

Web CRD

Accounting

Accounting is the Web CRD[®] function that provides firms and FINRA with the ability to view detailed financial information about their registration accounts. Firms that are both broker-dealer/investment adviser (joint firms) will be able to view both Web CRD financial account information and IARD[™] financial account information.

Web CRD Accounting Terminology

Flex-Funding Account	The Flex-Funding Account is the primary account, in which your firm will deposit funds, for day-to-day registration transactions to occur.
Renewal Account	The Renewal Account is the account your firm will use to participate in the annual Renewal Program, including viewing the Renewal Statement.
Account Status	The Account Status is defined as either Sufficient or Deficient and is determined based on the firm's running balance (i.e. Current Credit Balance/ Current Amount Due).
Sufficient Account Status	The firm's Flex-Funding Account balance is \$-0.01 or less . Your firm's Account Status must be Sufficient for registration and exam requests to be processed.
Deficient Account Status	The firm's Flex-Funding Account balance is \$0.00 or greater . If the firm's account balance goes above -\$0.01 at any point throughout the day, the firm's account status will become Deficient and registration/exam requests will not be processed until the account becomes Sufficient again.
Posted Account Balance	The balance displayed in Web CRD is based on transactions that have already posted to the firm's Flex-Funding Account. The Posted Account Balance does not include all Processed Transactions or Funds Deficient Transactions. The posted balance will be updated after the close of business during an automated nightly reconciliation process. Therefore, the firm's Posted Account Balance remains the same for the entire day until the nightly reconciliation process occurs.
Current Credit Balance or Current Amount Due	<p>This field will display the firm's running account balance.</p> <p>Running Balance = Posted Flex-Funding Account Balance - (Processed Transactions + Funds Deficient Transactions)</p> <p>A credit balance appears on Web CRD as a negative amount, indicating the funds available for registration transactions (i.e., Current Credit Balance). For example, if a firm's Current Credit balance is -\$1,000.00, the firm has \$1,000.00 available for registration transactions.</p> <p>A debit balance appears on Web CRD as a positive amount, indicating the amount owed by the firm's financial account (i.e., Current Amount Due). For example, a debit balance of \$1,000.00 means that a firm's financial account owes \$1,000.00 and has a Deficient Account Status.</p>

Questions on Web CRD? Call the FINRA Gateway Call Center at 301-869-6699
8 A.M. - 8 P.M., ET, Monday-Friday.

Getting Started

Web CRD can be accessed (2) ways:

1. FINRA Firm Gateway at —> <https://firms.finra.org>, or
2. Directly at —> <https://crd.finra.org>

Enter your **User ID** and **Password**.

If you access via FINRA Firm Gateway, click on the **Web CRD** tab.

Once you have accessed Web CRD, you can then navigate through the system as needed.

Access Accounting Information:

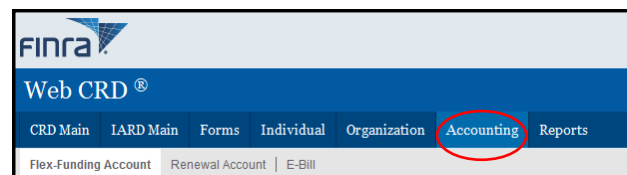
There are (2) ways to access your firm's Accounting information from Web CRD:

OR

From the **Accounting** section of the **Web CRD Site Map** click directly on the link for a specific accounting queue.

Click the **Accounting** tab on the tool bar . Then click any queue from the navigation panel on the left side of the screen.

