

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.

OR

1. Click the **Notifications** tab on the toolbar.



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

**Questions on Web CRD? Call Regulatory User Support at 240-386-4242
between 9 A.M and 5 P.M, ET, Monday-Friday.**

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).

Agent Registration (Flag to Advise)

1 Record(s) Found Show 25 records/page ▼

Selected Individuals

Remove	Name	CRD#▲	SSN	Birth Date
<input type="button" value="Remove"/>	[REDACTED]	[REDACTED]	XXX-XX-XXXX <input type="button" value="View SSN"/>	[REDACTED]

Individual Disclosure Filing Received

1 Record(s) Found Show 25 records/page ▼

Selected Individuals

Remove	Name	CRD#▲	SSN	Birth Date
<input type="button" value="Remove"/>	[REDACTED]	[REDACTED]	XXX-XX-XXXX <input type="button" value="View SSN"/>	[REDACTED]

Organization Disclosure Filing Received

Firm CRD Number:

1 Record(s) Found Show 25 records/page ▼

Selected Firms

Remove	Name	CRD#▼
<input type="button" value="Remove"/>	[REDACTED]	[REDACTED]

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.



Other Notifications

Notify	Type of Notification
<input checked="" type="checkbox"/>	When any firm changes its type of business
<input checked="" type="checkbox"/>	When the 6th or more customer complaint is filed against any individual
<input checked="" type="checkbox"/>	When another regulator updates an individual's registration status to Bar, Suspension, or Revoked
<input checked="" type="checkbox"/>	ADV-E completed with a termination statement.
<input checked="" type="checkbox"/>	ADV-E completed with qualified opinion.

E-Mail Address

Current E-mail Address:

Notifications will be delivered to you via e-mail.