The information provided in this job aid is intended to serve as a reference for FINRA member firms that may not have the need to access the CRD system on a regular basis. Included are tips for staying in contact with FINRA, suggested "best practices" related to managing registrations in CRD, as well as a reference page of phone numbers, addresses, and online resources.

**IMPORTANT NOTE:**

All classic CRD features should now be accessed through [FINRA Gateway](https://www.finra.org), 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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**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 CRD, you designated the following:
  - **Super Account Administrator:** __________________________________________________________________

- You are required to designate several contacts in the [FINRA Contact System (FCS)](https://www.finra.org), including the following roles:
  - **Executive Representative:** __________________________________________________________________
  - **Chief Compliance Officer:** __________________________________________________________________
  - **Emergency Contact (BCP):** __________________________________________________________________
  - **Continuing Education:** __________________________________________________________________

- In CRD, you provided the following contact to receive certain CRD-related communications (see page 2):
  - **Firm CRD Contact:** __________________________________________________________________

- In CRD, you can designate individuals to receive Firm Notification emails about critical registration-related events. Be sure to keep those email addresses current. Use the space below 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:** __________________________________________________________________
  - **Firm Notification Email Recipient:** __________________________________________________________________
  - **Firm Notification Email Recipient:** __________________________________________________________________

- Firms use **E-Bill** as the electronic payment method of funding your firm’s Flex Funding Account, Renewal Accounts, and/or to pay Invoices. Use the space below to list 3 individuals at your firm with access to E-Bill, but FINRA does not limit the number of E-Bill users your firm may have:
  - **E-Bill User:** __________________________________________________________________
  - **E-Bill User:** __________________________________________________________________
  - **E-Bill User:** __________________________________________________________________
### Ways to Stay Updated

#### Registration and Licensing Email Subscription

Member firms can enroll in several FINRA email subscriptions, including Registration and Licensing updates.

Access the online email subscription tool at: [https://tools.finra.org/email_subscriptions/](https://tools.finra.org/email_subscriptions/)

#### FINRA Small Firms Information Page

FINRA created the [Small Firms Information](https://www.finra.org/small-firms-information) page to make information easily accessible to 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
- Compliance Tools for Firms
- CRCP Small Firm Scholarship Program
- FINRA Notices
- FINRA Small Firm Advisory Board Info
- Industry Webinars
- Letters to FINRA Members
- OATS Small Firm Resources
- Registration System Changes

#### CRD Training Page on FINRA’s Website

On the CRD training page CRD system information such as upcoming training offerings, system job aids, frequently asked questions, system release notes, and much more. This page is updated throughout the year so we recommend visiting it regularly.

Access the CRD training page at: [www.finra.org/crd/help](http://www.finra.org/crd/help)

#### Check CRD Broadcast Messages

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

To view CRD Broadcast Messages, access CRD through FINRA Gateway (see page 3).

⇒ Broadcast Messages will display near the top of the Site Map.
⇒ Click the Details button to view the full message.
⇒ Broadcast Messages can also be printed.

#### Executive Representative Weekly Email

Sent every week 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 email account on behalf of its Executive Representative.

To update your firm’s Executive Representative or his/her email address, access the FINRA Contact System (FCS) through FINRA Gateway (see page 3).

Additional information about using FCS can be found at: [www.finra.org/fcs](http://www.finra.org/fcs).

#### Keep Your CRD Contact Information Current

FINRA may need to contact the firm regarding important CRD-related information via letter, phone or email. Therefore, it is important to update this information if it changes.

To update your firm’s CRD Contact information, access CRD through FINRA Gateway (see page 3).

⇒ On the Site Map in the Organization column, click [NFI Organization Search](https://tools.finra.org/email_subscriptions/).
⇒ The Maintain CRD Contact Information screen displays.
⇒ Update the information as needed.
⇒ Click the Save button.
Beginning in Summer 2020, the new FINRA Gateway will become the primary method for accessing FINRA systems. To access FINRA Gateway:

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

Once you have successfully logged into FINRA Gateway, you can navigate back to individual applications using the Quick Links menu on the lower-left (for example, select Classic CRD from the list of links). For applications not specifically listed, use the See More Forms quick link.
In order to access FINRA systems, firms must submit an entitlement form and designate 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.

