

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.

In the first release of this initiative, FINRA has deployed new functionality that offers firms:

- Greater visibility of items requiring the firm's immediate attention
- The ability to filter activities based on the user's role at the firm
- Customizable shortcuts for registration tasks and favorite reports

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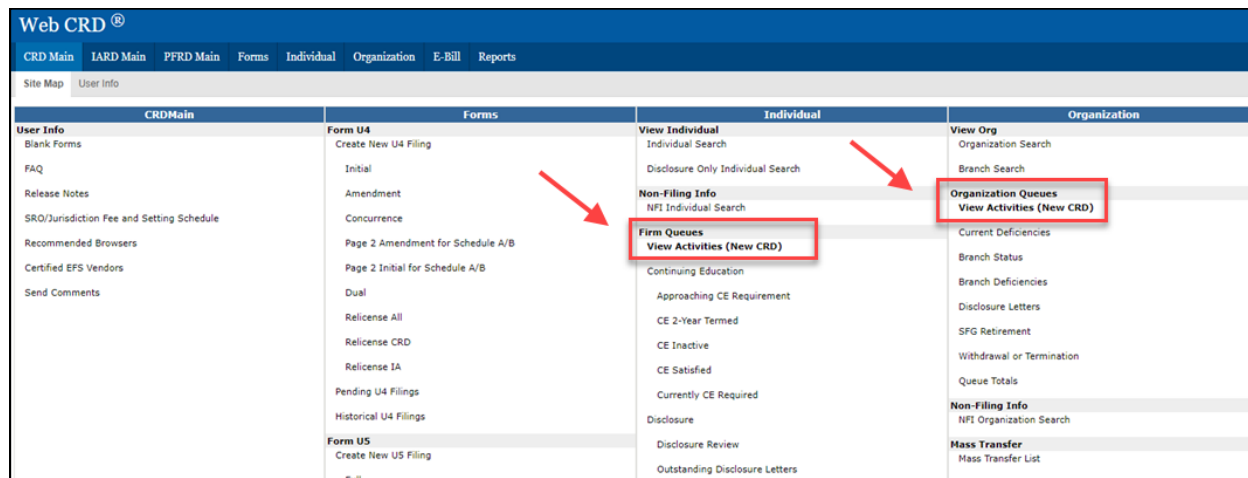
Questions on Web CRD? Call the FINRA Gateway Call Center at 301-869-6699
8 A.M. - 8 P.M., ET, Monday-Friday

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 the “>” icon, the user will be taken to classic CRD to complete tasks related to that activity or to view the impacted record.

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

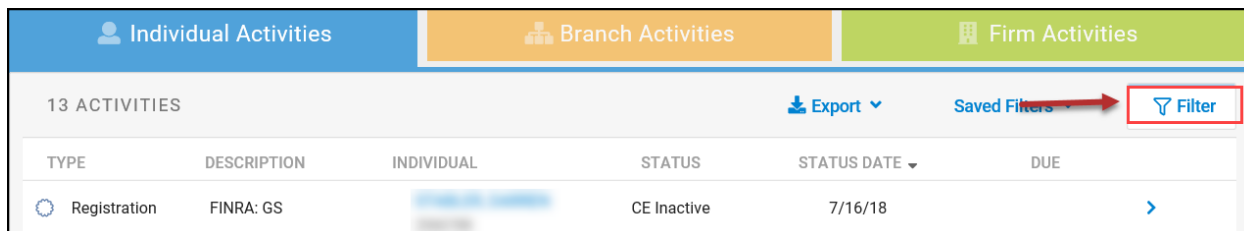
The screenshot displays the FINRA CRD Activities List interface. At the top, there are three tabs: "Individual Activities" (blue), "Branch Activities" (orange), and "Firm Activities" (green). Below the tabs, there is a table with 13 activities. The table columns are TYPE, DESCRIPTION, INDIVIDUAL, STATUS, STATUS DATE, and DUE. The first row is highlighted with a red box, and a red box around a ">" icon in the DUE column indicates that clicking it will lead to more details. On the right side, there are sections for "Quick Links" and "My Reports".

