

For Your Information

Check/Wire Payments Reflected In CRD Accounts

The National Association of Securities Dealers, Inc. (NASD®) Finance Department has identified the following possible reasons a check or wire payment may not be reflected in a member firm's CRD® account:

- If your payment was sent by a parent firm, on behalf of an affiliated firm, it may have been credited to the parent's CRD account.
- If payment was sent by an affiliated firm, on behalf of a parent firm, it may have been credited to the affiliated firm's CRD account.
- If your payment was sent by a clearing firm, it may not have had a proper Firm CRD # or recognizable name and, therefore, may be held by our Finance Department.
- If an incorrect lockbox number was used in the address, your payment may be applied to other accounts your firm has with the NASD (e.g., Assessments, CRD Renewals, Advertising Regulation, etc.).

Please consider the above scenarios when inquiring about a payment that is believed to be mis-posted. Any information you can supply will greatly assist our Finance Department staff in researching your payment and making a prompt correction.

Finally, please remember that to ensure proper application of your funds, be certain to include your Firm CRD # on your check and verify the correct lockbox number for the type of payment you are remitting.

If you have any questions about this information, please contact the Gateway Call Center at (301) 869-6699.