Financial Industry Regulatory Authority

Non FINRA-registered Firm
(SEC, SEC/ISE and SEC/NSX)
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.
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 Contact (BD Only)	Provides the capability to **view & maintain** the Firm's Contact information.
Maintain Firm Notification	Provides the capability to **view & maintain** the Firm's Notification information.
Maintain RAPP Notification (BD Only)	Provides the capability to **maintain** the Web CRD Firm Notification, Fingerprint Card-RAPP
Maintain NYSE Branch Code Number	Provides the capability to **view & maintain** the Firm's NYSE Branch Code Number.
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.
View CHRI Information (BD Only)	Provides the capability to **view** an individual's Criminal History Report Information (CHRI).
Individual 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)
FBI Queue (BD Only)	Provides the capability to **view** fingerprint statuses received from the FBI. Provides the capability to **view & print** Criminal History Report Information (CHRI) received from the FBI.
View Individual SSN	Provides the capability to **view** Social Security numbers.
View Fingerprint Statuses (BD Only)	Provides the capability to **view** an individual's Fingerprint Statuses that are FBI Results.
Form Filing	
Form U4	Provides the capability to **enter & submit** Initial, Amendment, Concurrence, Page 2 for BD Schedule A or B, Relicense, and Dual Registration form filings.
Form U5	Provides the capability to **enter & submit** Partial, Full and Amendment U5 form filings.
Form BD and BDW (BD Only)	Provides the capability to **enter & submit** BD Amendment, Partial and Full BDW form filings.
Form BR	Provides the capability to **enter & submit** BR Initial, Amendment and Closing/Withdrawal form filings.
Form Non-Registered FP (BD Only)	Provides the capability to **enter & submit** Non-Registered individuals fingerprint card information.
Accounting	Provides the capability to **view** your Firm's Accounting data.
Reports	Provides the capability to **access** ReportMart to retrieve your Firm's Reports.
Fingerprint Reports (BD Only)	Provides the capability to **request** Web CRD reports containing Fingerprint Statuses.
Individual – SSN Audit Download	Provides a list of users who **viewed** social security numbers (SSN) during the specified timeframe.

E-Bill	
Invoices	Provides the capability to **view and pay** your E-Bill 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.