TYPE	DESCRIPTION	INDIVIDUAL	STATUS	STATUS DATE	DUE
Registration	FINRA: GS		CE Inactive	7/16/18	
Continuing Ed	CE Requirement: 101		CE inactive	7/14/18	7/13/18
Registration	FINRA: GP		CE Inactive	7/12/18	
Registration	FINRA: DR		CE Inactive	7/12/18	
Registration	FINRA: CS		CE Inactive	7/12/18	
Disclosure	Disclosure request - In...		Unresolved	6/26/18	
Continuing Ed	CE Requirement: 201		CE inactive	6/20/18	6/19/18
Registration	FINRA: IR		CE Inactive	6/11/18	
Continuing Ed	CE Requirement: 106		CE inactive	6/8/18	6/7/18
Continuing Ed	CE Requirement: 101		Required	4/16/18	8/13/18
Disclosure	Disclosure request - D...		Unresolved	3/27/18	
Disclosure	Disclosure request - In...		Unresolved	3/27/18	

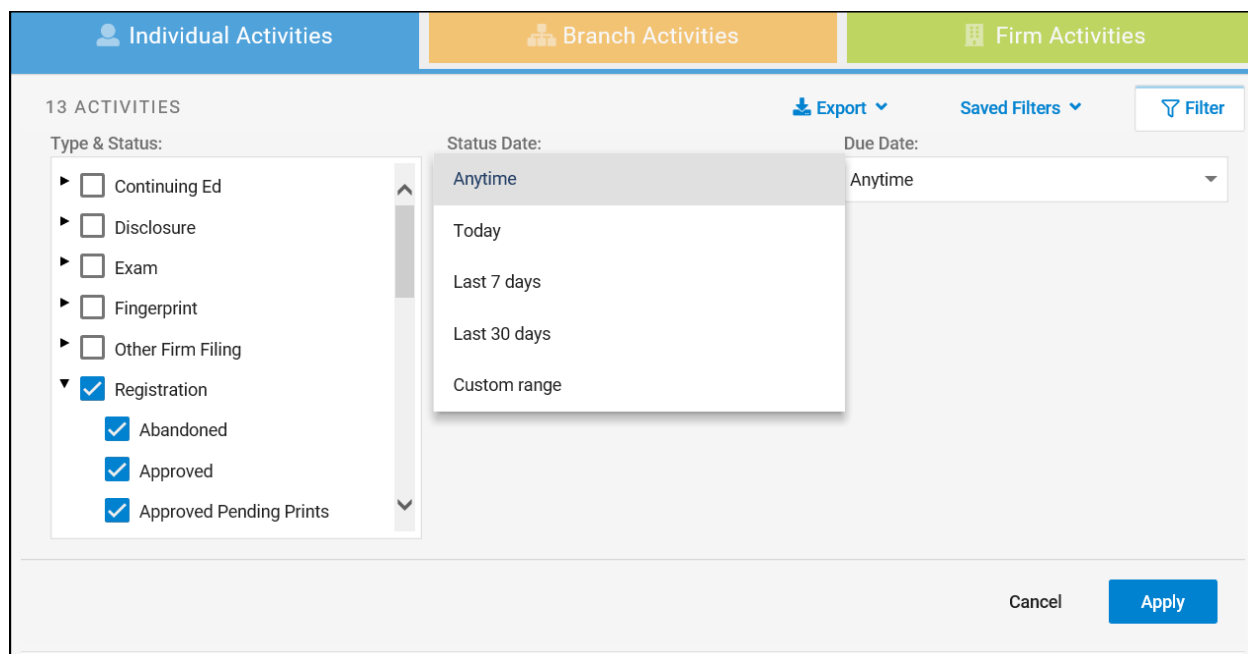
Using Filters

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.

Individual Activities		Branch Activities	Firm Activities
5 ACTIVITIES		Export	Reset Filter
		Save this filter	Saved Filters
TYPE	DESCRIPTION	INDIVIDUAL	STATUS
Registration	FINRA: GS		CE Inactive
Registration	FINRA: GP		CE Inactive
Registration	FINRA: DR		CE Inactive
Registration	FINRA: CS		CE Inactive
Registration	FINRA: IR		CE Inactive

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

Individual Activities		Branch Activities	Firm Activities
4 ACTIVITIES		Export	Reset Filter
		Saved Filters : Outstanding Letters	Filter
TYPE	DESCRIPTION	INDIVIDUAL	STATUS
Disclosure	Disclosure request - D...		Unresolved
Disclosure	Disclosure request - D...		Unresolved
Disclosure	Disclosure request - In...		Unresolved
Disclosure	Disclosure request - In...		Unresolved

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.

