



FINRA's Digital Experience Transformation (DXT) is a multi-year project that will include updates to registration-related applications. A new version of CRD is currently available with the limited functionality that is described in this guide.

**IMPORTANT NOTE:**

As of August 31, 2020, the new CRD features will be fully integrated into [FINRA Gateway](#), the new FINRA reporting and compliance platform. This new system is designed to focus on compliance functions, such as research, reporting and responding to requests, rather than focusing on the specific system you would access to fulfill your requirements.

After this date, the separate new CRD site will be retired and all users will need to access FINRA systems through FINRA Gateway. If you have any questions or feedback regarding the transition to FINRA Gateway, please contact [FeedbackFINRAGateway@finra.org](mailto:FeedbackFINRAGateway@finra.org).

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**Need help with 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. For details on each MyCRD privilege, please see the "System Access" tab on the [Be in the Know](#) page on FINRA's website.

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

## CRD Sitemap:

Web CRD ®				
CRD Main	IARD Main	Forms	Individual	Organization
CRD Main	IARD Main	Forms	Individual	Organization
Blank Forms	Create New U4 Filing	Individual Search (New CRD)	View Org	Organization Search
FAQ	Initial	Individual Search	Branch Search	Branch Search
Release Notes	Amendment	Disclosure Only Individual Search	Organization Queues	View Activities (New CRD)
SRO/Jurisdiction Fee and Setting Schedule	Concurrence	Non-Filing Info	Current Deficiencies	Branch Status
Recommended Browsers	Page 2 Amendment for Schedule A/B	NFI Individual Search	Branch Deficiencies	Disclosure Letters
Certified EFS Vendors	Page 2 Initial for Schedule A/B	SIE	SFG Retirement	Withdrawal or Termination
Send Comments	Dual	Enrollments/Results	Queue Totals	Queue Totals
	Relicense All	Firm Queues	Non-Filing Info	Mass Transfer
	Relicense CRD	View Activities (New CRD)	NFI Organization Search	Mass Transfer List
	Relicense 1A	Continuing Education		
	Pending U4 Filings	Approaching CE Requirement		
	Historical U4 Filings	CE 2-Year Termed		
		CE Inactive		
		CE Satisfied		
		Currently CE Required		
		Disclosure		
		Disclosure Review		
		Outstanding Disclosure Letters		
		Disclosure Queue Totals		
		Exams		

## View Individual:

Web CRD ®				
CRD Main	IARD Main	Forms	Individual	Organization
CRD Main	IARD Main	Forms	Individual	Organization
Blank Forms	Create New U4 Filing	Individual Search (New CRD)	View Org	Organization Search
FAQ	Initial	Individual Search	Branch Search	Branch Search
Release Notes	Amendment	Disclosure Only Individual Search	Organization Queues	View Activities (New CRD)
SRO/Jurisdiction Fee and Setting Schedule	Concurrence	Non-Filing Info	Current Deficiencies	Branch Status
Recommended Browsers	Page 2 Amendment for Schedule A/B	NFI Individual Search	Branch Deficiencies	Disclosure Letters
Certified EFS Vendors	Page 2 Initial for Schedule A/B	SIE	SFG Retirement	Withdrawal or Termination
Send Comments	Dual	Enrollments/Results	Queue Totals	Queue Totals
	Relicense All	Firm Queues	Non-Filing Info	Mass Transfer
	Relicense CRD	View Activities (New CRD)	NFI Organization Search	Mass Transfer List
	Relicense 1A	Continuing Education		
	Pending U4 Filings	Approaching CE Requirement		
	Historical U4 Filings	CE 2-Year Termed		
		CE Inactive		
		CE Satisfied		
		Currently CE Required		
		Disclosure		
		Disclosure Review		
		Outstanding Disclosure Letters		
		Disclosure Queue Totals		
		Exams		

View Individual	Non-Filing Info	SIE	Firm Queues
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Quick Search	View Profile in New CRD	Composite Information
Search	Individual CRD#: 11111111	Individual Name: Broker, John E
View Individual	Full Legal Name	Broker, John E
Composite Information	Social Security Number	xxx-xx-xxxx 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.

Individual Activities						Branch Activities						Firm Activities					
6 ACTIVITIES						<a href="#">Export</a>						× Reset Filter					
						☆ Save this filter						Saved Filters					
						<a href="#">Filter</a>											
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>											

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

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

## 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.

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

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.

