

2017 NASAA Broker-Dealer Examination & Registration Training

Web CRD[®] 101 – General Overview



Topics

■ Accessing Web CRD

- FINRA Entitlement Program
- Logging into Web CRD
- Forgot Password
- Security Challenge
- CRD Main

■ Individual

- View Individual
- Individual Non-Filing Information

■ Organization

- View Organization
- Organization Non-Filing Information

■ Notifications

■ Resources

- Broadcast Messages
- FINRA Contact Information

■ Questions

Accessing Web CRD



FINRA Entitlement Program

■ Role of the Super Account Administrator (SAA)

- Create, modify, maintain and delete Account Administrator (AA) and user accounts for FINRA applications.
- Periodically review the firm's user accounts and certify that users are properly entitled.

■ Role of the Account Administrator (AA)

- Create, modify, maintain and delete user accounts for FINRA applications.

■ Role of FINRA Regulatory Support Staff

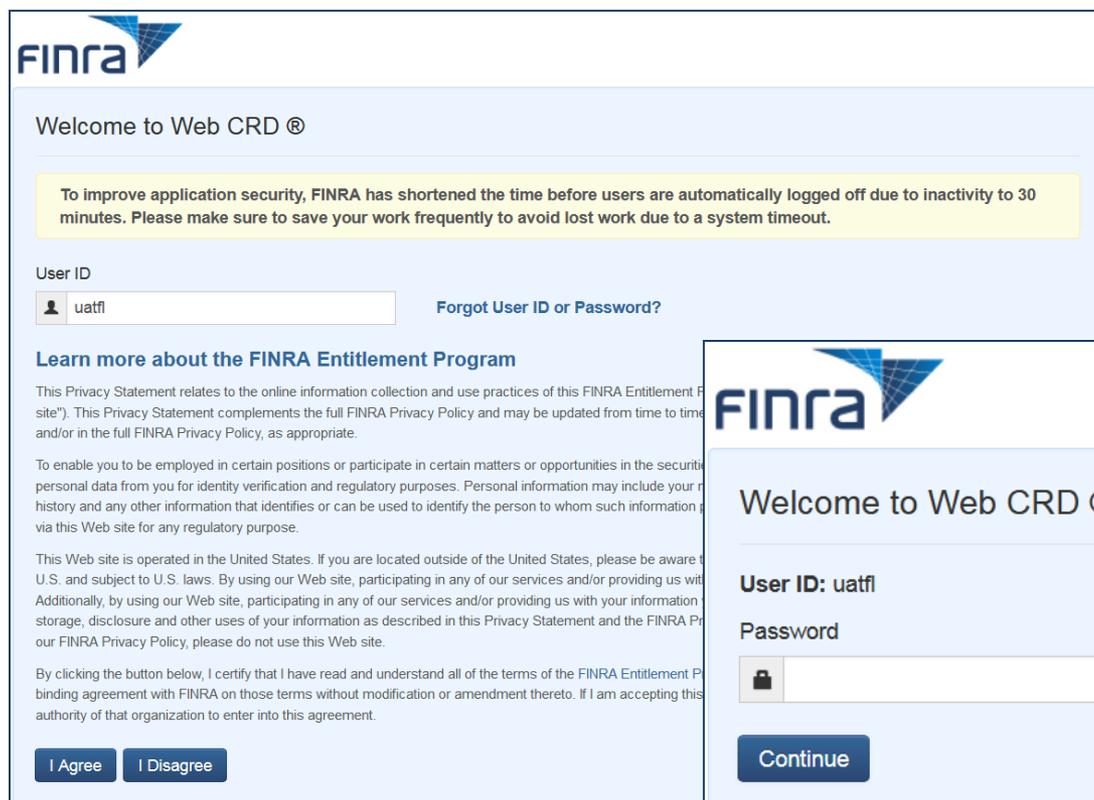
- Activate/change passwords for SAA user accounts and also for all other user accounts when their SAA or AA is unavailable.

■ FINRA Entitlement Program Page

- <http://www.finra.org/industry/entitlement-program>

Logging into Web CRD

■ Access Web CRD: <https://crd.finra.org>



FINRA

Welcome to Web CRD ®

To improve application security, FINRA has shortened the time before users are automatically logged off due to inactivity to 30 minutes. Please make sure to save your work frequently to avoid lost work due to a system timeout.

User ID
 [Forgot User ID or Password?](#)

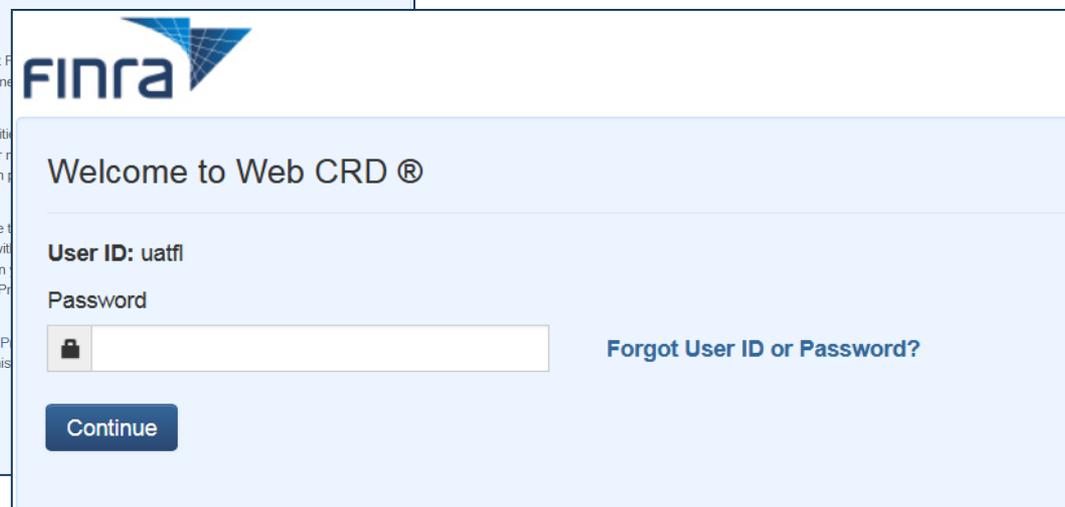
Learn more about the FINRA Entitlement Program

This Privacy Statement relates to the online information collection and use practices of this FINRA Entitlement Program (the "Program" or "Site"). This Privacy Statement complements the full FINRA Privacy Policy and may be updated from time to time and/or in the full FINRA Privacy Policy, as appropriate.

To enable you to be employed in certain positions or participate in certain matters or opportunities in the securities industry, FINRA may collect and use personal data from you for identity verification and regulatory purposes. Personal information may include your name, address, phone number, email address, social media history and any other information that identifies or can be used to identify the person to whom such information pertains. You consent to the collection and use of your personal information via this Web site for any regulatory purpose.

This Web site is operated in the United States. If you are located outside of the United States, please be aware that you may be subject to U.S. laws. By using our Web site, participating in any of our services and/or providing us with your information, you agree to the storage, disclosure and other uses of your information as described in this Privacy Statement and the FINRA Privacy Policy. If you do not agree with our FINRA Privacy Policy, please do not use this Web site.

