

CRD Transformation is a multi-year project that will reimagine the CRD system into a modernized platform that features a simpler and more streamlined experience for all users, providing firms with a more flexible and efficient way to get their compliance work done. For additional information and updates regarding CRD Transformation, please visit [www.finra.org/newcrd](http://www.finra.org/newcrd).

Initially, the new version of CRD will be available alongside the existing CRD system (which will be referred to as classic CRD) and new features will be deployed incrementally.

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**Questions on Web CRD? Call the FINRA Gateway Call Center at 301-869-6699**  
8 A.M. - 8 P.M., ET, Monday-Friday

## Accessing New CRD

The URL for new CRD is <https://mycrd.finra.org>, which can be accessed using your existing CRD/IARD User ID and Password.

**NOTE:** Access to new CRD requires entitlement to the MyCRD family of privileges. The firm's Super Account Administrator (SAA) is able to grant entitlement using the existing CRD/IARD Account Management feature.

Entitled users can also access new CRD through links embedded in classic CRD.

CRD Sitemap:

CRDMain	Forms	Individual	Organization	Reports
<b>User Info</b> Blank Forms FAQ Release Notes SRC/Jurisdiction Fee and Setting Schedule Recommended Browsers Certified EFS Vendors Send Comments	<b>Form U4</b> Create New U4 Filing Initial Amendment Concurrence Page 2 Amendment for Schedule A/B Page 2 Initial for Schedule A/B Dual Relicense All Relicense CRD Relicense IA Pending U4 Filings Historical U4 Filings <b>Form US</b> Create New US Filing Full Partial Amendment Pending US Filings Historical US Filings	<b>View Individual</b> <a href="#">Individual Search (New CRD)</a> Individual Search Disclosure Only Individual Search <b>Non-Filing Info</b> NFI Individual Search <b>SIE</b> Enrollments/Results <b>Firm Queues</b> <a href="#">View Activities (New CRD)</a> Continuing Education Approaching CE Requirement CE 2-Year Termed CE Inactive CE Satisfied Currently CE Required Disclosure Disclosure Review Outstanding Disclosure Letters Disclosure Queue Totals Exams	View Org Organization Search Branch Search <b>Organization Queues</b> <a href="#">View Activities (New CRD)</a> Current Deficiencies Branch Status Branch Deficiencies Disclosure Letters SFG Retirement Withdrawal or Termination Queue Totals <b>Non-Filing Info</b> NFI Organization Search Mass Transfer Mass Transfer List	<b>Home</b> Request Report View Report

View Individual:

Quick Search		View Profile in New CRD		Composite Information	
<input type="text"/> <input type="button" value="Search"/>		Individual CRD#: 1111111		Individual Name: Broker, John E	
View Individual	Full Legal Name	Broker, John E			
Composite Information	Social Security Number	xxx-xx-xxxx	<input type="button" value="View SSN"/>		
Personal Information	Date Of Birth	01/01/1960			

## Activities List

The Activities List is intended to be the eventual replacement for the existing CRD queues, and provides firms with a consolidated list of tasks that is designed to streamline workflow. Three categories of activities are available:

- Individual
- Branch
- Firm

Users can select the multi-colored tabs at the top of the page to switch between the different categories of activities. The column headers also allow for sorting activities in ascending or descending order.

An export feature allows users to obtain a CSV download of current activities.

When a specific activity is selected using “Details“, the user will be taken to the individuals’ record in either new CRD or classic CRD to complete tasks related to that activity or to view the impacted record. The individuals name can also be selected to access the individual’s record.

**NOTE:** Users are required to have the necessary classic CRD entitlement to access the additional information and complete any related tasks.

