Regulator Notifications is the Web CRD® function that provides entitled regulators with the capability to request automatic e-mail reminders when certain events occur within individual and/or firm CRD records.

To Find Regulator Notifications:

To access the Regulator Notifications functionality logon to Web CRD at: https://crd.finra.org. Enter your user name and password, then proceed using the steps below.

There are two ways to access the functionality in Web CRD.

From the Notifications section of the Web CRD Site Map, click directly on the link for each specific notification type.

1. Click the Notifications tab on the toolbar.

2. On the next page, click the appropriate notification type from the left navigation panel.

Regulator Notification Types

◊ **Agent Registration (Flag to Advise)** - This page allows authorized users to flag the CRD system, so that if a specified agent is filing any type of registration in that jurisdiction, the regulator will be automatically notified via e-mail.

◊ **Individual Disclosure Filing Received** - This page allows authorized users to flag the CRD system, so that if a filing containing new or amended disclosure is received for individuals selected by the regulator, the regulator will be automatically notified via e-mail.

◊ **Organization Disclosure Filing Received** - This page allows authorized users to flag the CRD system, so that if a filing containing new or amended disclosure is received for specified firms, the regulator will be automatically notified via e-mail.

◊ **Other Notifications** - This page allows users to elect to receive additional notifications. This page can also be used to update the regulator’s email address in the CRD database.

Maintaining Regulator Notifications Information

Once the Notifications section has been accessed, authorized users are able to use the left navigation panel to select the type of notification to edit. If the regulator has already selected individuals or firms to receive notifications for, the existing selections will automatically display. The system also allows users to add and remove individuals or firms from the list of records that will generate notifications (sample screens follow).
To request or remove any Other Notifications, check or uncheck the box next to the desired notification.

All Regulator Notifications are sent to the e-mail address that is entered in the Current E-Mail Address field on the Other Notifications page. To change the email address, update the field and click Save.