By clicking the button below, I certify that I have read and understand all of the terms of the FINRA Entitlement Program and agree to be bound by the terms of the binding agreement with FINRA on those terms without modification or amendment thereto. If I am accepting this agreement, I agree to the authority of that organization to enter into this agreement.



FINRA

Welcome to Web CRD ®

User ID: uatfl

Password

[Forgot User ID or Password?](#)

Logging into Web CRD (continued)

- First time users will be required to provide Security Information (i.e. questions and responses).
- Security Information will be validated when users access the Forgot Password feature.

FINra

Setup of Security Information:

User ID: uatn

Please select security questions and provide answers. Choose answers that are easy to remember. Use one word answers when questions as part of a security check when you call us or when you login from an unregistered device. Fields marked with * are required.

Question 1:
In what city is your vacation home? (Enter full name of city) ▼

Answer: *
uat

Question 2:
In what city was your mother born? (Enter full name of city) ▼

Answer: *
uat

Question 3:
What is your father's middle name? ▼

Answer: *
uat

Save

Forgot Password

- Select the “Forgot User ID or Password?” link to retrieve your user ID or reset your password.



FINra

Welcome to Web CRD ®

To improve application security, FINRA has shortened the time before users are automatically logged out to 15 minutes. Please make sure to save your work frequently to avoid lost work due to a system time out.

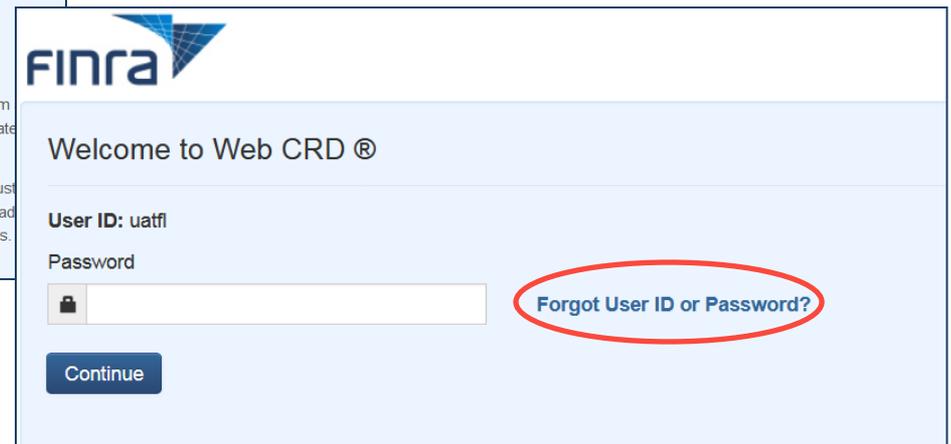
User ID

[Forgot User ID or Password?](#)

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To enable you to be employed in certain positions or participate in certain matters or opportunities in the securities industry, FINRA may collect personal data from you for identity verification and regulatory purposes. Personal information may include your name, address, history and any other information that identifies or can be used to identify the person to whom such information pertains. For more information, please see the full FINRA Privacy Policy available on this Web site for any regulatory purpose.



FINra

Welcome to Web CRD ®

User ID: uatfl

Password

[Forgot User ID or Password?](#)

Forgot Password (continued)

- After providing your user ID and the appropriate security information, a new password will be emailed to the user.

Forgot My Password

A new password will be emailed to you shortly. You will be required to change this password when you log into the system.

If you have received this message in error, Investment advisors should contact us at 240-386-4848 [☎](#) and all others should contact us at 301-869-6699 [☎](#).

Please note, if you have attempted to login using an incorrect password **five or more times or your account has been disabled**, you will need to contact your account administrator in order to access the system.

Challenge Questions

- If the “*Remember this computer*” checkbox is not selected, you may be required to answer your designated Security Question(s) more often.

The image displays two screenshots of the FINRA Web CRD interface. The left screenshot shows a page titled "Answer your Security Question". It features the FINRA logo at the top left. Below the title, the user ID is displayed as "User ID: uatfl". A yellow callout box contains the text: "Verify your user ID, then answer the security question. Fields marked with * are required." The security question is "What was the name of your first girlfriend/boyfriend? *", followed by an input field with an information icon. At the bottom, a checkbox labeled "Remember this computer (Choose this option only if this is your personal computer & you trust this computer)" is highlighted with a red border. A "Submit" button is located at the bottom left.

The right screenshot shows a "Welcome to Web CRD" login page. It features the FINRA logo at the top left. Below the title, the user ID is displayed as "User ID: uatfl". There is a "Password" field with a lock icon and a "Forgot User ID or Password?" link. A "Continue" button is located below the password field. There is also a checkbox labeled "Edit Enrollment Information". At the bottom, there is a footer with the text: "If you are experiencing any difficulties logging into the system, please contact your Administrator for assistance. If you are a Super Account Administrator, contact the Gateway Call Center at 301-869-6699 for Assistance. Do NOT bookmark this page or add it to your favorites. If you would like to create a bookmark or add this application to your favorites, please create the bookmark or add it to your favorites after successfully logging in. Privacy | Legal | Terms & Conditions ©2014 FINRA. All rights reserved. FINRA is a registered trademark of the Financial Industry Regulatory Authority, Inc."

CRD Main Site Map

- After successfully logging in, the links displayed on this page are determined by each user's level of entitlement.

Web CRD [®]						
CRD Main	IARD Main	Forms	Individual	Organization	Notifications	Reports
Site Map		User Info				
CRDMain	Forms	Individual	Organization	Notifications	Reports	
User Info	Form U6	View Individual	View Org	Home	Home	
Blank Forms	Create New U6 Filing	Individual Search	Organization Search	Agent Registration (Flag to Advise)	Request Report	
FAQ	CRD Individual	Disclosure Only Individual Search	Disclosure Only Organization Search	Individual Disclosure Filing Received	View Report	
Release Notes	Disclosure Only Individual	Non-Filing Info	Organization Queues	Organization Disclosure Filing Received		
SRO/Jurisdiction Fee and Setting Schedule	CRD/IARD Organization	NFI Individual Search	Alert	Other Notifications		
Recommended Browsers	Disclosure Only Organization	Jurisdiction Acceptance Queues	Amend (Form BD)			
Certified EFS Vendors	Pending U6 Filings	Manual Approval	Broker Dealer Withdrawal (BDW)			
Send Comments	Historical U6 Filings	Temporary Registrations	Branch			
		US Manual	Non Filing Branch			
		Waivable Deficiencies	Branch Deficiencies			
		Acceptance Queue Totals	Mass Transfer (MT)			
		Jurisdiction Notice Queues	Name Change			
		Automatic Approval	No Status (NOSTAT)			
		CHRI Received from FBI	Regulatory Disclosure			
		Delinquent US Notice	Status Change			
		Disclosure Notice	Outstanding Queue Totals			
		SRO Inactive Notice	Saved Queue Totals			
		SRO Termination Notice				

View Individual



View Individual – Individual Search

- Users can use Simple or Advanced Search functionality.
- Enter individual's CRD Number, SSN or Name.