Individual Activities					
Branch Activities					
Firm Activities					
13 ACTIVITIES					
<a href="#">Export</a> <a href="#">Saved Filters</a> <a href="#">Filter</a>					
<div> <div> Type &amp; Status: <ul style="list-style-type: none"> <li><input type="checkbox"/> Continuing Ed</li> <li><input type="checkbox"/> Disclosure</li> <li><input type="checkbox"/> Exam</li> <li><input type="checkbox"/> Fingerprint</li> <li><input type="checkbox"/> Other Firm Filing</li> <li><input checked="" type="checkbox"/> Registration <ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> Abandoned</li> <li><input checked="" type="checkbox"/> Approved</li> <li><input checked="" type="checkbox"/> Approved Pending Prints</li> </ul> </li> </ul> </div> <div> Status Date: <ul style="list-style-type: none"> <li>Anytime</li> <li>Today</li> <li>Last 7 days</li> <li>Last 30 days</li> <li>Custom range</li> </ul> </div> <div> Due Date: <ul style="list-style-type: none"> <li>Anytime</li> </ul> </div> </div>					
<div> Cancel <a href="#">Apply</a> </div>					

## 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	
6 ACTIVITIES		Export		Reset Filter	
				Save this filter	
				Saved Filters	
				Filter	
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

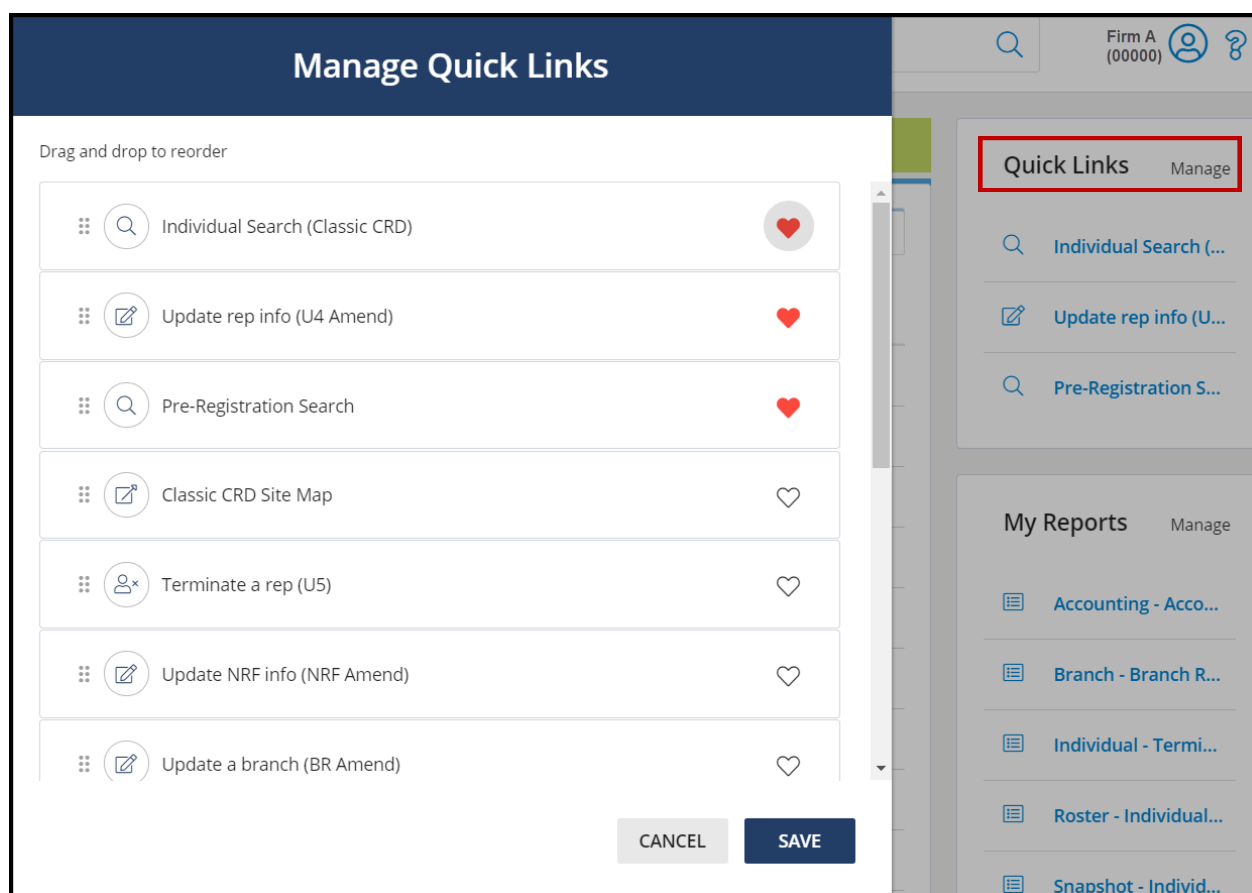
Users can create and save multiple filters. The list of saved filters allows the user to quickly switch between different customized activity views.