The screenshot displays the 'Manage Quick Links' interface. On the left, a modal window titled 'Manage Quick Links' contains a list of functions with drag handles and heart icons for selection. At the bottom of this modal are 'CANCEL' and 'SAVE' buttons. On the right, a sidebar shows the 'Quick Links' section with a 'Manage' button highlighted by a red box and an arrow. Below this, a 'My Reports' section is visible with a list of report titles.

Function	Heart Icon
Individual Search	Red
Update rep info (U4 Amend)	Red
Terminate a rep (U5)	Red
Update NRF info (NRF Amend)	Red
Update a branch (BR Amend)	Red
E-Bill	White
Register a rep (U4 Initial)	White
Register an NRF (NRF Initial)	White
Update mv BD firm (BD Amend)	White

Quick Links Manage

- Individual Search
- Update rep info (U4 Amend)
- Terminate a rep (U5)
- Update NRF info (NRF Amend)
- Update a branch (BR Amend)

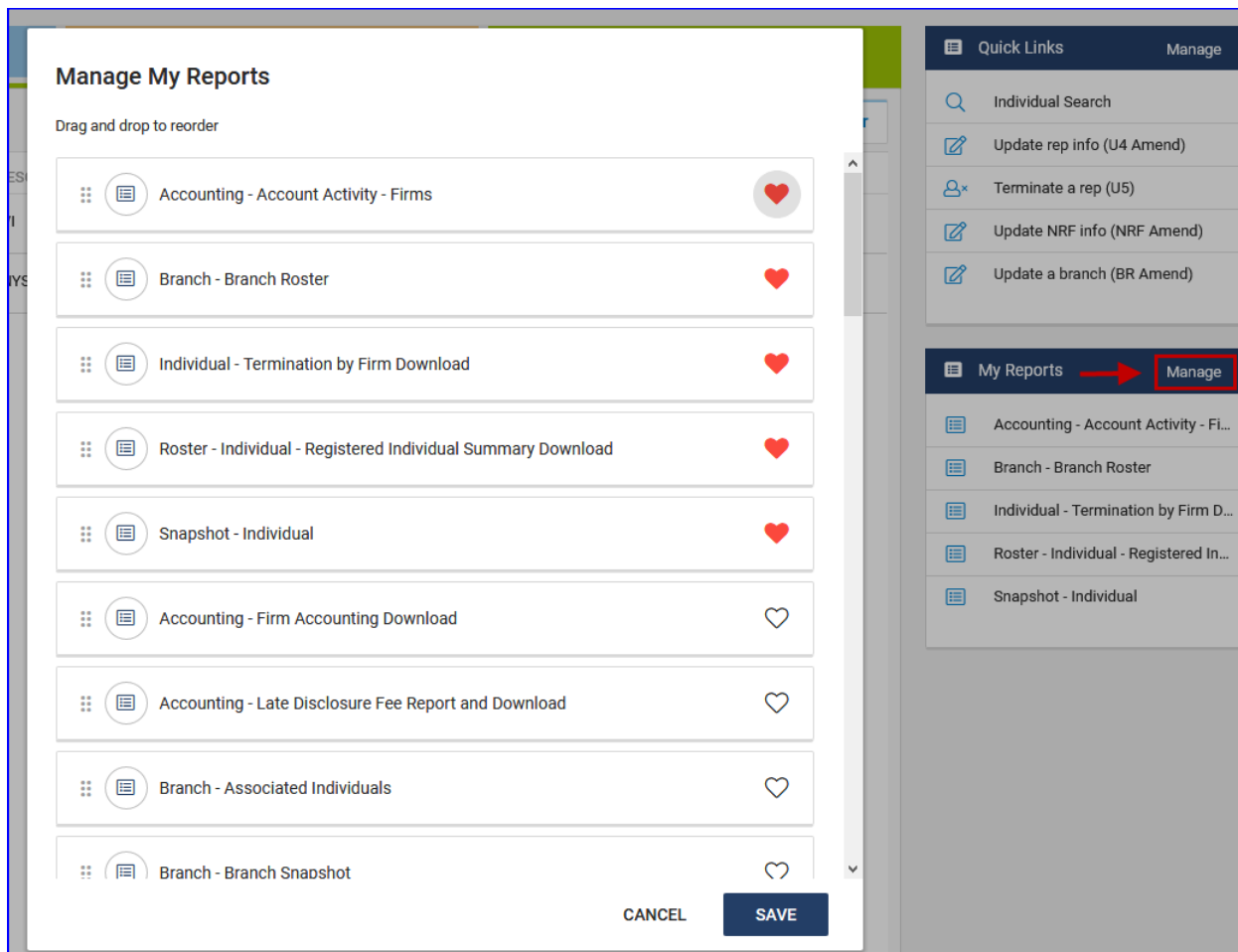
My Reports Manage

- Accounting - Account Activity - Fi...
- Branch - Branch Roster