The screenshot shows the 'Web CRD' interface with the 'Individual' tab selected. The 'CRD Individual Search' section has two tabs: 'Simple Search' and 'Advanced Search'. The 'Simple Search' tab is highlighted with a red circle. Below the tabs is a 'Search For:' input field and a 'Search' button. A tip below the input field reads: 'Tip: You can enter name, CRD number or S...'. The left sidebar shows 'Individual Search' with sub-items 'Individual Search' and 'Disclosure Only Individual Search'.

The screenshot shows the 'Web CRD' interface with the 'Individual' tab selected. The 'CRD Individual Search' section has two tabs: 'Simple Search' and 'Advanced Search'. The 'Advanced Search' tab is highlighted with a red circle. Below the tabs are three search sections: 'Search by CRD Number' with a 'CRD Number' input field; 'Search by Social Security Number' with an 'SSN (xxx-xx-xxxx):' input field; and 'Search by Name' with 'Name:' and 'Firm Name:' input fields, a 'Sounds Like' checkbox, and a 'Firm CRD Number:' input field. The left sidebar shows 'Individual Search' with sub-items 'Individual Search' and 'Disclosure Only Individual Search'.

View Individual - Composite Information

- Composite Information provides a summary of the individual's current administrative and employment information, disclosure counts, and CE status.

Quick Search		Composite Information																																																																																							
<input type="text"/> <input type="button" value="Search"/>		Individual CRD#																																																																																							
View Individual		Individual Name: LAST, FIRST MI																																																																																							
<ul style="list-style-type: none"> Composite Information Personal Information Employment History Other Business Registrations Summary Registrations with Current Employers Registrations with Prior Employers Disclosures Deficiencies Exam Information Current Professional Designations Continuing Education Fingerprint Cards Document Listing Filing History Regulatory Notes Registration Comments Legacy Information Request Snapshot Non-Filing Information Broker/IAR Comments Pre-Registration Qualifications 		<table border="1"> <tr> <td>Full Legal Name</td> <td colspan="4">LAST, FIRST MI</td> </tr> <tr> <td>Social Security Number</td> <td colspan="4">XXXX-XX-XXXX</td> </tr> <tr> <td>Date Of Birth</td> <td colspan="4">MM/DD/YYYY</td> </tr> <tr> <td rowspan="5">Employment</td> <td>Name</td> <td colspan="3">FIRM NAME (12345)</td> </tr> <tr> <td>Position</td> <td colspan="3">Registered Representative</td> </tr> <tr> <td>Independent Contractor</td> <td colspan="3">No</td> </tr> <tr> <td>CRD Branch Number</td> <td>FINRA 053</td> <td>Address</td> <td>Firm Billing Code</td> </tr> <tr> <td>BD Main - Supervised From</td> <td></td> <td>STREET CITY, ST ZIP CODE</td> <td>NYSE Branch Code Number</td> </tr> <tr> <td></td> <td>123456 - Located At</td> <td>Yes</td> <td>STREET CITY, ST ZIP CODE</td> <td></td> </tr> <tr> <td>Residential Address</td> <td colspan="4">STREET CITY, ST ZIP CODE</td> </tr> <tr> <td>Reportable Disclosures?</td> <td colspan="4">The specified individual has no disclosure that qualifies under this section (i.e., disclosure required to be reported on Form U4 or Form U5). Regulatory and Broker/Dealer Users: Please note that there are three types of disclosure in Web CRD: Reportable, Legacy and Archive disclosure. An individual with no reportable disclosure may or may not have Legacy or Archive disclosure. Investment Adviser Users: Please note that IARD does not include Legacy disclosure. Information reported on previous form filings through IARD is available under Filing History.</td> </tr> <tr> <td>Statutory Disqualification Status</td> <td colspan="4">Last Updated</td> </tr> <tr> <td>Has Material Difference in Disclosure?</td> <td colspan="4">No</td> </tr> <tr> <td>Current CE Status</td> <td colspan="4">Satisfied</td> </tr> <tr> <td rowspan="2">Disclosure Counts - Current Disclosures</td> <td>Criminal</td> <td>Regulatory Action</td> <td>Customer Complaint</td> <td>Other</td> </tr> <tr> <td>0</td> <td>0</td> <td>0</td> <td>0</td> </tr> <tr> <td rowspan="2">Disclosure Counts - Historical Disclosures</td> <td>Criminal</td> <td>Regulatory Action</td> <td>Customer Complaint</td> <td>Other</td> </tr> <tr> <td>0</td> <td>0</td> <td>0</td> <td>0</td> </tr> </table>				Full Legal Name	LAST, FIRST MI				Social Security Number	XXXX-XX-XXXX				Date Of Birth	MM/DD/YYYY				Employment	Name	FIRM NAME (12345)			Position	Registered Representative			Independent Contractor	No			CRD Branch Number	FINRA 053	Address	Firm Billing Code	BD Main - Supervised From		STREET CITY, ST ZIP CODE	NYSE Branch Code Number		123456 - Located At	Yes	STREET CITY, ST ZIP CODE		Residential Address	STREET CITY, ST ZIP CODE				Reportable Disclosures?	The specified individual has no disclosure that qualifies under this section (i.e., disclosure required to be reported on Form U4 or Form U5). Regulatory and Broker/Dealer Users: Please note that there are three types of disclosure in Web CRD: Reportable, Legacy and Archive disclosure. An individual with no reportable disclosure may or may not have Legacy or Archive disclosure. Investment Adviser Users: Please note that IARD does not include Legacy disclosure. Information reported on previous form filings through IARD is available under Filing History.				Statutory Disqualification Status	Last Updated				Has Material Difference in Disclosure?	No				Current CE Status	Satisfied				Disclosure Counts - Current Disclosures	Criminal	Regulatory Action	Customer Complaint	Other	0	0	0	0	Disclosure Counts - Historical Disclosures	Criminal	Regulatory Action	Customer Complaint	Other	0	0	0	0
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View Individual – Personal Information

- Certain Personal Information can only be corrected by FINRA (RAD) staff.

Quick Search

View Individual

- Composite Information
- **Personal Information**
- Employment History
- Other Business
- Registrations Summary
- Registrations with Current Employers
- Registrations with Prior Employers
- Disclosures
- Deficiencies
- Exam Information
- Current Professional Designations
- Continuing Education
- Fingerprint Cards
- Document Listing
- Filing History
- Regulatory Notes
- Registration Comments
- Legacy Information
- Request Snapshot
- Non-Filing Information
- Broker/IAR Comments
- Pre-Registration Qualifications

Personal Information

Individual CRD#: _____ Individual Name: LAST, FIRST MI

Other Names Known by	LAST, FIRST MI
Social Security Number	XXXX-XX-XXXX
Date of Birth	MM/DD/YYYY
State/Country of Birth	NEW JERSEY USA
Sex	M
Height	5 ft 9 in
Weight	135 lbs
Hair Color	Brown
Eye Color	Brown

Personal Residential History

From	To	Street	City	State/Country	Zip
05/2010	Present	STREET	CITY	STREET	12345

View Individual – Registrations Summary

- The Registration Summary section provides access to an individual's current and prior employers.