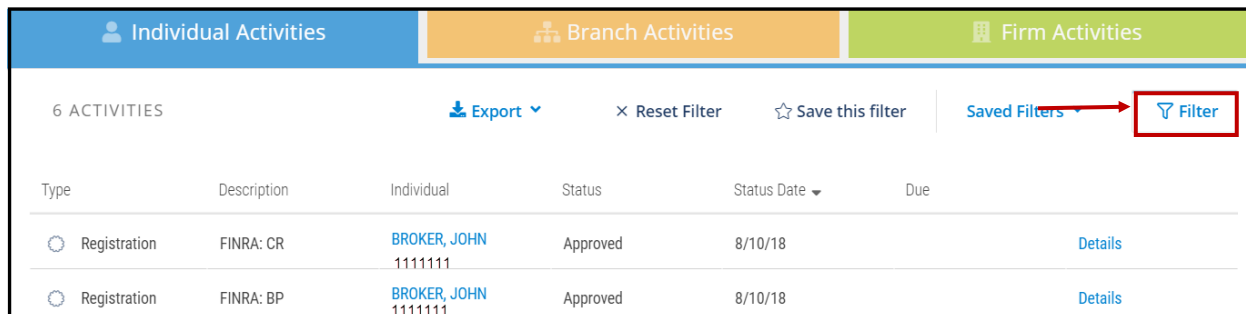
The screenshot shows the 'Activities List' interface. At the top, there are three tabs: 'Individual Activities' (blue), 'Branch Activities' (orange), and 'Firm Activities' (green). Below the tabs, there is a header area with '6 ACTIVITIES' on the left, an 'Export' button (highlighted with a red box), 'Reset Filter', 'Save this filter', 'Saved Filters', and a 'Filter' button. Below the header is a table with the following columns: Type, Description, Individual, Status, Status Date, and Due. The table contains two rows of data, both for 'Registration' activities. The first row is for 'FINRA: CR' with individual 'BROKER, JOHN 1111111' and status 'Approved', due on '8/10/18'. A 'Details' link (highlighted with a red box) is visible at the end of this row. The second row is for 'FINRA: BP' with the same individual and status, also due on '8/10/18'.

Type	Description	Individual	Status	Status Date	Due
Registration	FINRA: CR	BROKER, JOHN 1111111	Approved	8/10/18	<a href="#">Details</a>
Registration	FINRA: BP	BROKER, JOHN 1111111	Approved	8/10/18	<a href="#">Details</a>

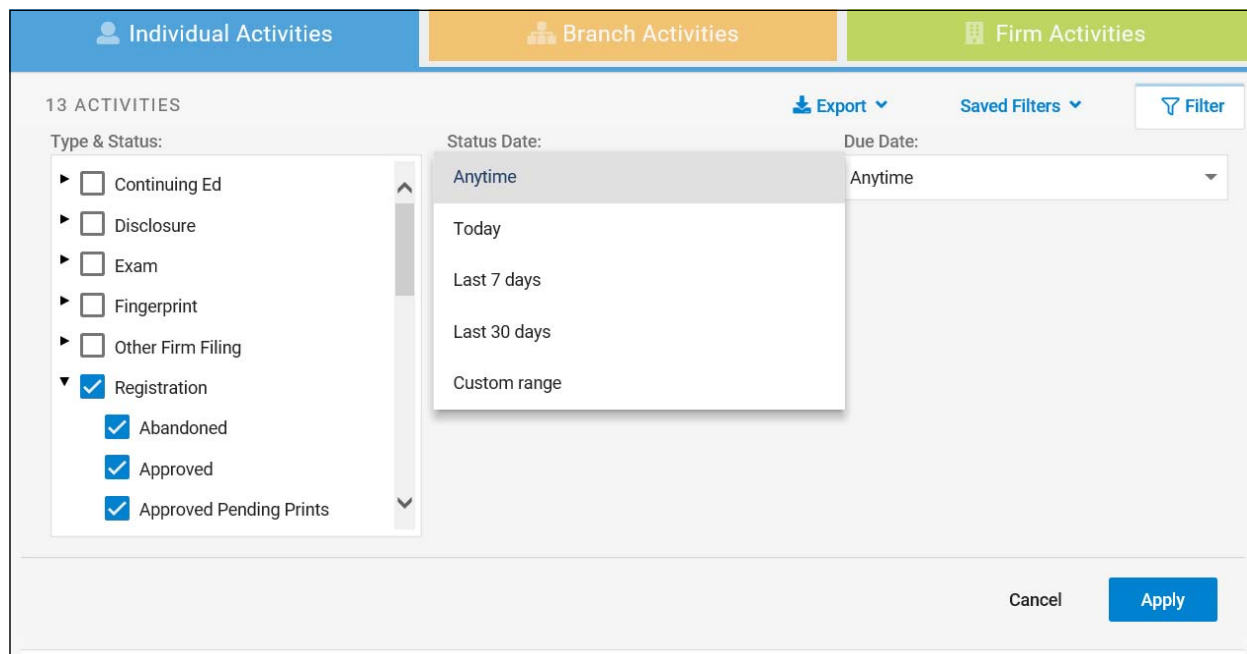
## Using Filters

By default, all current activities for the firm display when a user logs into new CRD. The Filter feature allows users to customize the activities that appear within their view at any one time.

