

Web CRDJurisdiction/SRO Branch Registration Review

Regulators that register branches via electronic Form BR submissions can update the registration status of branches in their jurisdiction using Web CRD[®].

Updating Jurisdiction/SRO Branch Registrations

Access Web CRD at https://crd.finra.org.



Questions on Web CRD? Call Regulatory User Support at 240-386-4242 9 A.M. - 5 P.M., ET, Monday through Friday

©2017. FINRA. All rights reserved. Materials may not be reprinted or republished without the express permission of FINRA. Individuals, firms, and data mentioned in these materials are fictitious and are presented exclusively for purposes of illustration or example.

3. From the *NFI Organization Search Criteria* screen, enter identifying search criteria and click **Search**.

Non-Filing Information	NFI Organization Search Criteria							
 NFI Organization Search 	Search by CRD/	IARD Numb	er					
	CRD/IARD Num	ber:						
	Search by SEC I	Number						
	SEC Number:	● 8- ○ 801- ○ 802-						
	Search by Name and Main Office Location							
	Firm Name:					Type of Search:	 Starts with Contains 	
	Names to Searc	h:	ALL Names		•		© Sounds-like	
			Availab	e States		Selected State(s)		
		Ala Ala Ariz Ark Cal	bama ska cona ansas ifornia	•	>> <<		×.	
	Select Number of Rows							
	Number of Rows per Page: 25							
					Search]		

4. Click the **Primary Business Name** hyperlink to select the firm.

Non-Filing Information	NFI Organization Search Results							
NFI Organization Search	< <previous next="">> Rows 1 to 1</previous>							
	Primary Business Name		Name Search Located CRD SEC Home Source				Source of	
	CECUPITIES FIRM			Number	Number	State	Information	
	SECORITIES FIRM			Dark range		MD	CRD/IARD	
		-	< <previous next="">> Rows 1 to 1</previous>					

5. Select **Branch Registrations** from the left navigation bar.

Quick Search							
Search	Maintain CRD Contact Info						
Non Filling Toformation	Organization CRD Number	: (m.)	Organization Name: SECURITIES FIRM				
Non-Filing Information	Organization SEC Number:		Applicant Name: SECURITIES FIRM				
 Contact Information 							
 Review Methods 							
 Trustee Information 	Contact Name	Name JOHN DOE E-Mail JODE@SECURITIESFIRM.COM 555-555-555					
 Organization Names 	Contact E-Mail						
Mass Transfer History	Phone						
 Registrations 	Fax						
- Breach Basisteria	Street 1						
 Branch Registrations 	Street 2 SUITE 100						
 Branch Review Method 	City	ROCKVILLE					
 Firm Regulatory Notes 	State	MD					
Branch Regulatory Notes	Country	USA					
	ZIP/Postal Code	20850					

- 6. From the *Branch Office Search* screen, enter identifying information to perform a search. Leave all fields blank to display all branches.
- 7. Click Search.

NOTE: a.) A firm's main office is not displayed when conducting a branch search.

- b.) The system only displays active branches that are located in the jurisdiction/SRO where the user is associated.
- 8. Click the **CRD Branch Number** hyperlink to select the branch.
- 9. Click the blue Update button on the far-right.

Branch Office Registration Status Summary						
Organization CRD Number: Organization Or		Organization Name: SECURITIES FIRM				
Organization SEC Number	er:	Applicant Name: SECURITIES FIRM				
Branch CRD Number: 🔤	13/312	Branch Office Address: 123 Elm Street Suite 100, Dallas, TX 75001, UNITED STATES				
Branch Code Number: 878296 Fi		Firm Billing Code: 8484				
Regulator	Current Status	Status Date				
Texas	Pending	03/24/2014 Update				

10. Click the drop-down arrow in the **New Status** field, and select the appropriate status.

Maintain Branch Registration Status							
Organization CRD Number:		Organization Name: SECURITIES FIRM					
Organization SEC Number:		Applicant Name: SECURITIES FIRM					
Branch CRD Number:			Branch Office Address: 123 Elm Street Suite 100, Dallas, TX 75001, UNITED STATES				
Branch Code Number: 878296			Firm Billing Code: 8484				
Regulator:			Texas				
	New Status:	Approve	d	•			
Current Effective Date:			03/24/2014				
New Effective Date:			14				
BD Branch Date:							
Save							

11. Enter a date in the **Effective Date** field.

12. Click Save.

NOTE: If the last active branch office registration or notice filing status is changed to a Termed status, the system will display the following warning: "The change you are about to make is permanent. All active individuals associated with this branch office will be re-associated to the firm's main office if this is the only office the individual is associated with. Click "Yes" to confirm this action or "No" to cancel it".