

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.

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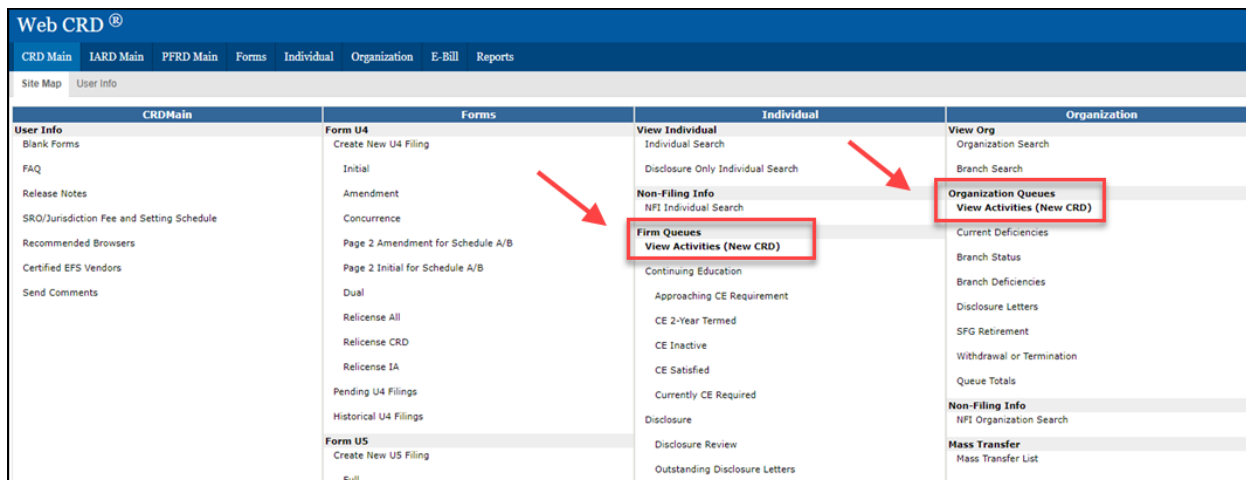
Questions on Web CRD? Call the FINRA Gateway Call Center at 301-869-6699
8 A.M. - 8 P.M., ET, Monday-Friday

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:



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.

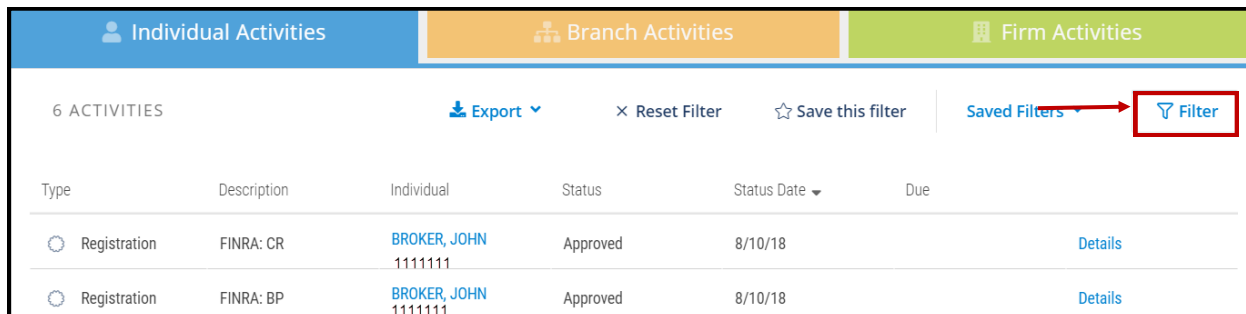
NOTE: Users are required to have the necessary classic CRD entitlement to access the additional information and complete any related tasks.

| Individual Activities | | Branch Activities | | Firm Activities | | |
|------------------------------------|-------------|--|------------------------------|----------------------------------|-------------------------------|-------------------------|
| 6 ACTIVITIES | | Export | Reset Filter | Save this filter | Saved Filters | Filter |
| Type | Description | Individual | Status | Status Date | Due | |
| <input type="radio"/> Registration | FINRA: CR | BROKER, JOHN 1111111 | Approved | 8/10/18 | | Details |
| <input type="radio"/> Registration | FINRA: BP | BROKER, JOHN 1111111 | Approved | 8/10/18 | | Details |