**NOTE:** Filters can be very useful for registration staff at firms that have a large number of activities, or for users that have a specialized role.



Users are able to filter by the type of activity, as well as the status and/or due dates. Click the “Apply” button to return to the Activities List using the customized view.



### Using Filters (continued)

Once applied, filters can be saved for later use in an individual user's Saved Filters menu.

**NOTE:** Currently, filters cannot be shared between users. Each user must create their own filters.

Type	Description	Individual	Status	Status Date	Due
Registration	FINRA: CR	BROKER, JOHN 1111111	Approved	8/10/18	<a href="#">Details</a>
Registration	FINRA: BP	BROKER, JOHN 1111111	Approved	8/10/18	<a href="#">Details</a>

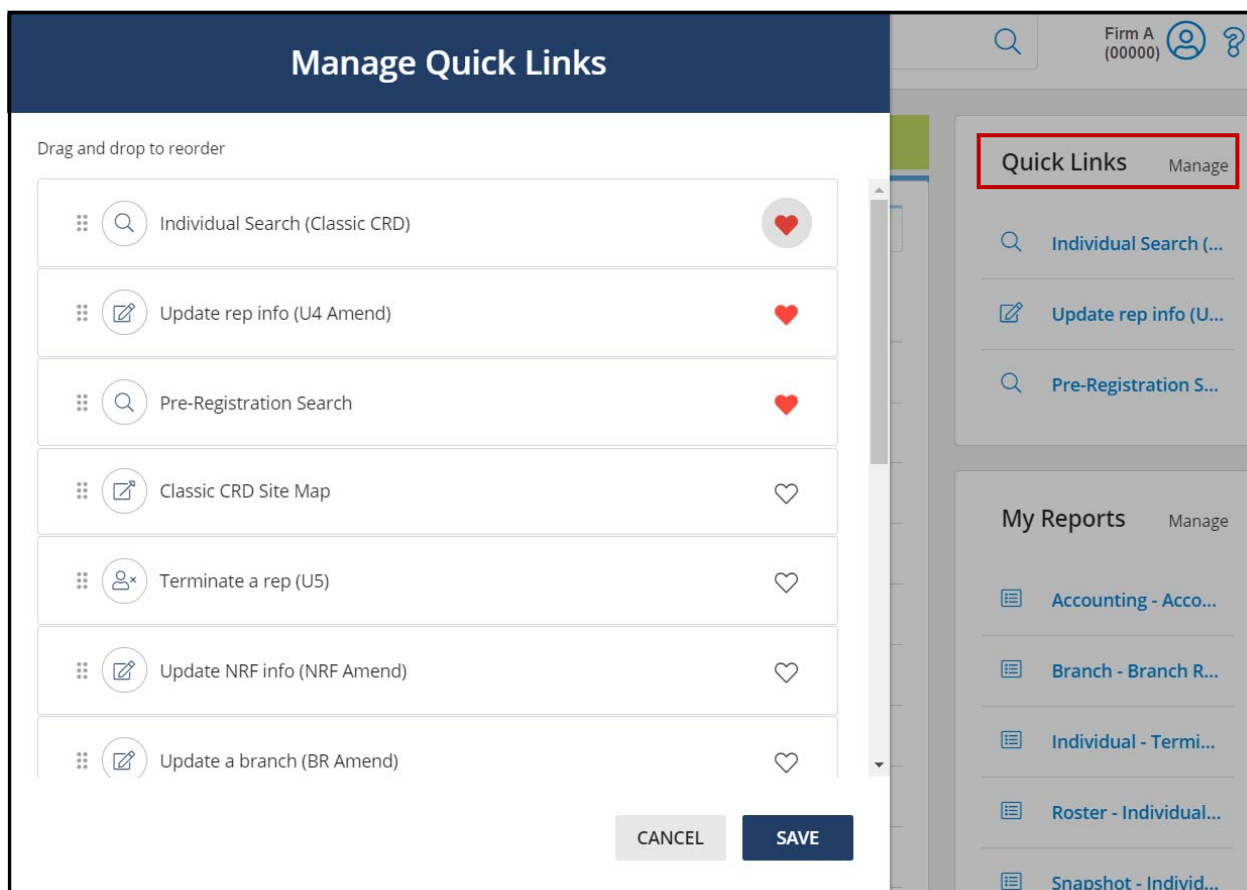
Users can create and save multiple filters. The list of saved filters allows the user to quickly switch between different customized activity views.

