



Financial Industry Regulatory Authority

Web CRD

Web CRD 'At A Glance' For Firms

The information provided in this job aid is intended to serve as an "at a glance" reference for those member firms that may not have the need to access the Web CRD® system on a regular basis. Included are tips regarding the annual FINRA Renewal Program, tips and suggested "best practices" related to Web CRD, as well as a reference page of CRD phone numbers, addresses, resource/training materials, and helpful Web sites.

Keep Track of Your Firm's Contact Information

Please use this page as a reference for each function below. In order to receive important registration-related information, please remember to keep firm contact information current.

- On the Entitlement Forms you completed to gain access to Web CRD, you designated the following ([see page 3](#)):
 - ⇒ **Firm Super Account Administrator:** _____
- In the FINRA Contact System (FCS), you designated the following ([see page 2](#)):
 - ⇒ **Firm Executive Representative:** _____
 - ⇒ **Firm Anti-Money Laundering Contact:** _____
- In Web CRD you provided a Contact to receive Web CRD-related mailings ([see page 2](#)):
 - ⇒ **Firm CRD Contact:** _____
- In Web CRD, you should designate at least one individual to receive Firm Notification emails about critical registration-related conditions. Be sure to keep those email addresses current. Provided below is space for you to record 3 recipients you have set up, but FINRA does not limit the number of recipients you may designate for each of these email notifications ([see page 6](#)):
 - ⇒ **Firm Notification Email Recipient:** _____
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 - ⇒ **Firm Notification Email Recipient:** _____
- Firms have the option of enrolling in E-Bill, an electronic payment method of funding your firm's Flex Funding Account, Renewal Accounts, and/or to pay Invoices. Provided below is space to list 2 individuals that have enrolled at your firm, but FINRA does not limit the number of E-Bill users your firm may enroll (see page 4):
 - ⇒ **E-Bill User:** _____
 - ⇒ **E-Bill User:** _____

Do You Know About the FINRA Small Firm Web Page?

The FINRA **Small Firm Information Web Page** is located at: www.finra.org/industry/small-firms
FINRA created a Small Firm Web Page to provide information for the small firm community. It contains current and past communications, links of interest to small firms, and other information. When applicable, it includes hyperlinks to:

- Annual Renewal Program
- Letters to FINRA Members
- Tools to Support Member Compliance
- FINRA Small Firm Advisory Board
- Free Webinars
- OATS Small Firm Resources
- CRD Information
- FINRA Notices
- CRCP Small Firm Scholarship

Ways to Stay Updated

Firm Notifications

The Firm Notification function in Web CRD provides firms with the capability to request automatic email reminders to be sent from Web CRD to firm-designated individuals whenever significant registration-related conditions occur.

Details on Firm Notifications, including instructions on how to elect to receive them and to designate recipients at your firm can be found on [Page 6](#) of this job aid.

Executive Representative Weekly Email

Sent every Wednesday by FINRA to your firm's Executive Representative, it highlights additions/changes to the information on FINRA's Web site. Every FINRA member firm is required to maintain an Internet email account on behalf of its Executive Representative.

To update your firm's Executive Representative or his/her email address:

Access and complete the **FINRA Contact System (FCS)** at: <https://firms.finra.org/fcs>

- ⇒ **NOTE:** You will be required to provide your User ID and Password to access the system.

Detailed instructions on using FCS can be found at: www.finra.org/fcs

Keep Your Web CRD Contact Information Current

Your firm's Web CRD Contact may be sent important Web CRD related information via letters, publications, or post cards. Therefore, it is important to update this information if it changes.

To update your firm's Web CRD Contact Information:

- ⇒ Access Web CRD at: <https://crd.finra.org>
- ⇒ Enter your User ID and Password.
- ⇒ Read the Terms and Conditions, then click the **I Agree** button.
- ⇒ On the Web CRD Site Map in the Organization column, click **NFI Organization Search**.
- ⇒ The **Maintain CRD Contact Information** screen displays.
- ⇒ Enter the applicable updated information.
- ⇒ Click the **Save** button.

Web CRD Related Online Publications

[Release Notes](#) are published in conjunction with each major Web CRD software release to provide information about CRD-related system changes and/or enhancements.

[Quick Reference Guides](#) are visual tools intended to assist users in navigating the CRD system. These guides are updated with each release and contain tips for making filings and performing many other CRD functions.