- Individual - Termination by Firm D...
- Roster - Individual - Registered In...
- Snapshot - Individual

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.

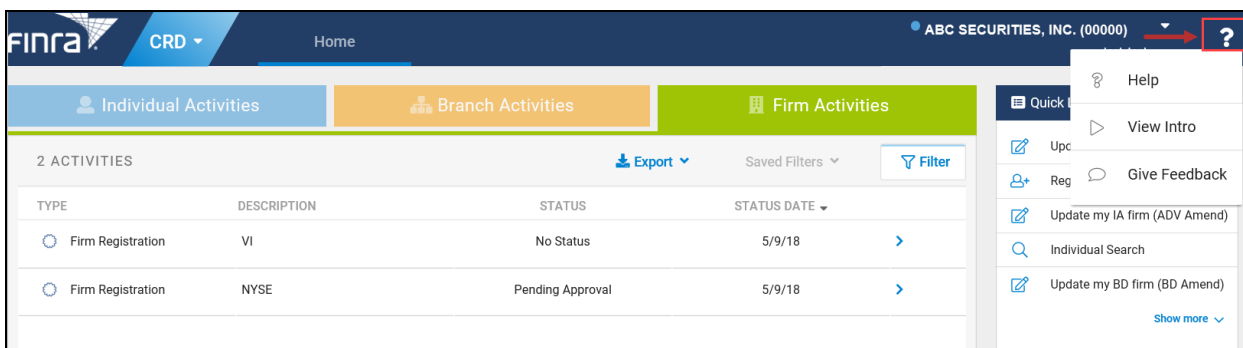
NOTE: Selecting a report will take the user to the Request Report screen in classic CRD. Users are required to have the existing reports entitlement in classic CRD in order to request the selected reports.



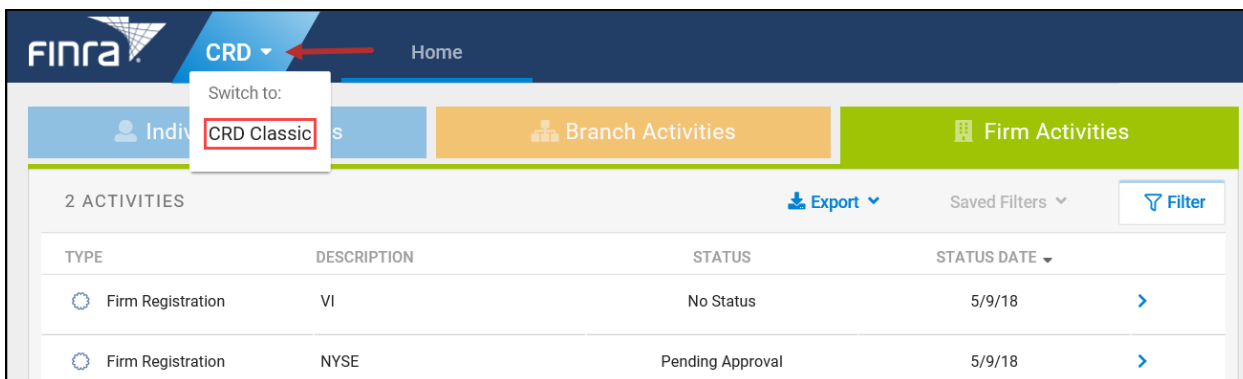
Additional Features

Upon their first login into new CRD, each user will be provided with a brief presentation of the latest features that have been added to the system. This presentation is also available by clicking the “?” icon in the top right of the screen and selecting “View Intro”.

Clicking the “?” icon will also display a “Give Feedback” link where users can complete an online survey about their experience with the new system.



Users can also switch to classic CRD at any time using the link at the top of the page.



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