Quick Search

Search

View Individual

- Composite Information
- Personal Information
- Employment History
- Other Business
- **Registrations Summary**
- Registrations with Current Employers
- Registrations with Prior Employers
- Disclosures
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- Regulatory Notes
- Registration Comments
- Legacy Information
- Request Snapshot
- Non-Filing Information
- Broker/LAR Comments
- Pre-Registration Qualifications

Registrations Summary

Individual CRD# _____ **Individual Name:** LAST, FIRST MI

Current Firm(s): _____

Registrations Summary With Current Employers

Firm Name	Firm CRD	Start Date	IARD Regs.	CRD Regs.	SFG Member
FIRM NAME	12345	10/2013	N	Y	N

Prior Firm(s): _____

Registrations Summary With Prior Employers

⚠ No Prior Employers Found.

[Back to Top](#)

Registrations with Current Employers

Firm CRD # : 12345 **Firm Name :** FIRM NAME

Employment Start Date _____ 10/14/2013

Regulatory Authority	Registration Category	Filing Date	Status Date	Registration Status	Approval Date
FINRA	QS	01/27/2014	03/05/2014	APPROVED	03/05/2014
TX	AG	05/01/2014	05/01/2014	DEFICIENT	

Regulatory Authority	Registration Category	Filing Date	Status Date	Registration Status	Approval Date
NY	AG	05/01/2014	05/01/2014	DEFICIENT	
OH	AG	05/01/2014	05/01/2014	APPROVED	05/01/2014
VA	AG	05/01/2014	05/01/2014	DEFICIENT	

[Back to Top](#)

Registrations with Current Employers / History Details

- Click on the AG or RA hyperlink to view previous statuses.

Registrations with Current Employers					
Firm CRD # : 12345		Firm Name : FIRM NAME			
Employment Start Date					10/01/2012
Regulatory Authority	Registration Category	Filing Date	Status Date	Registration Status	Approval Date
FINRA	GS	11/14/2012	11/14/2012	APPROVED	11/14/2012
OH	AG	11/14/2012	11/14/2012	APPROVED	11/14/2012
OH	RA	11/14/2012	11/16/2012	APPROVED	11/16/2012

Registration History Details	
Individual CRD#:	Individual Name: LAST, FIRST MI
Firm CRD # : 12345	Firm Name : FIRM NAME
Regulatory Authority:	OH
Registration Category:	AG
Registration Status	Status Effective Date
APPROVED	11/14/2012
PENDING	11/14/2012

View Individual – Disclosure Letter History

- From the navigation bar, click Disclosures and then Disclosure Letter History to review disclosure related letters that were sent to firms by FINRA.

Resolved Letters					
Date Sent	Letter Type	Occurrence ID	Disclosure Type	Firms Sent To	
06/18/2003	Inquiry	21681	Customer Complaint	Resolved	
06/18/2003	Inquiry	21681	Customer Complaint	Resolved	
06/18/2003	Inquiry	21682	Customer Complaint	Resolved	
06/18/2003	Inquiry	21682	Customer Complaint	Resolved	
06/18/2003	Inquiry	21683	Customer Complaint	Resolved	
06/18/2003	Inquiry	21683	Customer Complaint	Resolved	
06/18/2003	Inquiry	21685	Customer Complaint	Resolved	
06/18/2003	Inquiry	204023	Customer Complaint	Resolved	
06/18/2003	Inquiry	21676	Regulatory Action	Resolved	
12/19/2006	Inquiry	21682	Customer Complaint	Resolved	

Resolved Letters					
Date Sent	Letter Type	Occurrence ID	Disclosure Type	Firms Sent To	
07/10/2000	Deficiency	78199	Regulatory Action	Resolved	
07/10/2000	Deficiency	78226	Regulatory Action	Resolved	
08/29/2000	Deficiency	78199	Regulatory Action	Resolved	
08/29/2000	Deficiency	78226	Regulatory Action	Resolved	
06/19/2001	Deficiency	78199	Regulatory Action	Resolved	
06/19/2001	Deficiency	78226	Regulatory Action	Resolved	
08/16/2010	Inquiry	78195	Customer Complaint	Resolved	
08/23/2010	Inquiry	78195	Customer Complaint	Resolved	
09/17/2010	Deficiency	78195	Customer Complaint	Resolved	

View Individual – Current Disclosure Summary

The Occurrence ID Number or the DRP Type (e.g., Customer Complain) hyperlink will allow you to view the Disclosure Occurrence Composite page. The Composite page consists of the most recent DRP submitted by each filing source (i.e. Form U4, U5 and/or U6) for that disclosure event.

Current Disclosure Summary									
Individual CRD#:				Individual Name: LAST, FIRST MI					
Occurrence	Reportable/ Disclosable		Eligible for Public Disclosure	Material Difference in Disclosure	Composite				
	Yes	Yes			Filing	Event Date	First Reported	Final Resolution	Questions Answered
Customer Complaint (1227366)	Yes	Yes		No	U4-DUAL Customer Complaint 03/22/2005 FIRM NAME (12345)	10/04/2004	11/15/2004	12/14/2004	14I(2)
Regulatory Action (1648197)	Yes	Yes		No	U6-REGINDVL Regulatory Action 04/12/2013 FINRA	04/05/2012	04/12/2013	04/12/2013	
					U4- AMENDMENT Regulatory Action 04/12/2013 FIRM NAME (12345)	04/10/2013	04/12/2013	04/12/2013	14D(1)(b)

The Filing Type hyperlink (e.g., U4 AMENDMENT) will allow you to view the last form filing that reported the disclosure event. The form filing includes all sections submitted and not just the DRP. You can also view the changes submitted on that particular filing.

The Date hyperlink will allow you to view all DRPs (historical and current) submitted for that disclosure event with the most recent DRP first.

View Individual – Deficiencies

- Individual Registration Deficiencies are applied for various reasons. On the Deficiencies Summary page, click the hyperlinked firm name to view the Deficiency Detail page.

Deficiencies Detail				
Individual CRD#:		Individual Name: LAST, FIRST MI		
Firm CRD#: 12345		Firm Name: FIRM NAME		
Current Deficiencies				
Regulatory Authority	Registration Category	Deficiencies	Days Deficient	
AZ	RA	Exam(s): S65	123	
Deficiencies History				
 Historical Deficiencies cleared prior to October 2008 will not be displayed.				
Regulatory Authority	Registration Category	Deficiencies	Date Deficiency Set	Date Deficiency Cleared
TX	RA	Exam: S65	01/11/2013	01/14/2013

View Individual – Exam Information

- Exam Information includes all current and historical exam information and, if applicable, exam waiver information.