Web CRD Page on FINRA's Web Site

On the CRD Web pages you will find registration related and Web CRD System information such as instructions on how to register your representatives using Web CRD, Renewal Program information on how to renew both your firm, branches and representatives for the following year, and system job aids, how to pay fees, and much more. This page is continuously updated so we recommend you visit it at least once a month.

Access the Web CRD page at: www.finra.org/crd

Check Web CRD Broadcast Messages

Updated daily in Web CRD, these messages relay timely and important information related to CRD, including registration-related tips and suggested system and process best practices.

To view Web CRD Broadcast Messages:

- ⇒ Access Web CRD at: <https://crd.finra.org>
- ⇒ Broadcast Messages will display on the Web CRD Site Map
- ⇒ Click the Details hyperlink to view the full message.
- ⇒ Broadcast Messages can be printed.

NOTE: You can also access important information related to CRD and FINRA on [FINRA FIRM Gateway](#).

Getting onto Web CRD

FINRA allows a firm to access and use Web CRD once it has completed an entitlement form and designated one Super Account Administrator (SAA). The SAA is primarily responsible for creating and deleting firm Account Administrators (AA), and modifying Account Administrator privileges. The SAA and other administrators are able to create/delete/modify regular user accounts.



To see how FINRA is transforming CRD, please visit www.finra.org/newcrd for details and updates.

Logging into Web CRD

The URL for Web CRD is: <https://crd.finra.org>

- Enter your User ID and Password
- Read the Terms and Conditions, then click the **I Agree** button

Passwords must:

- Be 12-32 characters in length
- Include characters from at least three of the following four categories:
 - Uppercase alphabet characters (A-Z)
 - Lowercase alphabet characters (a-z)
 - Numeric characters
 - Special characters (all special characters are permitted including a space)
- Not reuse a user's 10 most recent passwords
- Not include your first, middle or last name
- Not include your user ID
- Not include profanity, words of a vulgar nature, or any commonly used words identified by information security professionals

NOTES:

- New users will be required to select three security questions and provide responses to each question. On subsequent logins, users may be asked to provide the responses to the security questions he/she selected in order to further verify identity.

Users can also access Web CRD through the FINRA Firm Gateway or through the new CRD homepage.

The URL for FINRA Firm Gateway:

<https://firms.finra.org>

- Enter your User ID and Password
- Read the Terms and Conditions, then click the **I Agree** button
- Navigate to Web CRD or other FINRA application that you have entitlement.

The URL for New CRD:

<https://mycrd.finra.org>

- Enter your User ID and Password
- Read the Terms and Conditions, then click the **I Agree** button
- Navigate to Web CRD or other FINRA application that you have entitlement.

Having Trouble Logging into Web CRD?

- Users who forget their password can click on the "Forgot User ID or Password?" link on the login screen to request a new password. The user will be prompted to enter their User ID and security response before a new password will be emailed.
- Five incorrect password attempts within 1 hour will result in a locked account. The account will auto unlock after 1 hour. Accounts can be unlocked sooner than 1 hour if users contact their SAA or AA: or if it is an SAA account, he/she needs to contact the FINRA Gateway Call Center.
- Users who have five incorrect security response attempts, need to contact their SAA or AA for a reset; or if it is an SAA account, he/she needs to contact the FINRA Gateway Call Center at 301-869-6699

Firm Account Administrators

Your firm's Account Administrators are responsible for the following functions in Web CRD:

- Create user accounts for individuals at your firm that require access to Web CRD and other FINRA systems.
- Perform password administration (e.g., provide initial User ID and Password, unlock accounts, reset passwords, and disable accounts for individual users).
- Grant and update entitlement privileges for individual users.

Account Administrators should contact their firm's Super Account Administrator to request additional entitlement privileges.

Account Management Resources

- The **Account Management Quick Reference Guide** at: www.finra.org/crd/help > Web CRD Quick Reference Guides > Account Management

How to Check Web CRD for Important Registration Information

Firms are electronically notified in Web CRD about registration-related conditions concerning their firm and representatives in several different ways including: Queues, Alerts, and emailed Firm Notifications.

About Queues

System queues for either the firm or the firm's associated individuals are available in Web CRD. The information in the queues is continuously updated and should be checked on a regular basis.

