



Classic CRD

Registration Deficiency Tracking Program

The CRD Registration Deficiency Tracking Program in CRD monitors individuals that have applied to become a registered representative or investment adviser representative and have a Deficient registration status. A Deficient status represents an agent that is not approved to conduct securities business, and many deficiencies must be resolved within a specific timeframe. This guide provides information on how firms can monitor this process.



IMPORTANT NOTE:

All classic CRD features should now be accessed through [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.

If you have any questions or feedback regarding the transition to FINRA Gateway, please contact FeedbackFINRAGateway@finra.org.

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Need help with CRD? Call the Gateway Call Center at **301-869-6699**
8 A.M. through 8 P.M., ET, Monday-Friday.

Logging in Through FINRA Gateway

Beginning in Summer 2020, the new [FINRA Gateway](https://gateway.finra.org) will become the primary method for accessing FINRA systems. To access FINRA Gateway:

1. Go to <https://gateway.finra.org>, and
2. Enter your existing CRD user ID and password.

Once you have successfully logged into FINRA Gateway, you can navigate to classic CRD using the **Quick Links** menu on the lower-left. Select **Classic CRD** from the list of links and then follow along with the rest of this guide.

The screenshot shows the FINRA Gateway interface. On the left is a dark blue sidebar with icons for Home, Profiles, Requests, Reports, and Support. The main area has a 'Search' section at the top with a 'Type' dropdown set to 'Individual' and a search box labeled 'Search Criteria' with the placeholder 'Search by Name or CRD#'. Below this is a 'Requests' section with a 'Lists' dropdown set to 'All (307)'. To the right of the 'Requests' section are 'Save' and 'Export' buttons. Below these is a table with columns: Request Type, Details, Created, Due, and Category. The table contains several rows of request data. A red box highlights the 'Quick Links' icon in the sidebar, and a red arrow points from it to the 'Quick Links' section below.

Request Type	Details	Created	Due	Category
Find out response time to complete		06/19/2020	06/19/2020	
FOCUS - Part II Monthly	Part II Monthly FOCUS Filing for J...	12/31/2015	02/24/2016	Financial / Operational
FOCUS - SIS Monthly	SIS Monthly FOCUS Filing for Jan...	01/31/2016	02/29/2016	Financial / Operational
FOCUS - SIS Monthly	SIS Monthly FOCUS Filing for Feb...	02/29/2016	03/29/2016	Financial / Operational
FOCUS - Part II Monthly	Part II Monthly FOCUS Filing for F...	01/31/2016	03/23/2016	Financial / Operational
FOCUS - Part II Monthly	Part II Monthly FOCUS Filing for ...	12/31/2015	04/25/2016	Financial / Operational
FOCUS - Custody Quarterly	Custody Quarterly FOCUS Filing f...	12/31/2015	04/25/2016	Financial / Operational
FOCUS - SIS Monthly	SIS Monthly FOCUS Filing for Mar...	03/31/2016	04/28/2016	Financial / Operational

The screenshot shows the 'Quick Links' section. At the top is the title 'Quick Links'. Below it are two buttons: 'FIRM GATEWAY' and 'CLASSIC CRD'. The 'CLASSIC CRD' button is highlighted with a red box, and a red arrow points to it. Below the buttons is a list of links arranged in two columns:

Advertising- Ad Reg	BD Form
E-bill	Exam Waiver Form
eFocus	IA Amend form (ADV Amend)
RegT Extension	NewCRD
Report Center	Pre-Registration Search
Shorts	NRF Form
See More Forms...	SIE

Reviewing Individual Deficiencies

1. From the CRD Site Map, click **Individual Search**.
2. Enter search criteria.
3. Click **Search**.
4. From the **View Individual** navigation bar, click **Deficiencies**.

Quick Search		Composite Information							
<input type="text"/> <input type="button" value="Search"/>		Individual CRD#: 111111 Individual Name: DOE, JOHN A							
View Individual ■ Composite Information ■ Personal Information ■ Employment History ■ Other Business ■ Registrations Summary ■ Registrations with Current Employers ■ Registrations with Prior Employers ■ Disclosures ■ Deficiencies ■ Exam Information		Full Legal Name		DOE, JOHN A					
		Social Security Number		XXX-XX-XXXX					
		Date Of Birth		01/21/1975					
		Employment		Name		SECURITIES FIRM (0000)			
				Firm Billing Code					
				Position		Registered Representative			
				Independent Contractor		No			
				CRD Branch Number		FINRA OSJ	Address	Firm Billing Code	NYSE Branch Code Number
				00001 - Located At		Yes	123 SECURITIES LANE ROCKVILLE, MD 20850		
		Residential Address		456 MAPLE STREET ROCKVILLE, MD 20852					
Reportable Disclosures?		Yes							
Statutory Disqualification		Last Updated							