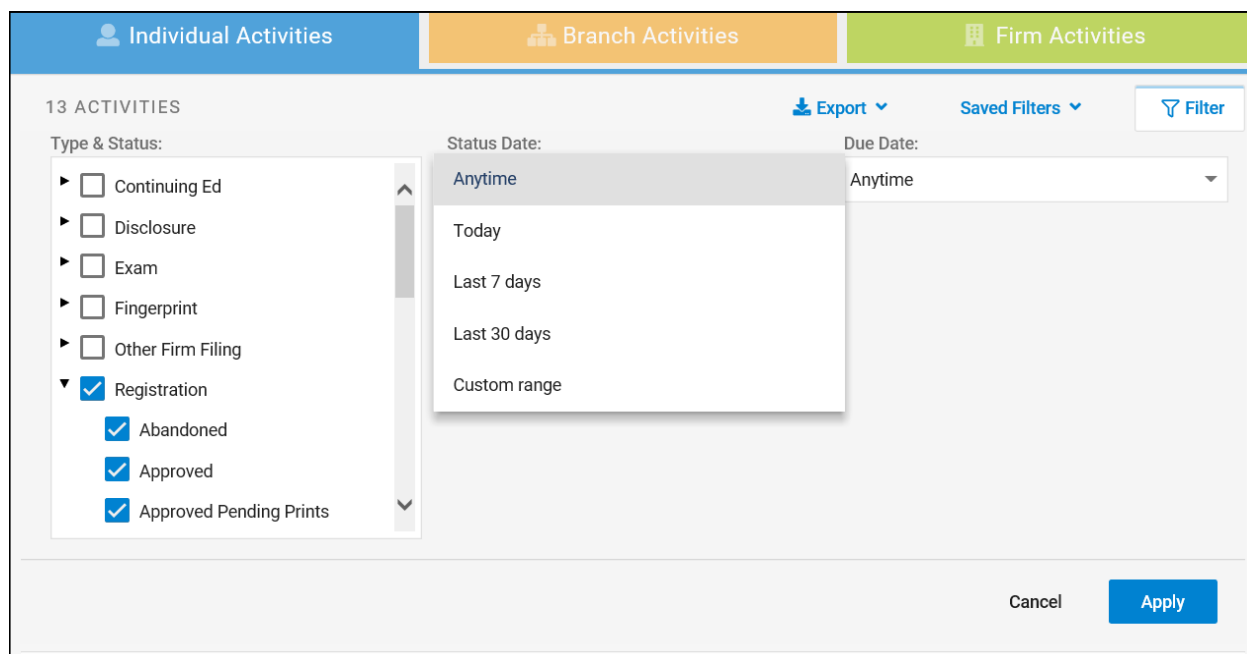
Using Filters

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 | Details |
| Registration | FINRA: BP | BROKER, JOHN 1111111 | Approved | 8/10/18 | Details |