Type	Description	Individual	Status	Status Date	Due
Disclosure	Disclosure request - I...	MONEY, CHRISTINE 1111111	Resolved	6/1/18	<a href="#">Details</a>
Disclosure	Disclosure request - I...	MONEY, CHRISTINE 1111111	Resolved	5/29/18	<a href="#">Details</a>
Disclosure	Disclosure request - I...	CAT, JOHN 0000000	Resolved	5/23/18	<a href="#">Details</a>

## Quick Links

The Quick Links feature allows users to personalize their homepage, providing them with easy access to the system functions they may use frequently. Click on the “Manage” link to select which functions will appear in the list.

**NOTE:** Quick Links will take the user to the applicable function in classic CRD. Users are required to have the necessary classic CRD entitlement to access each function.



## My Reports

Users are also able to setup personalized access to their favorite reports. Click on the “Manage” link to select which reports will appear in the My Reports list.

**NOTE:** Selecting a report will take the user to the Request Report screen in classic CRD. Users are required to have the existing reports entitlement in classic CRD in order to request the selected reports.

The screenshot displays the 'Manage My Reports' interface. The main panel has a dark blue header with the title 'Manage My Reports'. Below the header, it says 'Drag and drop to reorder'. A list of reports is shown, each with a grid icon, a title, and a heart icon. The reports are: 'Accounting - Account Activity - Firms' (heart selected), 'Branch - Branch Roster' (heart selected), 'Individual - Termination by Firm Download' (heart selected), 'Roster - Individual - Registered Individual Summary Download' (heart selected), 'Snapshot - Individual' (heart selected), 'Accounting - Firm Accounting Download' (heart not selected), and 'Accounting - Late Disclosure Fee Report and Download' (heart not selected). At the bottom of the list are 'CANCEL' and 'SAVE' buttons. On the right, a sidebar contains 'Quick Links' and 'My Reports' sections. The 'My Reports' section is highlighted with a red box and includes a 'Manage' link. Below it, a list of report titles is visible, including 'Accounting - Acco...', 'Branch - Branch R...', 'Individual - Termi...', 'Roster - Individual...', and 'Snapshot - Individ...'. The top right of the sidebar shows 'Firm A (00000)' and user icons.

## Individual

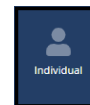
Individual information contains the details about registered and non-registered individuals that are associated with your firm. To view this information requires users to have entitlement.

There are several ways to access this information:

- Search box at the top of the page



- Individual icon on the navigation bar, on the left side of the screen



### NOTES:

- Users with entitlement to the Activities Lists can also access an individual's record by clicking on the appropriate name that is displayed in the Individual Activities List.
- There are Quick Links available to access classic CRD to conduct Individual and Pre-Registration searches.

Once on the Individual Search screen, enter the appropriate CRD number, SSN or Name information. This screen also has links to Pre-Registration Search and other important CRD information.

### Individual Search

Search for an individual currently or previously associated with your firm.

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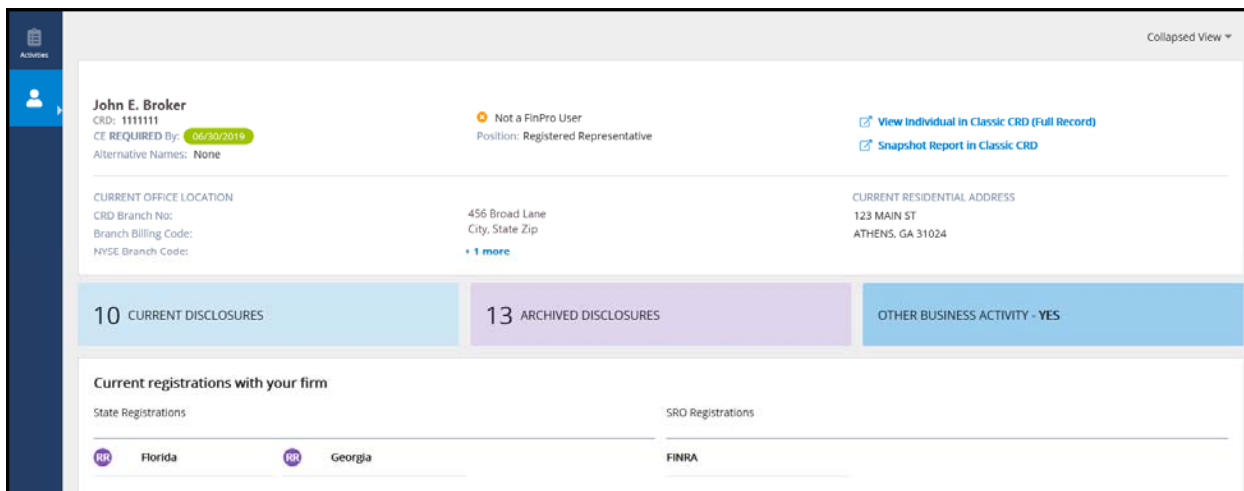
To conduct a Pre-Registration Search in Classic CRD, please click on [Pre-Registration Search](#)