**Logging into FINRA Gateway**

- FINRA Gateway URL = [https://gateway.finra.org](https://gateway.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.

**Having Trouble Logging In?**

- 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:

- Create user accounts for individuals at your firm that require access to 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**

- [FINRA Entitlement Reference Guide](https://gateway.finra.org)
Firms are electronically notified in 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 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](http://www.finra.org/crd/help) > 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 CRD through FINRA Gateway (see page 3).
⇒ On the Site Map in the individual column, under ‘Firm Queues’ click on the ‘Alerts’ link.
⇒ If your firm has any Alerts, then check the applicable Queue to view the affected individual(s).

### 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
Firm Notifications are systematically generated when critical registration-related events occur in 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.

### About Firm Notifications

Firm Notifications are generated when critical registration-related events occur in 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 firm’s Continuing Education contact person(s) as listed in the FINRA Contact System (FCS). This is in addition to any individual(s) you choose to receive these notifications by listing them in the Firm Notification section of 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
- 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
Firm Notification Recipients

Firms can designate the individual(s) and specify which notifications they 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 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 CRD through FINRA Gateway (see page 3).
⇒ On the Site Map in the Organization column, click on ‘NFI Organization Search.’
⇒ Next click on ‘Firm Notification’.
⇒ Existing recipients will be listed, and can be edited by clicking on their hyperlinked email address.
⇒ Or click on ‘Add New’ to designate additional recipients.
⇒ Enter their contact information and select the Notification Types this individual should receive.
⇒ Click the ‘Save’ button.

Firm Notification Resources


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/registration-exams-ce/classic-crd/pay-fees](http://www.finra.org/registration-exams-ce/classic-crd/pay-fees)
This section will focus managing the Regulatory Element of the CE Program as it pertains in 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:

⇒ Access CRD through FINRA Gateway (see page 3).
⇒ On the Site Map in the Individual column, click the specific hyperlink for the CE Queue that you would like to view.

### Using the CE Reports in Web CRD

CRD provides a number of CE Reports. Specifically, the CE Download Report provides the following data 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 CRD through FINRA Gateway (see page 3).
⇒ On the 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 CRD site map. Reports are usually generated within a few minutes and contain data as of the previous day. 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 Termed** - 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 Council**: [www.cecouncil.com](http://www.cecouncil.com)
- **Continuing Education Quick Reference Guide**
For Your Reference

Online Resources

- FINRA Web Site: www.finra.org
- CRD Information: www.finra.org/crd
- FINRA Gateway Information: www.finra.org/finragateway
- Small Firm Information: www.finra.org/industry/small-firms
- Compliance Calendar: www.finra.org/compliance-tools/compliance-calendar
- Annual Renewal Program: www.finra.org/renewals
- Branch Office Registration: www.finra.org/crd/branchoffice
- Broker Qualifications & Continuing Education: www.finra.org/registration-exams-ce/individuals
- Regulatory Filing and Reporting: www.finra.org/filing-reporting
- Financial Professional Gateway (FinPro): www.finra.org/finpro
- Industry Webinars: www.finra.org/webinars
- NASAA Web Site: www.nasaa.org
- SEC Web Site: www.sec.gov

Email Addresses

- CRD Questions: WebCRD@finra.org
- FINRA Gateway Feedback: FeedbackFINRAGateway@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

CRD Mailing Addresses (Correspondence and Fingerprint Cards)

<table>
<thead>
<tr>
<th>Mail Service</th>
<th>Address</th>
</tr>
</thead>
<tbody>
<tr>
<td>Regular U.S. Mail:</td>
<td>FINRA</td>
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<tr>
<td>(P.O. Boxes will not accept</td>
<td>P.O. Box 9495</td>
</tr>
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<td>courier or overnight deliveries)</td>
<td>Gaithersburg, MD 20898-9495</td>
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<td>If a phone number is required for</td>
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<tr>
<td>the recipient, provide:</td>
<td>9509 Key West Avenue</td>
</tr>
<tr>
<td>(800) 376-2703</td>
<td>Rockville, MD 20850</td>
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