Exam Information									
Individual CRD#:		Individual Name: LAST, FIRST MI							
Exam Appointments									
Exam ID	Enrollment ID	Appointment Status	Appointment Date	Vendor	Confirmation Number	Vendor Center ID	Location	Window Begin Date	Window End Date
S63	34373789	Scheduled	05/12/2014	PROMETRIC	0000000073963549	5879	NEW YORK, NY, USA	05/02/2014	08/30/2014
Exam History									
Exam ID	Enrollment ID	Exam Status	Status Date	Exam Date	Grade	Score	Window Begin Date	Window End Date	
S7	34227974	Official Result	03/05/2014	03/05/2014	Passed	78	01/28/2014	05/28/2014	
		Official Result	02/19/2014	02/20/2014	Late Cancel		01/28/2014	05/28/2014	

View Individual – Continuing Education

Current CE Regulatory Element Status		
Individual CRD#:		Individual Name: LAST, FIRST MI
Individual CE Information		
Current CE Status	SATISFIED	
CE Base Date	08/27/1997	
Session Type	101	
CE Appointments		
No CE Appointments Found		
Current CE Requirements		
No Current CE Requirements Found		
Next Requirement		
Window Dates	Requirement Type	Session
08/27/2014 - 12/24/2014	Anniversary	101

CE History							
Individual CRD#:		Individual Name: LAST, FIRST MI					
Individual CE Information							
Current CE Status		SATISFIED					
CE Base Date		08/27/1997					
Session Type		101					
Previous Requirement							
Requirement Type	Session	Status	Status Date	Window Dates	Result	Foreign Deferred	Military Deferred
Anniversary	101	SATISFIED	11/04/2011	08/27/2011 - 12/24/2011	CMLPT - 11/04/2011	N	N
	101	REQUIRED	08/29/2011	08/27/2011 - 12/24/2011		N	N
Inactive History							
No CE Inactive History Found							
Directed CE History							
No Directed Sequence History Found							

View Individual – Fingerprint Cards

- The ability to view fingerprint card statuses requires additional entitlement.

Fingerprint Cards					
Individual CRD#:		Individual Name: LAST, FIRST MI			
Firm Name	BarCode	Received Date	Status Date	<u>Status</u>	BarCode Re-Associated
FIRM NAME (12345)	2500340567	04/07/2014	04/07/2014	XXXX	

View Individual – Filing History

- Click on the hyperlinked form type to view the historical filing, and use the *View Changes* links to activate redlining.

Form Filing History			
Individual CRD#:		Individual Name: LAST, FIRST MI	
Filing Date	Form Type	Filing Type	Source
01/22/2013	U4	Initial	FIRM NAME (12345)
07/14/2011	U6	CRD Individual	FINRA
03/02/2007	U5	Full	FIRM NAME (12345)
01/11/2007	U4	Amendment	FIRM NAME (12345)
01/04/2007	U4		

View Filing Options

- View Changes From Previous Filing for Same Firm
- View Changes From Previous Filing

U4 - AMENDMENT 01/11/2007
Individual Name: LAST, FIRST MI
Firm Name: FIRM NAME
1. GENERAL INFORMATION

View Individual – Regulatory Notes

- Click the hyperlinked note creation date to view regulatory notes.

Regulatory Notes			
Individual CRD#:		Individual Name: LAST, FIRST MI	
Date Created	Title	Creator	Last Update
11/11/2008	REGISTRATION UPDATE	NYSE	11/11/2008

Regulatory Notes	
Individual CRD#:	
Individual Name: LAST, FIRST MI	
Created:	03/26/2013
Creator:	ST
Last Updated:	03/26/2013
Title:	REQ INFO
Type:	CONFIDENTIAL SHAREABLE
Note:	3/26/13 REQ INFO RE:DISCHARGE. CS

View Individual – Pre-Registration Qualifications

- Projects which registration categories an individual would be qualified for based on the anticipated U4 filing date.

Quick Search

Search

View Individual

- Complete Information
- Personal Information
- Employment History
- Other Business
- Registrations Summary
- Registrations with Current Employers
- Registrations with Prior Employers
- Disclosures
- Deficiencies
- Exam Information
- Current Professional Designations
- Continuing Education
- Fingerprint Cards
- Document Listing
- Filing History
- Regulatory Notes
- Registration Comments
- Legacy Information
- Request Snapshot
- Non-Filing Information
- Broker/RA Comments
- Pre-Registration Qualifications

Individual Pre-Registration Qualifications Report

Individual CRD#: _____ **Individual Name:** LAST, FIRST MI

Expected Form U4 Submission Date: 07/01/2014 **Firm CRD #:** 12345 [New Search](#)

Eligible SRO Registrations (Qualifications-Based Assessment)

Listed below are SRO registrations for which the above candidate may be eligible without having to take and pass an appropriate qualification examination if a Form U4 is filed on the date entered above for the candidate. The eligible registrations are based solely on selected qualification information available in the CRD system regarding the candidate and your firm. The eligible registrations do not account for deficiencies outside of qualifications (e.g., funds or disclosure). This report is designed to assist your firm in the pre-registration process; it should not be relied on as a guarantee of a successful registration. Your firm is responsible for determining the status of the candidate at the time of application for registration.

Click [here](#) for more information about the qualification registration codes.

Regulator	Principal Registrations	Representative Registrations
FINRA		DR, IR, OS
Chicago Stock Exchange		DR
NASDAQ Stock Market		IR
NYSE MKT LLC		DR, IR
New York Stock Exchange		DR, IR

Eligible Jurisdiction Licenses/Registrations

Listed below are jurisdiction licenses/registrations for which the above candidate may be eligible without having to take and pass an appropriate qualification examination if a Form U4 is filed on the date entered above for the candidate. The eligible licenses/registrations are based solely on selected qualification information available in the CRD system regarding the candidate and your firm (including the jurisdictions in which your firm is currently registered). The eligible licenses/registrations do not account for deficiencies outside of qualifications (e.g., funds or disclosure) or for initial application review by a jurisdiction. Please note that some jurisdictions may have different requirements for AG and RA registration or may not permit dual registration.

Jurisdiction Registrations	
Agent (AG)	Yes
Investment Adviser Representative (RA)	Yes

Individual Continuing Education (CE) Information

This section displays the current CE information of the above candidate. Your firm is responsible to determine what CE requirements will apply to this individual on the anticipated date of the U4 filing.

Individual CE Information	
Current CE Status	SATISFIED
CE Base Date	10/04/1982
Session Type	106

Current CE Requirements

No Current CE Requirements Found

Individual Non-Filing Information



U4 Review Method

- Use this page to set the U4 registration review method for a specific individual (AG and/or RA).

Update U4 Review Methods

Individual CRD#: _____ Individual Name: **LAST, FIRST MI**

Current CRD Relicensing Review Method Update CRD Relicensing Review Method	Automatic <input type="radio"/> Automatic <input type="radio"/> Temporary <input type="radio"/> Manual <input checked="" type="radio"/> Regulator Default (Automatic)
Current CRD Basic Review Method Update CRD Basic Review Method	Automatic <input type="radio"/> Automatic <input type="radio"/> Manual <input checked="" type="radio"/> Regulator Default (Automatic)
CRD Basic review method has been overridden to manual due to disclosure.	<input type="checkbox"/> Use basic review method.(Undo the override.)
Current IARD Relicensing Review Method Update IARD Relicensing Review Method	Automatic <input type="radio"/> Automatic <input type="radio"/> Temporary <input type="radio"/> Manual <input checked="" type="radio"/> Regulator Default (Automatic)
Current IARD Basic Review Method Update IARD Basic Review Method	Automatic <input type="radio"/> Automatic <input type="radio"/> Manual <input checked="" type="radio"/> Regulator Default (Automatic)
IARD Basic review method has been overridden to manual due to disclosure.	<input type="checkbox"/> Use basic review method.(Undo the override.)

U5 Review Method

- Use this page to set the U5 termination review method for a specific individual (AG and/or RA).

