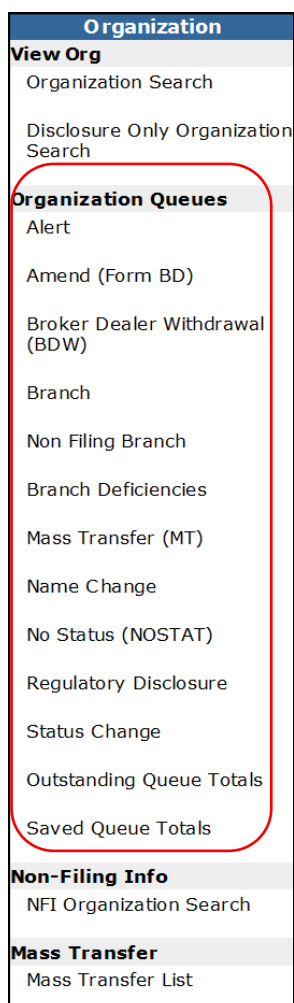


The **Jurisdiction/SRO Queues for Organizations** provide the mechanism for jurisdictions and SROs to receive notifications of broker-dealer form filings, branch form filings, registration status changes, outstanding filing deficiencies, disclosure information and mass transfers, as well as, changes to a registrations status. Access Web CRD® at <https://crd.finra.org>.

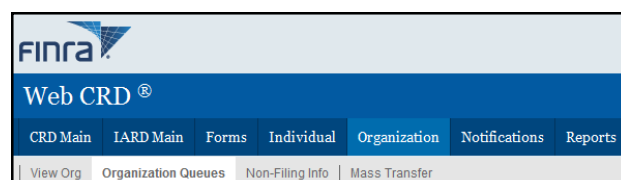
There are two ways to access the **Jurisdiction/SRO Queues for Organizations** in Web CRD.

1. From the **Organization** section of the Web CRD Site Map, click directly on the hyperlink for a specific queue.

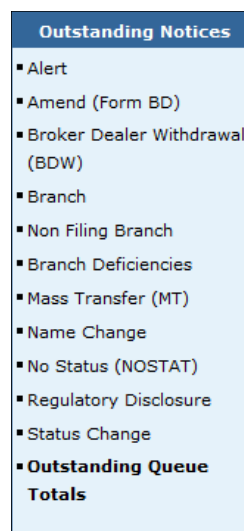


OR

1. Click the **Organization** tab on the toolbar.



2. Click **Organization Queues** on the sub menu.
3. Choose a specific queue on the left navigation panel.



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

Jurisdiction/SRO Organization Queue Types

There are 11 types of Jurisdiction/SRO queues.

1. **Alert:** Lists notices of broker-dealers who have not corrected deficiencies within 30, 60 or 90 days. Notices are automatically deleted after 120 days.
2. **Amend (Form BD):** Lists notices of Form BD filings pertaining to firms with one of the following statuses: No Status, Approved, Termination Requested, or Pending Approval. Branch amendments will appear in the Branch queue only and not in the Amend queue. Notices are automatically deleted after 30 days.
3. **Broker-Dealer Withdrawal (BDW):** Lists notices of broker-dealer full or partial withdrawal requests from the user's state or SRO. The status of these firms is Termination Requested. Notices are automatically deleted after 120 days.
4. **Branch:** Notifies the regulator of Form BR filings made for a branch located within a jurisdiction. For SROs, the queue lists all Form BR filings made for branches that registered or notice filed with the SRO. Notices are automatically deleted after 120 days.
5. **Non Filing Branch:** Lists notices of branches whose branch status has changed without a Form BR filing. Notices are automatically deleted after 30 days.
6. **Branch Deficiencies:** Notifies the regulator of deficiencies for each branch office.
7. **Mass Transfer (MT):** Notifies the regulator of the status of Mass Transfers scheduled for firms in that jurisdiction.
8. **Name Change:** Lists notices of broker-dealer name changes. Notices are automatically deleted after 30 days.
9. **No Status:** Lists notices of broker-dealer filings pertaining to firms with a No Status registration status. Notices are automatically deleted after 120 days.
10. **Regulatory Disclosure:** Lists notices of disclosure actions taken by other jurisdictions, the SEC, FINRA, and other SROs through a Form U6. Notices are automatically deleted after 30 days.
11. **Status Change:** Lists notices of registration status changes. Regulators will see all changes that terminate broker-dealers. Notices are automatically deleted after 30 days.