Individual Activities		Branch Activities		Firm Activities	
3 ACTIVITIES		Export		Reset Filter	
				Saved Filters : Disclosure	
				Filter	
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.

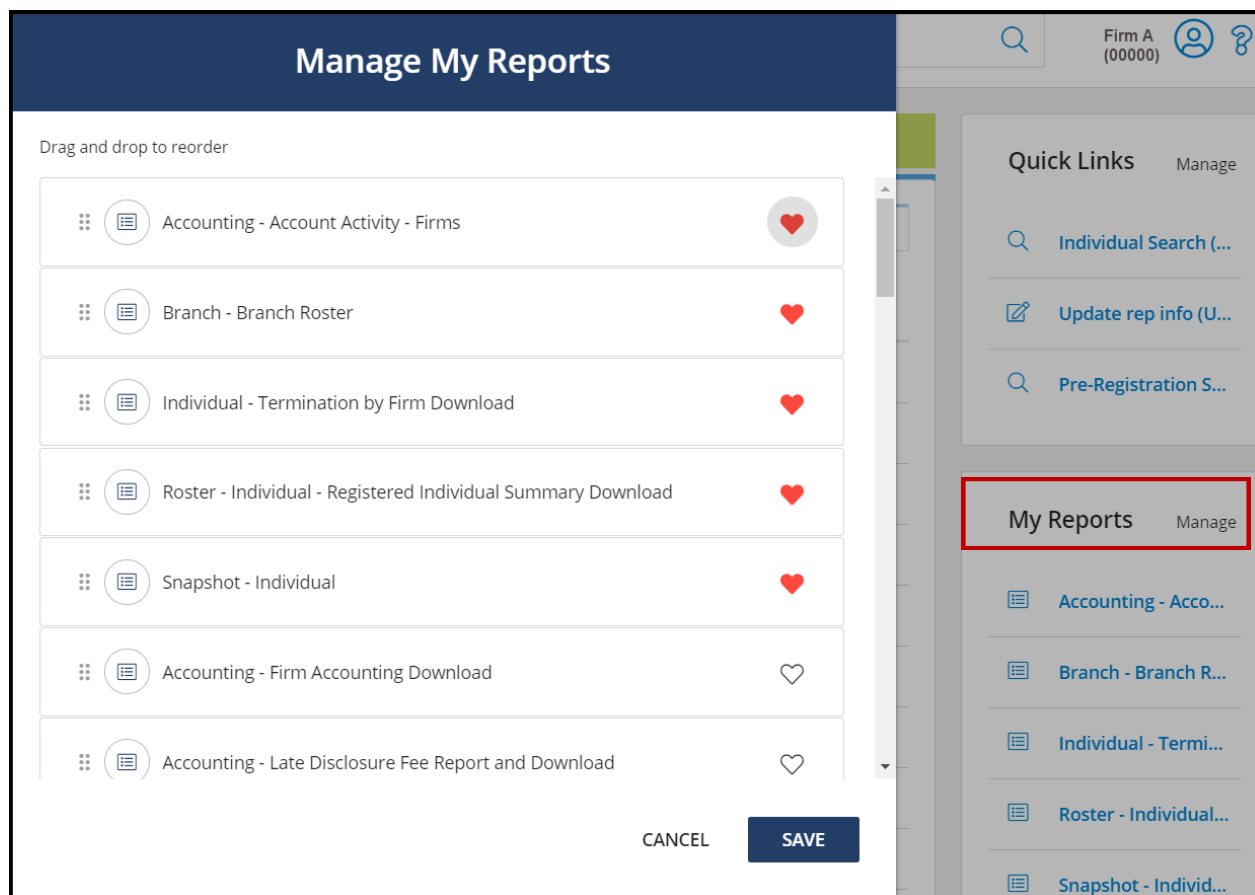
**NOTE:** Quick Links will take the user to the applicable function in classic CRD. Users are required to have the necessary classic CRD entitlement to access each function.



## 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

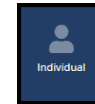
Individual information contains the details about registered and non-registered individuals that are currently or previously associated with your firm.

There are two ways to access individual 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 Activities can also access an individual's record by clicking on the appropriate name that is displayed in the 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 a link to perform a Pre-Registration Search in classic CRD.

### 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](#)

#### About CRD Transformation

Learn about the background and goals of the CRD transformation initiative.