5. Click on the **Firm Name** hyperlink in the **Deficiencies With Current Employers** section to view the Deficiencies.

Deficiencies Summary			
Individual CRD#: 111111		Individual Name: DOE, JOHN	
Deficiencies With Current Employers			
Firm CRD	Firm Name	Start Date	SFG Member
0000	SECURITIES FIRM 1	01/01/2006	Y
Deficiencies with Prior Employers			
Firm CRD	Firm Name	Start Date	SFG Member
00000	SECURITIES FIRM 2	06/02/1988	N

NOTE: To view deficiencies held with previous firms, click on the **Firm Name** hyperlink in the **Deficiencies with Prior Employers** section.

Current Individual Deficiencies Notice Queue

1. From the Individual column on the CRD Site Map, click the **Current Individual Deficiencies** hyperlink.
2. Select the radio button beside the type of deficiency that is to be reviewed. Only one radio button may be selected. To see all individual deficiencies within a firm, select the **All** radio button.

Registrations	Current Individual Deficiencies Notice Queue Search Criteria		
<ul style="list-style-type: none"> • Back to Previous Menu • Approved Individual Registrations • Current Individual Deficiencies • Denied Individual Registrations • Pending Individual Registrations • Purged Individual Registrations • Registration Queue Totals 	Include <input type="checkbox"/> Only notices for individual with CRD #: <input type="text"/> <input type="checkbox"/> Only notices for regulator: <input type="text"/> <input type="checkbox"/> Only notices for billing code: <input type="text"/>		
	Include Category <input checked="" type="radio"/> Both <input type="radio"/> CRD Only <input type="radio"/> IARD Only		
	Include Dates Deficiency Date Between: <input type="text" value="12/04/2014"/> And: <input type="text" value="02/02/2015"/>		
	Include Individual Registration Deficiency <div> <input checked="" type="radio"/> All <input type="radio"/> Exam <input type="radio"/> Funds <input type="radio"/> Pending Firm Approval <input type="radio"/> CE Inactive <input type="radio"/> Fingerprint <input type="radio"/> FINRA <input type="radio"/> Position <input type="radio"/> Disclosure Review <input type="radio"/> Firm Suspended <input type="radio"/> AR Registration <input type="radio"/> Dual <input type="radio"/> Foreign <input type="radio"/> FA Registration </div>		
	Select Sort Criteria Status Date <input checked="" type="radio"/> Ascending <input type="radio"/> Descending		
	Select Number of Rows Number of Rows per Page: <input type="text" value="25"/>		
	<input type="button" value="Display Queue"/>		

3. Click **Display Queue**.
4. Click the **Individual CRD** number hyperlink to open the individual's record. Individuals with more than one deficiency will appear multiple times in the queue.

Registrations		Current Individual Deficiencies Notice Queue					
<<Previous Next>> Rows 1 to 9							
Individual	Name	CRD Regs	IARD Regs	Billing Code	Regulator	Reg Cat	Status Date
11111111	Doe, John	Y	Y		FINRA	GS	01/14/2015
11111111	Doe, John	Y	Y		FINRA	SU	01/14/2015
11111111	Doe, John	Y	Y		NYSE	GS	01/14/2015
11111111	Doe, John	Y	Y		MD	AG	01/14/2015
11111111	Doe, John	Y	Y		NE	AG	01/14/2015

NOTE: Clicking the Registration Category (**Reg Cat**) hyperlink will open a separate browser containing the individual's deficiency details.

Deficiencies List: The table below displays deficiencies that will cause a registration to be purged if not resolved, along with the number of days granted to resolve each deficiency.