Outstanding Notices
▪ Alert
▪ Amend (Form BD)
▪ Broker Dealer Withdrawal (BDW)
▪ Branch
▪ Non Filing Branch
▪ Branch Deficiencies
▪ Mass Transfer (MT)
▪ Name Change
▪ No Status (NOSTAT)
▪ Regulatory Disclosure
▪ Status Change
▪ Outstanding Queue Totals

12. **Outstanding Queue Totals:** Lists all of the queues with the number of items in each queue.

NOTE: SEC users do not have the following queues: Branch, Non Filing Branch, Branch Deficiencies and No Status. SEC users do have a Holding queue.

Working the Queues

In Organization Queues, you can:

- Sort queue notices
- Review notices
- Change a registration status, if applicable
- Send a notice from the Outstanding Notice Queue to the Saved Notice Queue
- Remove items from the queue

Sorting the Notice Queues

A) You can filter your search to include:

- All Assignments: displays all notices in the queue, regardless of the individual the notice is assigned to
- Only Unassigned
- Starts With: displays notices in the queue assigned to a specific person

B) To review only those notices that are assigned to you:

1. Click the **Starts With** radio button.
2. Enter the first letter of your last name in the text box.
3. Click **Display Queue**.

The screenshot shows the 'Alert Notice Queue Search Criteria' interface. On the left is a sidebar titled 'Outstanding Notices' with a list of categories: Alert, Amend (Form BD), Broker Dealer Withdrawal (BDW), Branch, Non Filing Branch, Branch Deficiencies, Mass Transfer (MT), Name Change, No Status (NOSTAT), Regulatory Disclosure, Status Change, and Outstanding Queue Totals. The main area is titled 'Alert Notice Queue Search Criteria' and contains two sections: 'Include Assignments' and 'Select Sort Criteria'. In the 'Include Assignments' section, the 'All' radio button is selected, and the 'Only Unassigned' and 'Starts With' options are unselected. In the 'Select Sort Criteria' section, 'Notice Date' is selected in a dropdown menu, and the 'Descending' radio button is selected. A 'Display Queue' button is located at the bottom center of the main area. In the top right corner, there are icons for help and printer-friendly options.

C) You can also select to sort the results by specific column headings in ascending or descending order:

- Assigned To
- Notice Date
- Filing Date
- CRD #
- SEC #
- Registration Status
- Organization Name

Working the Queues Notices

- You may assign queue items to staff members by entering the staff member's name in the **Assigned To** field and clicking **Save Updates**.
- Click the arrow in the gray box to display details of the *Notice Queue* screen.
- Select the **Remove** box and click **Save Updates** to remove a specific notice from the queue.
- Click **Remove Page** to remove all of the notices on the page.

Outstanding Notices		Alert Notice Queue						
<ul style="list-style-type: none"> ▪ Alert ▪ Amend (Form BD) ▪ Broker Dealer Withdrawal (BDW) ▪ Branch ▪ Non Filing Branch ▪ Branch Deficiencies ▪ Mass Transfer (MT) ▪ Name Change ▪ No Status (NOSTAT) ▪ Regulatory Disclosure ▪ Status Change 		<<Previous Next >> Rows 1 to 25						
		Save Updates		Remove Page				
Assigned To		Notice Date	Filing Date	CRD #	SEC #	Registration Status	Organization Name	Remove
<input type="text"/>	>	09/19/2008	09/19/2008	0000		Approved	SECURITIES FIRM A	<input type="checkbox"/>
<input type="text"/>	>	09/19/2008	09/19/2008	1111		Approved	SECURITIES FIRM B	<input type="checkbox"/>
<input type="text"/>	>	09/19/2008	09/19/2008	2222		Approved	SECURITIES FIRM C	<input type="checkbox"/>