Update Regulatory U5 Review Method

Quick Search

Individual CRD#: **Individual Name: LAST, FIRST MI**

Current U5 CRD Review Method	Automatic
Update U5 CRD Review Method	<input type="radio"/> Manual <input checked="" type="radio"/> Automatic
Current U5 IARD Review Method	Automatic
Update U5 IARD Review Method	<input type="radio"/> Manual <input checked="" type="radio"/> Automatic

Non-Filing Information

- Current Registration Summary
- U4 Review Methods
- **U5 Review Method**
- Exams
- Regulatory Notes

Current Exam Summary / Withdraw Exam

- Click the work button (>) to withdraw a Series 63/65/66 exam.

Current Exam Summary

Individual CRD#: Individual Name: LAST, FIRST MI

Exam	Enrollment ID	Status	Status Date	Exam Date	Grade	Score	Window Begin Date	Window End Date
S63	34373789	Withdraw >	Scheduled	05/01/2014			05/02/2014	08/30/2014

Withdraw Exam

Individual CRD#: Individual Name: LAST, FIRST MI

Exam:	S63
Firm:	FIRM NAME (12345)
Status:	Scheduled
Effective Date (mm/dd/yyyy):	
Grade:	
Score:	
Reason for Withdrawing:	<input type="text"/>

Regulatory Notes

- When creating new regulatory notes, users have three options:
 - Confidential Non-Shareable
 - Viewable by your entitled users
 - Confidential Shareable
 - Viewable by all entitled users
 - State Only
 - Viewable by all entitled state users

Regulatory Notes		
Individual CRD#:		Individual Name: LAST, FIRST MI
Date Created	Title	Creator
03/23/2012	WELLS NOTICE EXAMINATION #20110262672	FINRA
08/23/2012	SD REVIEW OCC# 1623661 - FINRA SUSPENSION	FINRA
04/10/2013	GGGG	FINRA
<input type="button" value="Add"/>		

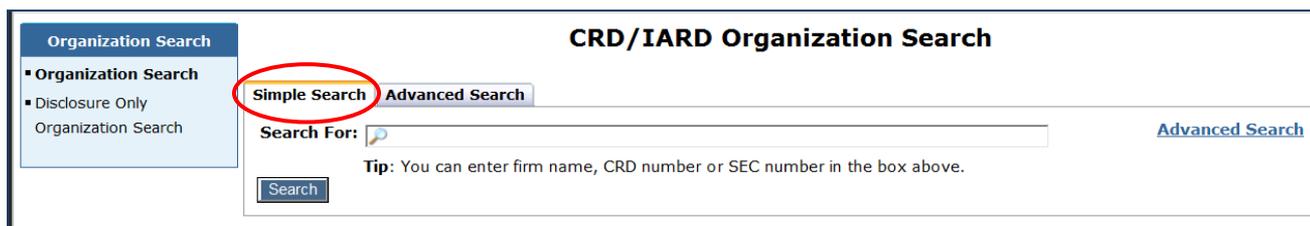
Regulatory Notes	
Individual CRD#:	
Individual Name:	
Created:	6/2/2016
Creator:	
Last Updated:	
Title:	
Type:	<input type="button" value="v"/>
Note:	<ul style="list-style-type: none">Confidential Non-ShareableConfidential ShareableState Only

View Organization



Organization Search – Simple or Advanced

- Enter firm's CRD Number, SEC Number, or Name.



Organization Search

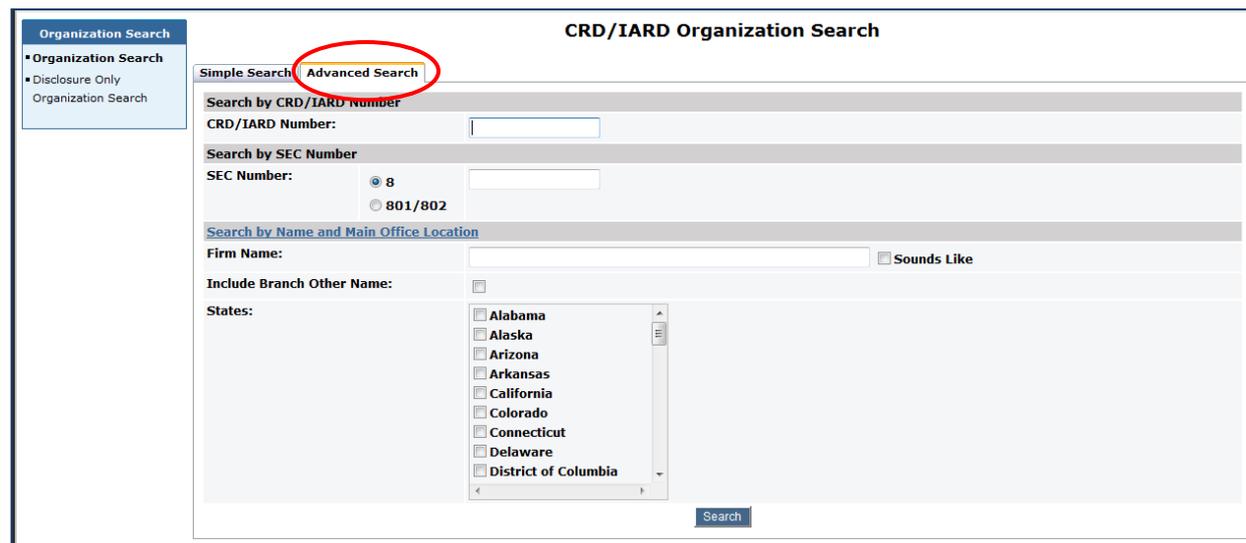
- Organization Search
- Disclosure Only
- Organization Search

CRD/IARD Organization Search

Simple Search **Advanced Search**

Search For: [Advanced Search](#)

Tip: You can enter firm name, CRD number or SEC number in the box above.



Organization Search

- Organization Search
- Disclosure Only
- Organization Search

CRD/IARD Organization Search

Simple Search **Advanced Search**

Search by CRD/IARD Number

CRD/IARD Number:

Search by SEC Number

SEC Number: 8 801/802

Search by Name and Main Office Location

Firm Name: Sounds Like

Include Branch Other Name:

States:

- Alabama
- Alaska
- Arizona
- Arkansas
- California
- Colorado
- Connecticut
- Delaware
- District of Columbia

Organization Registration Status

- Click on the state abbreviation hyperlink to see registration status history (see following slide).