Firms should monitor their Queues regularly and maintain current contact information and email addresses for Firm Notification email recipients.

Queues Information Resources

- **Firm Queues for Individuals or Firm Queues for Organizations** quick reference guides: www.finra.org/crd/help > Web CRD Quick Reference Guides

Firm Queues for Organizations

- **Current Deficiencies** - Lists the firm's Form BD or BDW deficiencies and remains in this queue until the deficiency is satisfied.
- **Branch Status** - Lists all participating Jurisdiction and SRO branch office statuses for your firm.
- **Branch Deficiencies** – Lists the deficiency for each branch office. Notices remain in queue for 120 days.
- **Disclosure Letters** - Displays organization Disclosure notifications sent to the firm.
- **SFG Retirement** - Lists the retiring firm for simultaneous filing group, by date of retirement. Notices remain in queue for 120 days.
- **Withdrawal or Termination Queue** - Lists the firm's withdrawal or termination notices by effective date and remains in this queue for 120 days.
- **Queue Totals** - Displays the number of records currently in each queue.

Alerts

Alerts work in conjunction with the Individual queues (below). There are 8 types of Alerts that notify the firm of the number of individuals in a critical registration-related queue.

The 8 Alerts are:

1. CE Inactive
2. CE 2-Year Termed
3. Denied Individual Registrations
4. Inactive Registration Due to Missing Fingerprint Cards
5. Manual Termination
6. Temporary Registration Cancellation
7. Termination
8. U5 Required

To view your firm's Alerts, follow these steps:

- ⇒ Access Web CRD at: <https://crd.finra.org>
- ⇒ On the Site Map under 'Firm Queues,' click on the 'Alerts' link, which is the last one
- ⇒ If your firm has any Alerts, then check the applicable Queue to view the affected individual

Firm Queues for Individuals

- Individuals remain in the following queues **until your firm responds or the condition is met/resolved**:
 - CE Inactive Queue
 - Outstanding Disclosure Letters Queue
 - Scheduled Exams Queue
 - Inactive Registrations Due to Missing Fingerprint Cards Queue
 - Pending Individual Registrations Queue
 - Manual Termination Queue
 - U5 Required Notice Queue
- Individuals remain in the following queue for **28 days prior** to their CE session:
 - Approaching CE Requirement Queue
- Individuals remain in the following queues for **up to 30 days**:
 - Fingerprint Status Received from FBI Queue
 - Notices of Undelivered Fingerprint Cards Queue
 - Denied Individual Registrations Queue
 - Temporary Registration Cancellation Queue
 - Termination Queue
- Individuals remain in the following queues for **up to 120 days**:
 - Currently CE Required Queue
 - Purged Individual Registrations Queue
- Individuals remain in the following queues **indefinitely**:
 - CE 2-Year Termed Queue
 - CE Satisfied Queue
 - Completed Exams Queue
 - Disclosure Review Queue
 - Other Firm U4 Filing Queue
 - Approved Individual Registrations Queue
 - Current Individual Deficiencies Queue
 - U5 Queue
 - U5 Late Fees Queue

About Firm Notifications

Firm Notifications are systematically generated when critical registration-related events occur in Web CRD. They are emailed to the individual(s) designated by your firm. Hardcopy postal mail notifications are not sent to firms. Firms should monitor their Queues regularly, elect to receive the email notifications appropriate for them, and maintain current email addresses for Firm Notification recipients.

Types of Firm Notifications

There are several types of **Firm Notifications** that a firm may elect to receive, of which the following **4 notifications are automatically sent to the firm** due to their criticality:

- Notify when a registered individual is within 30 days of the end of his or her CE Required window
- Notify when a registered individual is within 90 days of the end of his or her CE Required window
- Notify when registered individuals receive an INCOMPLETE result for a CE session
- Notify when a registered individual enters Firm CE Inactive Queue

The 4 notifications listed above are automatically emailed to the firms' Continuing Education Contact person as listed in the FINRA Contact System (FCS). This is in addition to any individual(s) you choose to receive these notifications from the Firm Notification functionality in Web CRD.