Accounting Reports		
Individual	Organization	Accounting
View Individual	View Org	Flex-Funding Account
Individual Search	Organization Search	Processed Transactions
Disclosure Only Individual Search	Branch Search	Funds Deficient Transactions
	Organization Queues	Account Activity Summary
Non-Filing Info	Current Deficiencies	Deposit Detail
NFI Individual Search	Branch Status	Transfer Detail
Firm Queues	Branch Deficiencies	Transaction Detail
Continuing Education	Disclosure Letters	Bill Line Search
Approaching CE Requirement	SFG Retirement	
CE 2-Year Termed	Withdrawal or Termination	Renewal Account
CE Inactive	Queue Totals	Renewal Statement
CE Satisfied	Non-Filing Info	Account Activity Summary
Currently CE Required	NFI Organization Search	Deposit Detail
Disclosure	Mass Transfer	Transfer Detail
Disclosure Review	Mass Transfer List	Transaction Detail
Outstanding Disclosure Letters		Bill Line Search
Disclosure Queue Totals		E-Bill
		E-Bill



NOTE: If you click on the **Make an Electronic Deposit/Payment** link that is located in the sub-menu, if you have entitlement, you will access E-Bill. E-Bill is the electronic bill presentment and payment system, that enables firms to view and pay invoices; and to fund FINRA accounts through FINRA Firm Gateway.

For more information about E-Bill, please visit www.finra.org/ebill.

Flex-Funding Account Queues and Account Information

Flex-Funding Account Queues

- **Processed Transactions:** Items in this queue reflect financial transactions processed by Web CRD during the current business day.
- **Funds Deficient Transactions:** Items in this queue reflect transactions that have been submitted to Web CRD, but have not been processed because the firm's Account Status is Deficient. Transactions remain in this queue until funds are deposited into the firm's account and the funds deficiency is cleared.

NOTE: *Processed and Funds Deficient transaction fees are included in the firm's Current Credit Balance or Current Amount Due.*

Flex-Funding Account Queues
<ul style="list-style-type: none"> ▪ Processed Transactions ▪ Funds Deficient Transactions
Flex-Funding Account Information
<ul style="list-style-type: none"> ▪ Account Activity Summary ▪ Deposit Detail ▪ Transfer Detail ▪ Transaction Detail ▪ Bill Line Search

Flex-Funding Account Information

- **Account Activity Summary:** Search for summary information by date range for payments, transfers, and all transactions, as well as, a posted beginning and ending balance.
- **Deposit Detail:** Search for detailed information about specific deposits made by check, wire or ACH (E-Bill)
- **Transfer Detail:** Search for detailed information about specific transfers between accounts (e.g., affiliated firms, Flex-Funding and Renewal Accounts) and firm requested funds withdrawals.
- **Transaction Detail:** Search for detailed information about all transactions, such as registration fees, exam fees, disclosure processing fees, etc., submitted to Web CRD. Adjustments made to an account and manual charges (e.g., Media Source products) are also shown. This query does NOT include items listed in Transfer Detail or Deposit Detail.
- **Bill Line Search:** Search for specific transactions by CRD Number, CRD Transaction Number, Branch CRD Number, or Charge Code (a unique code for every type of fee that is generated) within a given date range. For firms that are both broker-dealers/ investment advisers, searches can be performed for transactions in Web CRD and IARD.

Funding Your Firm's Flex-Funding Account

Deposit Information

Check deposits and ACH/wire transfers received after 2:00 P.M. ET are posted within two business days. Deposits received before 2:00 P.M. ET are posted the next business day. Web CRD/IARD E-Bill deposits submitted before 8:00 P.M. ET are posted within 2 business days.

Payment Methods

There are three payment methods for funding your Flex-Funding or Renewal Account:

- Web CRD/IARD E-Bill
- Check or money order
- ACH and wire payments

Web CRD/IARD E-Bill

E-Bill enables firms to fund FINRA accounts through FINRA Firm Gateway or you can access using the Make an Electronic Deposit/Payment link in Web CRD Accounting. You must have entitlement to access E-Bill. Please see the [E-Bill User's Guide](#) for additional information, including how to transfer funds between affiliated firms.

Check Payment Addresses

All check or money order payments should be made out to FINRA and sent directly to FINRA at the addresses below. Funds will be deposited into the firm's Flex-Funding Account.

For US Mail Delivery:

FINRA
P.O. BOX 418911
Boston, MA 02241-8911
Note: This address will not accept courier or overnight deliveries.

For Express Delivery:

Bank of America Lockbox Services
FINRA 418911
MA5-527-02-07
2 Morrissey Blvd.
Dorchester, MA 02125
Provide the following phone number if one is required for the recipient: 800-376-2703.