<div style="margin-bottom: 10px;"> <p><b>About CRD Transformation</b></p> <p>Learn about the background and goals of the CRD transformation initiative.</p> </div> <div style="margin-bottom: 10px;"> <p><b>Be in the Know</b></p> <p>Find out more about new CRD features currently available, planned for the near future, access to those features, as well as upcoming events sharing new CRD information.</p> </div> <div> <p><b>New CRD Reference Guide</b></p> <p>Access the Reference Guide for help on using the features currently available in the new CRD.</p> </div>	<div style="margin-bottom: 10px;"> <p><b>Training and Support</b></p> <p>See the available training offerings and services that will help you learn how to use CRD like a pro.</p> </div> <div> <p><b>Financial Professional Gateway</b></p> <p>Learn about FINRA's Financial Professional Gateway that provides your current and former representatives with direct access to manage their registration requirements.</p> </div>
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Select the appropriate person on the search results screen.



Navigate through the individual’s information using the links, tiles and arrows.

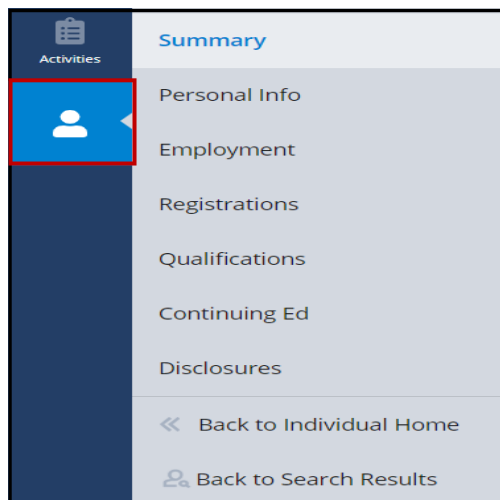


**NOTES**

Various indicators will display at the top of an individual’s profile:

1. If the CE Status is Required and the window end date is
  - > 30 days away = ●
  - Between 15 and 30 days away = ●
  - Less than or equal to 14 days away = ●
2. Showing whether or not the individual has created a FinPro account.
3. If they were previously registered with a disciplined firm.

Users can also click the Individual icon to expand the navigation bar to search through the individual’s information.

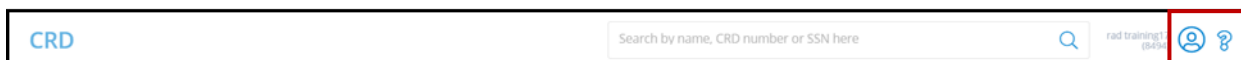


**NOTE:** To see the individual’s full record, use classic CRD. Full individual information will be available in new CRD at a later date.

## Additional Features

Clicking the “person” icon will display links to “Change Password”, “Manage Accounts” (if applicable) and “Sign Out”.

Clicking the “?” icon will display “Help” and “Give Feedback” links. The Give Feedback link is where users can complete an online survey about their experience with the new system.



## Helpful Hints

- Firms are not restricted to only using new CRD. Classic CRD and Firm Gateway are also available using the existing links:
  - Classic CRD—<https://crd.finra.org>
  - Firm Gateway—<https://firms.finra.org>
- Each activity category was initialized on a specific date (shown below). Activities will display beginning with these dates and going forward.
  - All Individual Activities—March 22, 2018
  - Branch Deficiency Activities—May 19, 2018
  - Firm Registration Activities—May 19, 2018