The remaining notifications are available only if the firm elects to receive them:

Registration

- Notify when an individual's examination status changes
- Notify when an individual has a fingerprint updated with a status of ILEG - BD Only
- Notify when an individual's registration is Inactive Prints with the Firm - BD Only
- Notify when an individual's registration request is T_NOU5
- Notify when an individual with deficient registration is Eligible to Purge within the next 30 days
- Notify when an individual has a fingerprint updated with a status of RAPP - BD Only
- Notify when an individual's registration request has been Denied.
- Notify when an individual's registration has been Revoked.
- Notify when a registered individual enters Firm Temporary Registration Cancellation Queue
- Notify when a U5 is submitted by another firm

Disclosure

- Notify when a Bankruptcy has expired for a registered individual with the firm
- Notify when a Customer Complaint has expired for a registered individual with the firm
- Notify when a U6 is filed against a registered firm or active exempt reporting adviser
- Notify when a U6 is filed against an individual registered with the firm
- Notify when a registered, NRF, or formerly registered individual enters Firm Outstanding Disclosure Letters Notice Queue
- Notify when a registered, NRF, or formerly registered individual has an Outstanding Disclosure Letter more than 30-60-90 days old
- Notify when a letter enters the Organization Disclosure Letters Queue

Other

- Notify when Firm account balance is 'Deficient'
- Notify when firm has an outstanding Form BD deficiency
- Notify when a filing has failed submission
- Notify when a registered individual enters Other Firm U4 Filing Notice Queue
- Notify when registered individuals are within 10 days of CE Inactive or Prints Inactive statuses

Branch

- Notify when a branch registration is approved
- Notify when a branch is deficient

About Firm Notifications (Continued)

Firm Notification Recipients

Firms can designate the individual(s) and specify which notifications he/she should receive. FINRA does not limit the number of individuals your firm chooses to designate as recipients of each Firm Notification. Please note that in order to access the Firm Notification function in Web CRD, you must be entitled to the 'Maintain Firm Notification' privilege by your firm's Account Administrator

To designate Firm Notification Email recipients at your firm:

- ⇒ Access Web CRD at: <https://crd.finra.org>
- ⇒ Enter your User ID and Password.
- ⇒ Read the Terms and Conditions, then click the **I Agree** button.
- ⇒ On the Site Map under 'Organization,' click on 'NFI Organization Search.'
- ⇒ Next click on 'Firm Notification'.
- ⇒ Existing recipients will be listed, click on 'Add New' to designate additional recipients.
- ⇒ Enter the requested information and select the Notification Types this individual should receive.
- ⇒ Click the 'Save' button.

Firm Notification Resources

- **Firm Notifications Quick Reference Guide:** www.finra.org/crd/help > Web CRD Quick Reference Guides > Firm Notifications

Regulatory Fees and Payment Options

FINRA assesses and collects regulatory fees that fund FINRA's regulatory activities, including the Gross Income Assessment (GIA), Personnel Assessment and Branch Assessment Fees, Flex Funding Account, Renewal Account as well as user fees for the services FINRA provides.

FINRA provides several options for firms to pay these fees. Firms may pay invoices via check, ACH payment, credit card or wire transfer.

FINRA also provides an electronic billing system, E-Bill, which enables firms to view and pay invoices through the FINRA Firm Gateway—an online tool that provides centralized access to FINRA regulatory and filing applications.

Firms may use one of the following methods to make payments to FINRA:

- Electronic payment through E-Bill
- ACH or wire transfer
- Funds Transfer
- Check

For more information on payment of fees go to: www.finra.org/industry/crd/pay-fees

How to Stay on Top of Continuing Education: Monitor Your Representatives' CE Statuses

This section will focus on the Regulatory Element of the CE Program as it pertains to Web CRD.

CE Firm Notification Emails

Make sure your firm has designated at least one recipient to receive Firm Notification Emails, which are systematically generated by Web CRD when certain registration-related events occur.

Refer to [page 6](#) to see a list of the CE Firm Notifications available.

Check Your Firm's CE Queues Regularly

By checking your firm's CE Queues, you will be able to monitor for each type of CE status except 'No CE Status'

To view your firm's CE Queues, follow these steps:

- ⇒ Log on to Web CRD at: <https://crd.finra.org>
- ⇒ Enter your User ID and Password.
- ⇒ Read the Terms and Conditions, then click the **I Agree** button.
- ⇒ On the Site Map under Firm Queues, click the specific hyperlink for the CE Queue that you would like to view.

