Financial Industry Regulatory Authority

IA Only Firm
Entitlement Applications/Privileges

New privileges effective October 28, 2013, have been highlighted in yellow in this document.

Web CRD	
Organization	
View Organization Information	Provides the capability to **view** information about your Organization.
Non-Filing Information (read only)	Provides the capability to **view** the Firm's Non-Filing information (contact information, trustee information, name change history, and mass transfer history).
Maintain Firm Notification	Provides the capability to **view & maintain** the Firm's Notification information.
Firm Queues	Provides the capability to **view** Firm Notices. (Current Deficiencies, Withdrawal or Termination, SFG Retirement)
Mass Transfers	Provides the capability to **prepare** a Mass Transfer of individuals from one Member Firm to another without requiring U4 filings, U5 filings, or fingerprint cards submission. (FINRA, RAD must initiate process)
Individual	
View Individual Information	Provides the capability to **view** information about individuals that have been previously employed or currently employed by your Firm or your Firm's Simultaneous Filing Group.
Non-Filing Information	Provides the capability to **view** the Individual's Non-Filing information.
IARD Transition Registrations	Provides the capability to **transition** an existing Investment Adviser Representative's State IA Registrations.
Firm Queues	Provides the capability to **view** Individual Notices. (Registrations, Disclosure, Fingerprint, Exams, CE, & Termination)
View Individual SSN	Provides the capability to **view** Social Security numbers.
Form Filing	
Form U4	Provides the capability to **enter** Initial, Amendment, Concurrence, Page 2 for BD Schedule A or B, Relicense, and Dual Registration form filings.
Form U5	Provides the capability to **enter** Partial, Full and Amendment U5 form filings.
Form BR	Provides the capability to **enter & submit** BR Initial, Amendment and Closing/Withdrawal form filings.
Accounting	Provides the capability to **view** your Firm's Accounting data.
Reports	Provides the capability to **access** ReportMart to retrieve your Firm's Reports.
Individual – SSN Audit Download	Provides a list of users who viewed social security numbers (SSN) during the specified timeframe.

IARD	
Investment Adviser Applications	
IA Organization	
IA View Organization Information	Provides the capability to **view** information about your IA Firm.
IA Non-Filing Information	Provides the capability to **view** the Firm's IA Non-Filing Information.
Transitions	Provides the capability to **transition** state registrations and Notice Filings onto the system.
Firm Queues	Provides the capability to **view** Firm IA Notices.
View Individual SSN	Provides the capability to **view** Social Security numbers.
Forms	
Form ADV and ADV-W	Provides the capability to **enter:** **ADV -** Initial Application and Amendments to Form ADV. **ADV-W** - Partial and Full form filings.
Submit Forms	Provides the capability to **submit**: **ADV -** Initial Application and Amendments to Form ADV. **ADV-W** - Partial and Full form filings.
Accounting	Provides the capability to **view** your Firm's IA Accounting data.
Reports	Provides the capability to **access** ReportMart to retrieve your Firm's IA Reports.

PFRD (IA SEC-registered firms only)	
Forms	
Form PF	Provides the capability to **create & edit** Form PF filing online.
Submit Form	Provides the capability to **submit a** completed Form PF filing online.
XML Upload	

XML Web Service Upload and Check Filing Status	Provides the capability to **submit** a completed Form PF filing in XML format and view submission status and issues via Web Service.
XML Manual Upload	Provides the capability to **submit** Form PF filing in XML format on line.
XML On Line Filing Status	Provides the capability to **view** submission status and issues relating to Form PF filing on line.
View PF History List	Provides the capability to **view** a list of historical Form PF filings submitted by the firm. User is prohibited from viewing details within the actual filing
View PF History - All	Provides the capability to **view** historical Form PF filings submitted by the firm. Enables the user to view the full PF filing.

eBill	
Invoices	Provides the capability to **view** your eBill Invoices.
FINRA Flex-Funding Account (CRD/IARD Daily Account)	This account is used by firms to deposit money with FINRA and is also used for Registration -related fees.
Reallocation	This functionality allows users to **transfer** available funds from the FINRA Flex Funding Account to satisfy outstanding renewal assessments and other FINRA Invoices.
Renewal Account	This account is used to **satisfy** any outstanding renewal assessment.