Quick Search

Search

View Organization

- Applicant Information
- Registration Status**
- Legal Status
- Answers to Questions
- Types of Business
- Direct Owners/Executive Officers
- Indirect Owners
- Other Business Names
- Other Business Description
- Organization Names
- Succession
- Introducing Arrangements
- Custody and Clearing Arrangements
- Financial and Control Arrangements
- Affiliates
- Form BR Branch Offices
- Schedule E Branch Offices
- Disclosures
- Filing History
- Document Listing
- Deficiencies
- Firm Regulatory Notes
- Legacy Information
- Request Snapshot
- Non-Filing Information

Organization Registration Status

Organization CRD Number: 12345 Organization Name: FIRM NAME
 Organization SEC Number: 8-12345 Applicant Name: FIRM NAME

[View IA Record](#)

SEC / Jurisdiction / FINRA	Registration Status	Status Effective Date
SEC	Approved -	05/19/2009
FINRA	Approved -	05/19/2009
NY	Approved -	05/19/2009
TX	Approved -	05/19/2009

SEC / SRO / Jurisdiction	Registration Status	Status Effective Date
SEC	Approved -	05/19/2009
CBOE	Withdrawn -	06/04/2009
CHX	Approved -	04/27/2010
FINRA	Approved -	05/19/2009
NOX	Approved -	06/01/2009
NYSE-MKT	Approved -	06/23/2009
NYSE	Approved -	05/19/2009
AL	Approved -	05/19/2009
AK	Approved -	05/20/2009
AZ	Approved -	05/19/2009
AR	Approved -	05/21/2009
CA	Approved -	05/21/2009
CO	Approved -	05/20/2009
CT	Approved -	05/19/2009
DE	Approved -	05/20/2009
DC	Approved -	05/20/2009
FL	Approved -	05/20/2009
GA	Approved -	05/20/2009
HI	Approved -	05/19/2009
ID	Approved -	05/19/2009
IL	Approved -	05/19/2009
IN	Approved -	05/20/2009
IA	Approved -	05/20/2009
KS	Approved -	05/19/2009
KY	Approved -	05/21/2009
LA	Approved -	05/21/2009
ME	Approved -	05/20/2009
MD	Approved -	05/20/2009
MA	Approved -	05/22/2009

Organization Registration Status (continued)

Organization Registration Status History

Organization CRD#: 12345

Organization Name: FIRM NAME

Organization SEC#: 8-12345

Applicant Name: FIRM NAME

[View IA Record](#)

SRO/SEC/Jurisdiction	Registration Status	Status Effective Date	Changed By
Florida	APPROVED	05/20/2009	LHARRIS2
Florida	PENDING	03/30/2009	RSMITH23
Florida	NOSTAT	03/27/2009	

Organization Non-Filing Information



Maintain CRD Contact Information

- Displays contact information as entered by the firm.

Quick Search	
<input type="text"/>	<input type="button" value="Search"/>
Non-Filing Information	
<ul style="list-style-type: none">▪ Contact Information▪ Review Methods▪ Trustee Information▪ Organization Names▪ Mass Transfer History▪ Registrations▪ Branch Registrations▪ Branch Review Method▪ Firm Regulatory Notes▪ Branch Regulatory Notes	
Maintain CRD Contact Info	
Organization CRD Number: 12345	Organization Name: FIRM NAME
Organization SEC Number: 8-12345	Applicant Name: FIRM NAME
Contact Name	CONTACT NAME
Contact E-Mail	CONTACT EMAIL
Phone	301-123-4567
Fax	301-123-4567
Street 1	STREET 1
Street 2	STREET 2
City	CITY
State	ST
Country	USA
ZIP/Postal Code	12345

Maintain Review Methods

- Use this page to set the U4 registration review method for all AG registration requests for a particular firm.

Quick Search

Search

Non-Filing Information

- Contact Information
- Review Methods**
- Trustee Information
- Organization Names
- Mass Transfer History
- Registrations
- Branch Registrations
- Branch Review Method
- Firm Regulatory Notes
- Branch Regulatory Notes

Maintain Review Methods

Organization CRD Number: 12345	Organization Name: FIRM NAME
Organization SEC Number: 8-12345	Applicant Name: FIRM NAME

Relicensing Method	<input checked="" type="radio"/> Automatic <input type="radio"/> Manual
Basic Review Method	<input checked="" type="radio"/> Automatic <input type="radio"/> Manual

Save

Current Registration Summary

- Click on the work button (>) to change the status for the firm (see the following slide).

Quick Search

Non-Filing Information

- Contact Information
- Review Methods
- Trustee Information
- Organization Names
- Mass Transfer History
- **Registrations**
- Branch Registrations
- Branch Review Method
- Firm Regulatory Notes
- Branch Regulatory Notes

Current Registration Summary

Organization CRD Number: 12345	Organization Name: FIRM NAME
Organization SEC Number: 8-12345	Applicant Name: FIRM NAME

Regulator Name	Status	Status Date
Texas	Update  NOSTAT	05/19/2009

Update Current Registration

- Select the desired new status from the dropdown.

Update Current Registration

Organization CRD#: 12345	Organization Name: FIRM NAME
Organization SEC#: 8-12345	Applicant Name: FIRM NAME

Regulator	Texas
Status	No Status  
Effective Date	03/27/2014 (MM/DD/YYYY)
Explanation	<div style="border: 1px solid gray; height: 100px;"></div>
SEC Number	8-12345

- Abandoned
- Approved
- Cancelled
- Conditional Restricted
- Denied
- Failed to Renew
- Limited
- Liquidated
- No Status
- Pending Approval
- Revoked
- Suspended
- Terminated
- Termination Requested
- Withdrawal Requested
- Withdrawn

Branch Office Registration Status Summary

■ Click the Update button to change the status of the branch.

- Applies to jurisdictions that register branches, as opposed to notice filing.

Quick Search

Non-Filing Information

- Contact Information
- Review Methods
- Trustee Information
- Organization Names
- Mass Transfer History
- Registrations
- **Branch Registrations**
- Branch Review Method
- Firm Regulatory Notes
- Branch Regulatory Notes

Branch Office Registration Status Summary

Organization CRD Number: 12345	Organization Name: FIRM NAME
Organization SEC Number: 8-12345	Applicant Name: FIRM NAME
Branch CRD Number: 123456	Branch Office Address: STREET ADDRESS, CITY, ST, ZIP UNITED STATES
Branch Code Number: 1234	Firm Billing Code: 1234

Regulator	Current Status	Status Date	
Texas	Pending	05/05/2014	<input type="button" value="Update"/>

Maintain Branch Registration Status

- Select the desired new status from the dropdown.

Quick Search

Non-Filing Information

- Contact Information
- Review Methods
- Trustee Information
- Organization Names
- Mass Transfer History
- Registrations
- Branch Registrations**
- Branch Review Method
- Firm Regulatory Notes
- Branch Regulatory Notes

Maintain Branch Registration Status

Organization CRD Number: 12345	Organization Name: FIRM NAME
Organization SEC Number: 8-12345	Applicant Name: FIRM NAME
Branch CRD Number: 123456	Branch Office Address: STREET ADDRESS, CITY, ST, ZIP UNITED STATES
Branch Code Number: 1234	Firm Billing Code: 1234

Regulator:	Texas
Current Status:	Pending
New Status:	<input type="text" value=""/>
Current Effective Date:	05/05/2014
New Effective Date:	<input type="text" value=""/> <input type="button" value="Calendar"/>
BD Branch Date:	<input type="text" value=""/> <input type="button" value="Calendar"/>
IA Branch Date:	<input type="text" value=""/> <input type="button" value="Calendar"/>

Abandoned

Approved

Restricted Approval

Closed/Termed

Closed/Termed - No Form BR

Denied

Pending

Revoked

Suspended

Withdrawn

Withdrawn - No Form BR Filed

Update Branch Review Method

- Use this page to set the review method for all branches at a particular firm.