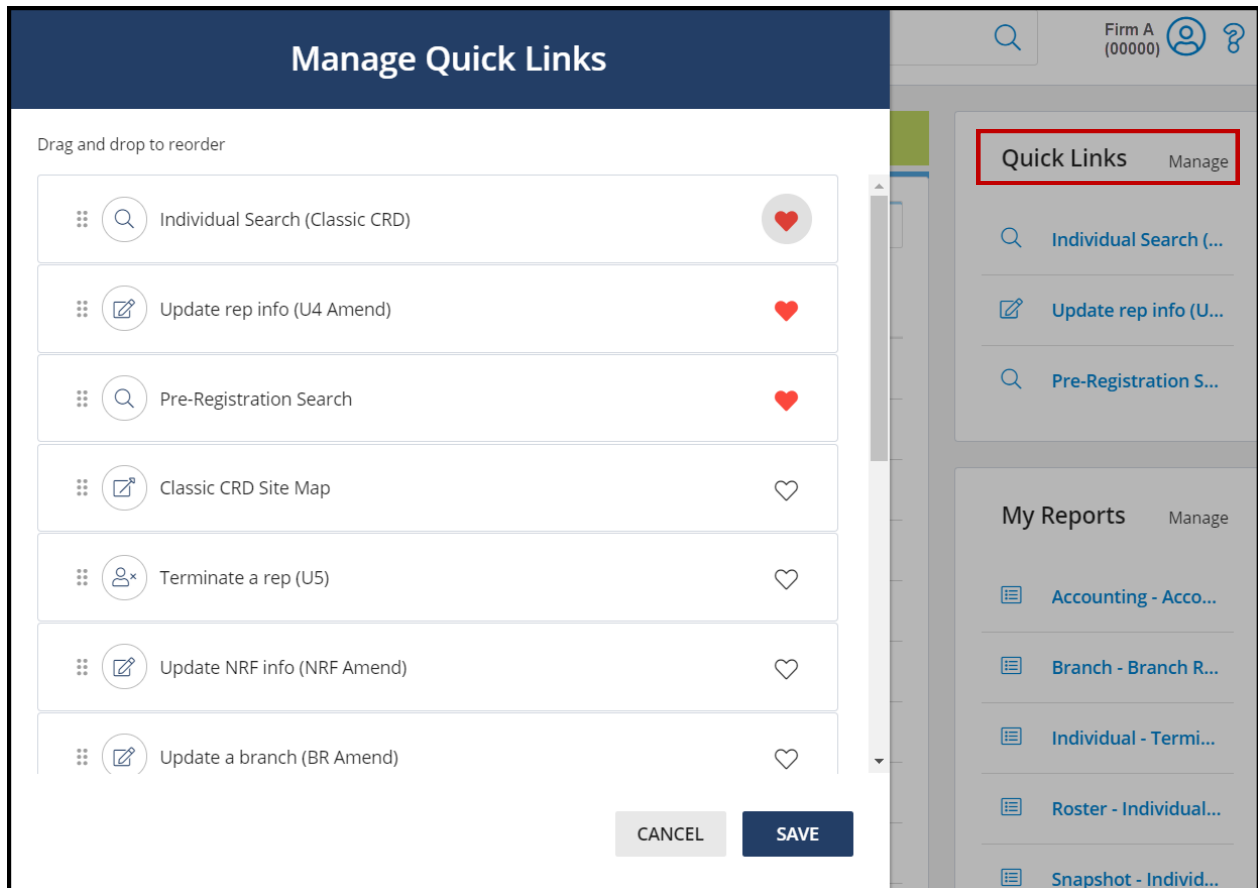
Users can create and save multiple filters. The list of saved filters allows the user to quickly switch between different customized activity views.

| Type | Description | Individual | Status | Status Date | Due |
|------------|---------------------------|-----------------------------|----------|-------------|-------------------------|
| Disclosure | Disclosure request - I... | MONEY, CHRISTINE 1111111 | Resolved | 6/1/18 | Details |
| Disclosure | Disclosure request - I... | MONEY, CHRISTINE 1111111 | Resolved | 5/29/18 | Details |
| Disclosure | Disclosure request - I... | CAT, JOHN 0000000 | Resolved | 5/23/18 | Details |

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.