#### Training and Support

See the available training offerings and services that will help you learn how to use CRD like a pro.

#### Be in the Know

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.

#### Financial Professional Gateway

Learn about FINRA's Financial Professional Gateway that provides your current and former representatives with direct access to manage their registration requirements.

#### New CRD Reference Guide

Access the Reference Guide for help on using the features currently available in the new CRD.

Select the appropriate person on the search results screen to be taken to the individual's profile page.



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

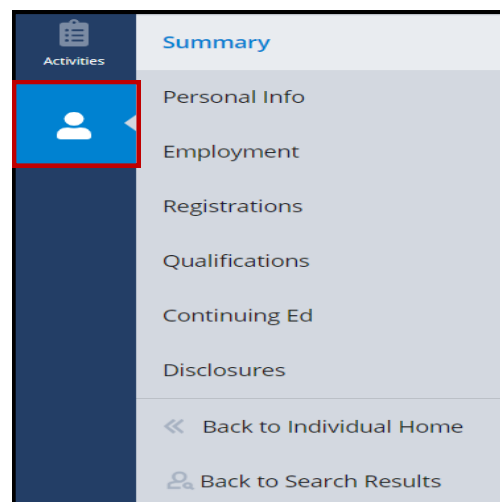
The screenshot shows the profile of John E. Broker, CRD: 1111111. At the top, it indicates 'Not a FinPro User' and 'Position: Registered Representative'. There are links to 'View Individual in Classic CRD (Full Record)' and 'Snapshot Report in Classic CRD'. The profile includes sections for 'CURRENT OFFICE LOCATION' (456 Broad Lane, City, State Zip, + 1 more), 'CURRENT RESIDENTIAL ADDRESS' (123 MAIN ST, ATHENS, GA 31024), '10 CURRENT DISCLOSURES', '13 ARCHIVED DISCLOSURES', and 'OTHER BUSINESS ACTIVITY - YES'. Below these are 'Current registrations with your firm' for State (RR Florida, RR Georgia) and SRO (FINRA).

## 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.

## Dynamic Reporting

This feature allows users to create, save, and download custom reports with CRD data. Users have the ability to filter and group the data, as well as choose which fields to include.

Dynamic Reporting						
My Custom Report						
Columns Filter Group Save Export						
Last Name	First Name	Branch City	Individual CRD#	Registrations	Current CE Status	Completed Exams
				3	2 Year Termed from In...	8
				3	Satisfied	8
				3	Required	10
				2	Satisfied	6

Ready-to-use templates are also available. The templates can be edited and saved as custom reports.

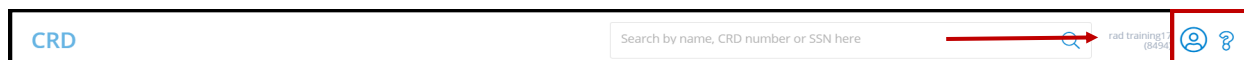
Dynamic Report Templates (12)	
Title	Description
<a href="#">Active Individuals Roster</a>	Explore a comprehensive set of data attributes about individuals currently employed by your firm.
<a href="#">Individual Roster (including terminated in...</a>	Explore a limited set of data attributes about individuals currently and formerly employed by your firm.
<a href="#">Active and OSJ Roster</a>	Explore those registered branches that are active supervisory jurisdiction offices.
<a href="#">Branch Roster</a>	Explore a comprehensive set of data attributes about your firm's registered branches (active and inactive).
<a href="#">Branches by Deficiency Status</a>	Explore registered branches categorized by branch deficiency status.
<a href="#">FinPro Access Tracking</a>	Track registered individuals' use of FinPro.
<a href="#">Individuals By CE Status</a>	Explore registered individuals categorized by CE status.
<a href="#">Individuals by Exam Status</a>	Explore registered individuals categorized by Exam status.
Rows: 1 - 12	

**NOTE:** For more information about this feature, including how to access it, please visit the [Dynamic Reporting](#) page on the FINRA website.

## Additional Features

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

Clicking the “?” icon will display “Help” and “Give Feedback” links. Users are able to provide feedback by completing an online survey about their experience with the new system.



## Helpful Hints

- Firms are not restricted to only using the new version of CRD. Classic CRD and Firm Gateway are still available until July 2020:
  - Classic CRD—<https://crd.finra.org>
  - Firm Gateway—<https://firms.finra.org>
- These features are also available in the new FINRA Gateway. To participate in the pilot, please contact [FeedbackFINRAGateway@finra.org](mailto:FeedbackFINRAGateway@finra.org). Additional information about the transition to FINRA Gateway is in the section below.