Quick Search

Non-Filing Information

- Contact Information
- Review Methods
- Trustee Information
- Organization Names
- Mass Transfer History
- Registrations
- Branch Registrations
- **Branch Review Method**
- Firm Regulatory Notes
- Branch Regulatory Notes

Update Branch Review Method

Organization CRD Number: 12345	Organization Name: FIRM NAME
Organization SEC Number: 8-12345	Applicant Name: FIRM NAME
Branch CRD Number: 123456	Branch Office Address: STREET ADDRESS, CITY, ST, ZIP UNITED STATES
Branch Code Number: 1234	Firm Billing Code: 1234

Current Branch Termination Review Method:	Automatic
Update Branch Termination Review Method:	<input checked="" type="radio"/> Automatic <input type="radio"/> Manual

Regulatory Notes

- Use these pages to add regulatory notes for the firm and/or specific branches.
 - See slide 29 for information on note types.

Quick Search

Non-Filing Information

- Contact Information
- Review Methods
- Trustee Information
- Organization Names
- Mass Transfer History
- Registrations
- Branch Registrations
- Branch Review Method
- **Firm Regulatory Notes**
- Branch Regulatory Notes

Firm Regulatory Notes

Organization CRD Number: 12345	Organization Name: FIRM NAME
Organization SEC Number: 8-12345	Applicant Name: FIRM NAME

Date Created	Title	Creator	Last Update
03/31/2000	TITLE	FINRA	03/31/2000
04/07/2000		FINRA	04/07/2000
01/04/2007		FINRA	01/04/2007
09/18/2009		FINRA	09/18/2009
04/28/2010		IL	04/28/2010
05/13/2010		FINRA	05/13/2010

Notifications



Agent Registration (Flag to Advise)

- This page allows authorized users to flag the CRD system, so that if a specified agent is filing any type of registration in that jurisdiction, the regulator will be automatically notified via email.
 - Click “Add Individual” to add individuals to the list.

CRD Notifications

- **Agent Registration (Flag to Advise)**
- Individual Disclosure Filing Received
- Organization Disclosure Filing Received
- Other Notifications

Agent Registration (Flag to Advise)

[Add Individual](#) Show 25 records/page ▾

Selected Individuals

Remove	Name	CRD#▲	SSN	Birth Date
Remove	LAST, FIRST MI		xxx-xx-xxxx	MM/DD/YYYY
Remove	LAST, FIRST MI		xxx-xx-xxxx	MM/DD/YYYY
Remove	LAST, FIRST MI		xxx-xx-xxxx	MM/DD/YYYY

Individual Disclosure Filing Received

- If a filing containing new or amended disclosure is received for individuals selected by the regulator, the regulator will be automatically notified via e-mail.
 - Click “Add Individual” to add individuals to the list.

CRD Notifications

- Agent Registration (Flag to Advise)
- **Individual Disclosure Filing Received**
- Organization Disclosure Filing Received
- Other Notifications

Individual Disclosure Filing Received

[Add Individual](#) Show 25 records/page ▾

Selected Individuals

Remove	Name	CRD#▲	SSN	Birth Date
Remove	LAST, FIRST MI		xxx-xx-xxxx	MM/DD/YYYY
Remove	LAST, FIRST MI		xxx-xx-xxxx	MM/DD/YYYY
Remove	LAST, FIRST MI		xxx-xx-xxxx	MM/DD/YYYY

Organization Disclosure Filing Received

- This page allows authorized users to flag the CRD system, so that if a filing containing new or amended disclosure is received for specified firms, the regulator will be automatically notified via e-mail.

- Click “Add Firm” to add firms to the list.

CRD Notifications

- Agent Registration (Flag to Advise)
- Individual Disclosure Filing Received
- **Organization Disclosure Filing Received**
- Other Notifications

Organization Disclosure Filing Received

Firm CRD Number: **Add Firm**

1 Record(s) Found Selected Firms

Remove	Name	CRD# ▼
Remove	FIRM NAME	12345

Other Notifications

■ Regulators have the ability to receive one or more of the Other Notifications.

- All regulator notifications will be delivered to the email address specified on this page. Currently, only one email address is allowed for notifications.

CRD Notifications

- Agent Registration (Flag to Advise)
- Individual Disclosure Filing Received
- Organization Disclosure Filing Received
- **Other Notifications**

Other Notifications

Notify	Type of Notification
<input type="checkbox"/>	When any firm changes its type of business
<input type="checkbox"/>	When the 6th or more customer complaint is filed against any individual
<input checked="" type="checkbox"/>	When another regulator updates an individual's registration status to Bar, Suspension, or Revoked
<input type="checkbox"/>	ADV-E completed with a termination statement.
<input type="checkbox"/>	ADV-E completed with qualified opinion.

E-Mail Address

Current E-mail Address:

Notifications will be delivered to you via e-mail.

Resources



Broadcast Messages

Web CRD [®]

CRD Main | IARD Main | Forms | Individual | Organization | Notifications | Reports

Site Map | User Info

Broadcast Message - Preliminary Renewal Statements will be posted in Web CRD and IARD on Nov. 16 [Details >>](#)

Broadcast Message

Welcome to Web CRD

Web CRD/IARD upcoming availability:

- Sat., Jan. 16 - Available from 8 a.m. to 6 p.m., ET
- Mon., Jan. 18 - Holiday - Martin Luther King, Jr. Day - Available 5 a.m. to 11 p.m., ET. However, the Gateway Call Center will not be available for support.
- Sat., Jan. 23 - Available from 8 a.m. to 6 p.m., ET.

Web CRD is available Monday through Friday from 5 a.m. to 11 p.m., ET. View the [Web CRD System Availability Calendar](#) for complete information.

2016 Renewal Program: The [2016 Renewal Program calendar](#) is now posted to the FINRA website. Preliminary Renewal Statements will be posted in Web CRD and IARD beginning November 16, 2015.

Software Release 2015.10: View an [explanation of system changes](#) which occurred with Release 2015.10 on October 24, 2015. Changes include new sensitive data notices for reports and additional completeness checks to prevent the entry of Social Security Numbers (SSN) in Form U4 Section 13 "Other Business" and in the Docket/Case# fields of financial Disclosure Reporting Pages (DRP) when the sensitive information checkbox is not selected.

State of Tennessee (TN) Privilege Tax: Broker-dealers, broker-dealer agents and investment adviser firms are required to pay an annual occupation tax to the TN Department of Revenue. Beginning in January 2016, those firms and individuals that fail to pay their privilege tax will be administratively suspended. The suspension is administrative and is not related to securities law. Questions concerning the privilege tax can be directed to the TN Department of Revenue at 615-253-0600 or www.tn.gov/revenue/contactus.shtml.

Supported Web Browsers: To see whether your browser needs to be upgraded, visit the [Upgrade Your Web Browser](#) page on FINRA.org.

FINRA Privacy Statement: By using the Web CRD and IARD systems, all users agree to the terms of the [FINRA Privacy Statement](#). For further details on personal information and regulatory users, please visit this [page](#).

[Close](#) [Print](#)

FINRA Contact Information

- **Email:** reg.support@finra.org
- **Telephone: 240-386-4242**
 - 8 a.m. – 5 p.m. (ET)
- **Fax: 240-386-4867**
- **Regulatory Support Team:**
 - LaTricia Poole – Associate Director
 - Jodi Young – Lead Analyst
 - Mitzi Warren – Senior Analyst
 - Loria Crutchfield – Analyst



Questions

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