ACH and Wire Payments

Provide your bank with the following information to initiate a transfer (use the applicable ABA number for the type of payment you are making—either wire or ACH):

Bank Name: **Bank of America**
Transfer funds to: **FINRA**
Wire ABA Number: **026009593**
ACH ABA Number: **054001204**
Beneficiary: **FINRA**
FINRA Account Number: **226005684771**
Reference Number: **Firm CRD number**

NOTE: Inform the firm's bank that funds are to be credited to FINRA's bank account and to use the firm's CRD number as a reference number only.

Accounting Activity Report

The **Account Activity Report** details all of a firm's accounting transactions for the previous month. The report can be requested through Web CRD for up to 120 days at a time.

Requesting a Monthly Account Activity Report:

1. Click the Reports tab on the Web CRD Site Map.
2. Select **Request Report** from the navigation bar.
3. Select the **Accounting-Account Activity-Firms** hyperlink from the Report Name column.
4. Enter the report parameters.
5. Enter User Initials (required).
6. Click **Submit**.

Home ? Printer Friendly

Enter Parameters to Request : Accounting - Account Activity - Firms

Enter specific Month and Year or leave blank along with blank Start Date to default to previous month:

Month and Year (MM/YYYY)

If Month and Year are blank above enter alternative reporting period:

Start Date (MM/DD/YYYY)

End Date (MM/DD/YYYY)

User Initials

Viewing an Account Activity Report:

1. Click the **Reports** tab on the Web CRD Site Map.
2. Select **View Reports** from the navigation bar.
3. Locate the requested Account Activity Report under Report Name.
4. Click the **Report Name** hyperlink to view the report.

Reports Home		View Reports							
Request Report	View Report								
		Records per Page: 25 Total Records: 1							
Report Name	Parameters	Request #	Status	Requested On	Available On	Expires On	Size	Requested By	
Accounting - Account Activity - Firms		14450574	Completed	1/30/2015 2:44:05 PM	1/30/2015 2:45:34 PM	3/6/2015 2:44:06 PM	1687.2	TTP	
		Records per Page: 25 Total Records: 1							

Renewal Statements

To View Renewal Statements:

1. Click the **Renewal Statement** hyperlink from the Accounting section of the Web CRD Site Map.

NOTE: Preliminary, Final and Past Due Statements will NOT be mailed to your firm. These invoices must be viewed or printed through Web CRD. Firms should maintain a copy of the invoice for their records as FINRA cannot generate previous years statements.

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Individual	Organization	Accounting	Reports
Forms	Individual	Organization	Accounting
Form U4	View Individual	View Org	Flex-Funding Account
Create New U4 Filing	Individual Search	Organization Search	Processed Transactions
Initial	Disclosure Only Individual Search	Branch Search	Funds Deficient Transactions
Amendment	Non-Filing Info	Organization Queues	Account Activity Summary
Concurrence	NFI Individual Search	Current Deficiencies	Deposit Detail
Page 2 Amendment for Schedule A/B	Firm Queues	Branch Status	Transfer Detail
Page 2 Initial for Schedule A/B	Continuing Education	Branch Deficiencies	Transaction Detail
Dual	Approaching CE Requirement	Disclosure Letters	Bill Line Search
Relicense All	CE 2-Year Termed	SFG Retirement	Renewal Account
Relicense CRD	CE Inactive	Withdrawal or Termination	Renewal Statement
Relicense IA	CE Satisfied	Queue Totals	Account Activity Summary
Pending U4 Filings	Currently CE Required	Non-Filing Info	Deposit Detail
Historical U4 Filings	Disclosure	NFI Organization Search	Transfer Detail
	Disclosure Review	Mass Transfer	Transaction Detail
Form U5	Outstanding Disclosure Letters	Mass Transfer List	Bill Line Search
Create New U5 Filing	Disclosure Queue Totals		E-Bill
Full			E-Bill

For additional information on this year's Renewal Program, go to: www.finra.org/renewals