Tips for Working a Notice Screen

- Click the **Firm's CRD number** to view the firm's record in View Organization
- Click **Send to Save** to remove the notice from the Outstanding Notice Queue and place it into the Saved Notice Queue to work on at a later time.
- Click **Save Updates** to save the current content of Regulator Comments and the check marks that indicate that you reviewed the section or deficiency.
- Click **Registration Status** to bring up the screen to change the registration status of the firm. Clicking this button links you to the **Non Filing Information** section for **Organizations**.

An example of an *Alert Notice* screen is shown on page 5.

Alert Notice

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

Notice ID - Notice Date	18227247 - 09/19/2008									
Assigned To										
Organization - Entity Type	0000 - SECURITIES FIRM - Corporation									
Alert Type	30 Day: PLEASE TAKE APPROPRIATE ACTION									
Alert	A Form BD dated 19-SEP-2008 resulted in deficiencies and the firm has not submitted the requested information within 30 days.									
Address	123 SECURITIES LANE SUITE 100 ROCKVILLE, MD 20850 USA									
Contact	JOHN DOE									
Contact Phone	555-555-5555									
Filing ID - Filing Date	22857862 - 09/19/2008									
IRS Number - SEC Number										
Date Deficiencies Cleared										
Current Auto Deficiencies										
Current Manual Deficiencies										
Registration Status	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td>FINRA:</td> <td>09/19/2008</td> <td>- APPROVED</td> </tr> <tr> <td>SEC:</td> <td>09/19/2008</td> <td>- HOLDING</td> </tr> <tr> <td>TX:</td> <td>09/19/2008</td> <td>- APPROVED</td> </tr> </table>	FINRA:	09/19/2008	- APPROVED	SEC:	09/19/2008	- HOLDING	TX:	09/19/2008	- APPROVED
FINRA:	09/19/2008	- APPROVED								
SEC:	09/19/2008	- HOLDING								
TX:	09/19/2008	- APPROVED								
Regulator Comments										

Changing a Firm's Registration Status

Changing a firm's registration status must be completed in the Non Filing Info queues of Web CRD. Clicking **Registration Status** from a *Notice* screen will allow you to access the Non Filing Info queues.

To change a firm's registration, complete the following steps.


1. From the *Notice* screen click **Registration Status**.
2. From the *Current Registration Summary* screen, click the **Status Update** arrow in the gray box to access the *Update Current Registration* screen.

Current Registration Summary

Organization CRD#: 0000	Organization Name: SECURITIES FIRM		
Organization SEC#: 8-	Applicant Name: SECURITIES FIRM		

Regulator	Status		Status Date
Texas	Update		APPROVED 09/19/2008

- From the *Update Current Registration* screen, click the **Status** drop-down arrow and choose a registration status.

Quick Search		Update Current Registration	
<input type="text"/>		Organization CRD#: 0000	Organization Name: SECURITIES FIRM
<input type="button" value="Search"/>		Organization SEC#: 8-	Applicant Name: SECURITIES FIRM
Non-Filing Information		Regulator	Texas
<ul style="list-style-type: none"> ▪ Contact Information ▪ Review Methods ▪ Trustee Information ▪ Organization Names ▪ Mass Transfer History ▪ Registrations ▪ Branch Registrations ▪ Branch Review Method ▪ Regulatory Notes 		Status	Approved 
		Effective Date	09/19/2008 (MM/DD/YYYY)
		Explanation	APPROVE THE BD FILING
		SEC Number	8-
		<input type="button" value="Save"/> <input type="button" value="Reset"/>	

- Enter an **Effective Date**.
- Enter an **Explanation** of the status change.
- Click **Save**.