
Search Results				
Records per Page: 25 Total Records: 1				
CRD#	Individual Name	Billing Code	Begin Date	Select All
1111111	DOE, JOHN		02/06/2006	<input checked="" type="checkbox"/>
Records per Page: 25 Total Records: 1				
<input type="button" value="Add to List"/>				
Individuals Added to List				
CRD#	Individual Name	Billing Code	Begin Date	
2222222	DOE, JANE		04/21/2009	
1111111	DOE, JOHN		02/06/2006	
<input type="button" value="Continue"/>				

4. Enter the **End Date** for each individual on the list.

Or

4a. To enter the same **End Date** for multiple individuals, use the calendar at the top of the screen. Select the desired date of termination and click the **Terminate** button next to all individuals that the date applies. Click the **Populate** button.

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NRF Individuals Termination List

Select the checkbox for each individual you would like to terminate, or use the 'Select All' option to select all individuals on the page. You may enter a specific date for each individual or use the date field at the top of the page to populate the same date for all selected individuals. Click the 'Submit' button to submit the filing. The submitted filings will be reflected in Filing History as an NRF Amendment filing.

NRF Individuals Termination List					
CRD#	Individual Name	Billing Code	Begin Date	End Date	Terminate
22222222	DOE, JANE		04/21/2009	<input type="text"/>	<input type="checkbox"/>
11111111	DOE, JOHN		02/06/2006	<input type="text"/>	<input type="checkbox"/>

[Roster - Individual Firm Report](#)

[Add More Individuals](#)

Returning to add more Individuals to the List will result in losing all changes made to the dates and selections on this list. The list of Individuals originally added will not be lost.

[Submit](#)

Individuals that are not marked for termination will not have their association with the firm closed when the Submit button is selected.

5. When all individuals have been added and an **End Date** entered, click the **Submit** button.

NOTES:

- Future dates will not be accepted.
- Click Add More Individuals button if needed. Follow steps to add an individual.
- If you need listing of all of your active NRF individuals, click the Roster - Individual Firm Report hyperlink. You need entitlement for Reports to use this feature. Select Non-Registered from the drop-down menu located in the Include Individuals Section. Enter your User Initials and proceed to request and view the report. If you need additional guidance on requesting and viewing reports, please review the [Reports Quick Reference Guide](#).

Amend NRF Termination Dates

Firms are able to correct the Termination date for previously submitted NRF Amendment filings. This is done through the Individual Non-Filing Information (NFI) page on Web CRD.

1. Navigate to Individual NFI using the link on the sitemap or on the sub-menu of the Individual tab.

The screenshot shows the FINRA Web CRD homepage. The navigation bar includes links for CRD Main, IARD Main, Forms, Individual, Organization, Accounting, and Reports. Below this, there is a 'Site Map' section with a 'User Info' link. The main content area is divided into four columns: CRDMain, Forms, Individual, and Organization. Under the 'Individual' column, the 'Non-Filing Info' link is circled in red.

OR

The screenshot shows the FINRA Web CRD homepage. The navigation bar includes links for CRD Main, IARD Main, Forms, Individual, Organization, Accounting, and Reports. Below this, there is a 'Site Map' section with a 'User Info' link. The main content area is divided into four columns: CRDMain, Forms, Individual, and Organization. Under the 'Individual' column, the 'Non-Filing Info' link is circled in red.

2. Search for the individual and select the NRF Term Date Amendment link on the left navigation panel.
3. Enter the corrected date and click Save.

The screenshot shows the 'NRF Term Date Amendment' form. The left navigation panel has a 'Non-Filing Information' section with a link for 'NRF Term Date Amendment' circled in red. The main form area has a 'Quick Search' section with a search box and a 'Search' button. Below this, there is a 'NRF Employment History' section with a 'Start Date' field (02/01/2015) and a 'Term Date' field (02/23/2015). The 'Term Date' field is circled in red. A 'Save' button is located at the bottom right of the form.

4. The updated date will be visible in the Office of Employment Address History section of the Employment History page in View Individual. There will also be a non-clickable entry in Filing History.