Deficiency That Will Cause a Registration to Expire	Number of Days	Explanation
Dual Registration Deficiency	90	Applies when an individual is Deficient for dual registration. The registration status will change to Purged, UNLESS it is a Mixed Dual deficiency, that is to say, the individual is an AG with one firm and an RA with another. Mixed Dual deficiencies will not receive a status of Purged.
Funds Deficiency	90	Applies when a registration is deficient due to insufficient funds for a firm.
Fingerprint Deficiency	90	Applies when a individual is required to submit a fingerprint card to FINRA and has been deficient. This deficiency does not apply to Investment Adviser Representatives.
AR Registration	180	Applies when an individual requests an AR position and the individual is already approved in another capacity, or when the individual requests another position while holding an approved AR position. This deficiency does not apply to Investment Adviser Representatives.
FA Registration	90	Applies when an individual requests an FA position and the individual is already approved in another capacity, or when the individual requests another position while holding an approved FA position. This deficiency does not apply to Investment Adviser Representatives.
Exam Deficiency	180	Applies when an individual has been deficient for 180 days. At this point, the firm has 5 days to reschedule an exam window. If the exam is not rescheduled the individual's registration will purge.
CE Inactive Deficiency	180	Applies when an individual does not complete their CE session within the appropriate time frame, and therefore becomes CE Inactive.
Prerequisite Deficiency	180	Applies if an individual holds a position that requires a prerequisite position, and the individual does not qualify for that prerequisite position. NOTE: If the agent currently has an exam window open to satisfy that prerequisite position, the registration status will not change to Purged. This deficiency does not apply to Investment Adviser Representatives.

Purged Registration Status

When a deficient registration request exceeds the time limit, the system will change the registration status to Purged. (See the following page for guidance on viewing Purged individual registrations.)

When the individual's last registration request purges, the system will NOT immediately close the firm association. A firm will have up to 120 days to file a Form U4 Amendment to re-request the registration of an individual with a Purged registration status. The firm will be assessed appropriate fees for the registration(s) selected on the Form U4 Amendment.

- If, after 120 days, no Form U4 Amendment has been filed for the individual and the individual only has registration statuses of Purged, the firm association will be closed. The registration will change from a Purged status to a registration status of Terminated Without Registration (T_NOREG).
- If the firm then wishes to reinstate the individual, a new Form U4 filing must be submitted for the individual.

Individuals that have a Purged registration status and at least one Approved registration status will not have a firm association closed, unless the firm submits a Form U5 for the individual.

- In instances such as this, the firm may re-request previously Purged registration by submitting a Form U4 Amendment filing.
- Applicable registration fees will be assessed for registrations that are re-requested.

NOTE: Not all Deficient registration statuses will automatically be assigned a Purged status. The following deficiencies will NOT automatically be changed to a registration status of Purged.

- FINRA Deficiencies
- Disclosure Review Deficiencies
- Foreign Deficiencies
- Pending Firm Approval and Firm Suspended Deficiencies

Purged Individual Registrations Notice Queue

1. From the Individual column on the CRD Site Map, click on the **Purged Individual Registrations** hyperlink.
2. Select a radio button to identify the search criteria.
3. Click **Display Queue**.

Registrations

- Back to Previous Menu
- Approved Individual Registrations
- Current Individual Deficiencies
- Denied Individual Registrations
- Pending Individual Registrations
- Purged Individual Registrations**
- Registration Queue Totals

Purged Individual Registrations Notice Queue Search Criteria

Include

☐ Only notices for individual with CRD #:

☐ Only notices for regulator:

☐ Only notices for billing code:

Include Category

☒ Both ☐ CRD Only
☐ IARD Only

Include Dates

Purged Date Between: And:

Select Sort Criteria

Purged Date ☒ Ascending
☐ Descending

Select Number of Rows

Number of Rows per Page:

[Display Queue](#)

4. Click the **Individual CRD** number hyperlink to display the individual's record. Individuals with more than one Purged registration status will appear multiple times in the queue.

Registrations

- Back to Previous Menu
- Approved Individual Registrations
- Current Individual Deficiencies
- Denied Individual Registrations
- Pending Individual Registrations
- Purged Individual Registrations**
- Registration Queue Totals

Purged Individual Registrations Notice Queue

[<<Previous](#) [Next>>](#)
 Rows 1 to 13

Individual				Billing Code	Regulator	Reg Cat	Purged Date
CRD	Name	CRD Regs	IARD Regs				
1111111	DOE JOHN A	Y	N		FINRA	GP	09/20/2008
2222222	DOE JOHN B	Y	N		FINRA	GP	09/20/2008
3333333	DOE JOHN C	Y	N		FINRA	GP	09/20/2008

NOTE: Clicking the Registration Category (**Reg Cat**) hyperlink will open another browser window to view the details of the deficiency that caused the registration status to purge.