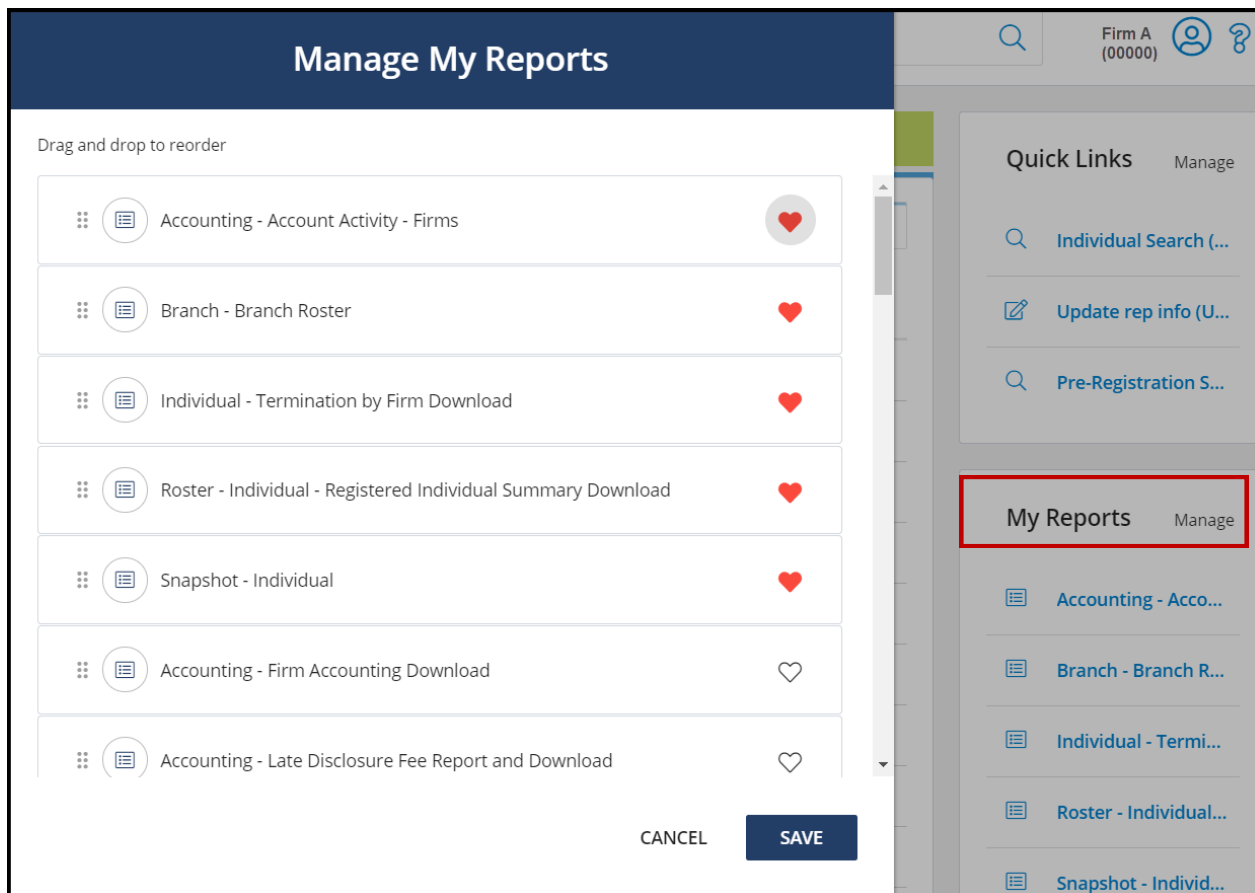
NOTE: Quick Links will take the user to the applicable function in classic CRD. Users are required to have the necessary classic CRD entitlement to access each function.



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.



Individual

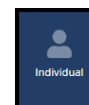
Individual information contains the details about registered and non-registered individuals that are associated with your firm. To view this information requires users to have entitlement.

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.

🔍

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

| | |
|---|---|
| <div style="margin-bottom: 10px;">  <p>About CRD Transformation</p> <p>Learn about the background and goals of the CRD transformation initiative.</p> </div> <div style="margin-bottom: 10px;">  <p>Be in the Know</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>New CRD Reference Guide</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>Training and Support</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>Financial Professional Gateway</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> |
|---|---|

Select the appropriate person on the search results screen.

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

John E. Broker

CRD: 11111111 Position: Registered Representative [View Individual in Classic CRD \(Full Record\)](#)
 CE REQUIRED By: 02/11/2019 [Snapshot Report in Classic CRD](#)
 Alternative Names: Johnny B

CURRENT OFFICE LOCATION
 CRD Branch No: 123 Main St
 Firm Billing Code: City, State Zip
 NYSE Branch Code: + 1 more

CURRENT RESIDENTIAL ADDRESS
 456 Broad St
 City, State Zip

10 CURRENT DISCLOSURES | 13 ARCHIVED DISCLOSURES | OTHER BUSINESS ACTIVITY - YES

Current registrations with your firm

State Registrations: [RR Florida](#) [RR Georgia](#)

SRO Registrations: [FINRA](#)

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

Activities

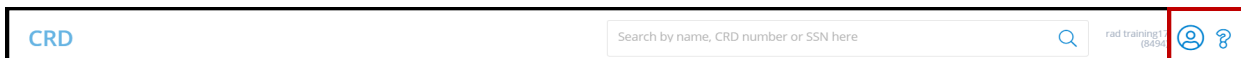
- Summary
- Personal Info
- Employment
- Registrations
- Qualifications
- Continuing Ed
- Disclosures
- « Back to Individual Home
- 🔍 Back to Search Results

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