Using the CE Reports in Web CRD

Web CRD provides a number of CE Reports. In particular, the CE Download Report provides the following for each representative registered with your firm:

- Name
- CRD Number
- Social Security Number
- CE Base Date
- Next Requirement Window
- Current CE Status

To request a CE Report:

- ⇒ Access Web CRD at: <https://crd.finra.org>
- ⇒ Enter your User ID and Password.
- ⇒ Read the Terms and Conditions, then click the **I Agree** button.
- ⇒ On the Web CRD site map in the Reports column, click the **Request Report** hyperlink.
- ⇒ Select the desired CE report.
- ⇒ Click the **Submit** button.

To view your requested report click **View Report** from the Reports column of the Web CRD site map. Reports are usually generated within 24 hours of the request. All reports listed under 'Request Reports' are free of charge.

CE Statuses an Individual Can Have

- **Satisfied** - The individual has satisfied his/her most recent CE requirement or has entered the CE program within the past 2 years and does not currently have any CE obligations.
- **Required** - The individual has a CE window open and must complete the CE session within the required 120-day window to remain active.
- **CE Inactive** - The individual did not complete a CE session within the required 120-day window and all of his/her registrations are now inactive. While CE Inactive, the individual cannot engage in, nor be compensated for, activities that require a securities registration.
- **CE 2 Year Terminated** - The individual has had a CE Inactive status for two years, causing all of his/her registrations to be administratively terminated. If the individual wishes to resume conducting business in the industry, he/she must re-qualify for registration through a qualification exam or waiver.
- **No CE Status** - The individual is not entered in the Regulatory Element CE cycle, meaning he/she does not have any active registrations that cause CE to be required.

What if an Individual Becomes CE Inactive

Participants become CE Inactive after the 120-calendar-day window closes and their Regulatory Element requirement has not been satisfied. Registrations of individuals who remain CE Inactive for two years will be administratively terminated, and they will need to requalify.

Even if the CE session is in progress and the 120-calendar-day window closes, the individual will become CE Inactive and will be required to restart the CE session from the beginning. Until the CE session is completed, the individual will remain CE Inactive and cannot act in a registered capacity or receive compensation for activities that require registration.

Contact FINRA Field Support if you have questions about CE scheduling or results: (800) 999-6647.

CE Resources

- CE Program: www.cecouncil.com
- [Continuing Education Quick Reference Guide](#)

For Your Reference

Online Resources

- FINRA Web Site: www.finra.org
- FINRA Small Firm Information: www.finra.org/industry/small-firms
- Web CRD Information: www.finra.org/crd
- Web CRD Transformation: www.finra.org/industry/we-are-transforming-crd
- Web CRD System Availability Calendar: www.finra.org/crdavailability
- Web CRD Frequently Asked Questions: www.finra.org/crdfaq
- Web CRD Quick Reference Guides: www.finra.org/industry/web-crd/web-crd-quick-reference-guides
- Web CRD & IARD Upcoming Releases and User Testing: www.finra.org/crd/upcomingreleases
- Web CRD Registered Representative URL: <https://filing.crd.finra.org/crdmain>
- Annual Renewal Program: www.finra.org/renewals
- Branch Office Registration: www.finra.org/crdbranchoffice
- Broker Qualifications & Continuing Education: www.finra.org/BrokerQualifications
- Regulatory Filing and Reporting: www.finra.org/industry/regulatory-filing-and-reporting
- Web EFT: www.finra.org/webeft
- NASAA Web Site: www.nasaa.org
- SEC Web Site: www.sec.gov

Email Addresses

- **Web CRD Questions:**
WebCRD@finra.org
- **Ad Hoc Report Requests:**
WebCRD@finra.org

Phone Numbers

FINRA Member Hotline:
(301) 869-6699

To schedule, reschedule, or cancel an exam appointment at a testing center, call:

Prometric:
(800) 578-6273

Web CRD Mailing Addresses

Mail Service	Correspondence & Fingerprint Cards
Regular U.S. Mail: (P.O. Boxes will not accept courier or overnight deliveries)	FINRA P.O. Box 9495 Gaithersburg, MD 20898-9495
Express/Overnight Mail Delivery: If a phone number is required for the recipient, provide: (800) 376-2703	FINRA Document Processing 9509 Key West Avenue Rockville, MD 20850