



Classic CRD

Firm Queues: Individual Queues

Individual Queues provide a mechanism for the CRD system to notify firms of events relating to individuals and their registrations. This navigation guide provides general information on how to access these queues, as well as descriptions of their contents.



IMPORTANT NOTE:

All classic CRD features should now be accessed through [FINRA Gateway](#), 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.

Additionally, firms can use FINRA Gateway's [Requests and Dynamic Reporting](#) features to accomplish the same tasks previously done using CRD queues.

If you have any questions or feedback regarding the transition to FINRA Gateway, please contact FeedbackFINRAGateway@finra.org.

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Need help with CRD? Call the Gateway Call Center at **301-869-6699**
8 A.M. - 8 P.M., ET, Monday through Friday.

Logging in Through FINRA Gateway

Beginning in Summer 2020, the new [FINRA Gateway](https://gateway.finra.org) will become the primary method for accessing FINRA systems. To access FINRA Gateway:

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

Once you have successfully logged into FINRA Gateway, you can navigate to classic CRD using the **Quick Links** menu on the lower-left. Select **Classic CRD** from the list of links and then follow along with the rest of this guide.

The screenshot shows the FINRA Gateway interface. On the left is a dark blue sidebar with icons for Home, Profiles, Requests, Reports, and Support. The main area has a 'Search' section at the top with a 'Type' dropdown set to 'Individual' and a 'Search Criteria' input field. Below this is a 'Requests' section with a 'Lists' dropdown set to 'All (307)'. A table of requests is displayed with columns: Request Type, Details, Created, Due, and Category. A red box highlights the 'Quick Links' icon in the sidebar, and a red arrow points from it to the 'Quick Links' section below.

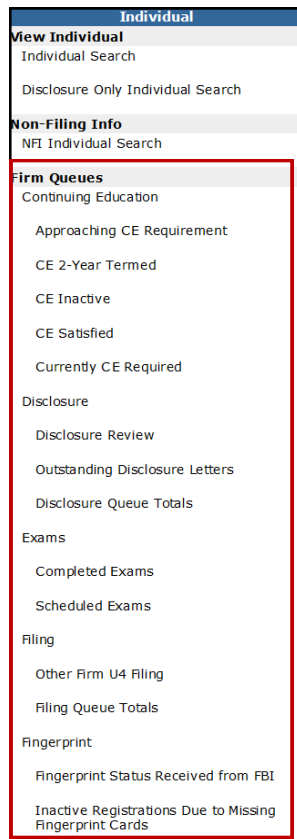
Request Type	Details	Created	Due	Category
Find out response time to complete		06/19/2020	06/19/2020	
FOCUS - Part II Monthly	Part II Monthly FOCUS Filing for J...	12/31/2015	02/24/2016	Financial / Operational
FOCUS - SIS Monthly	SIS Monthly FOCUS Filing for Jan...	01/31/2016	02/29/2016	Financial / Operational
FOCUS - SIS Monthly	SIS Monthly FOCUS Filing for Feb...	02/29/2016	03/29/2016	Financial / Operational
FOCUS - Part II Monthly	Part II Monthly FOCUS Filing for F...	01/31/2016	03/23/2016	Financial / Operational
FOCUS - Part II Monthly	Part II Monthly FOCUS Filing for ...	12/31/2015	04/25/2016	Financial / Operational
FOCUS - Custody Quarterly	Custody Quarterly FOCUS Filing f...	12/31/2015	04/25/2016	Financial / Operational
FOCUS - SIS Monthly	SIS Monthly FOCUS Filing for Mar...	03/31/2016	04/28/2016	Financial / Operational

The screenshot shows the 'Quick Links' section. At the top, there are two buttons: 'FIRM GATEWAY' and 'CLASSIC CRD'. The 'CLASSIC CRD' button is highlighted with a red box, and a red arrow points to it. Below these buttons is a list of links organized in two columns.

Quick Links	
FIRM GATEWAY	CLASSIC CRD
Advertising- Ad Reg	BD Form
E-bill	Exam Waiver Form
eFocus	IA Amend form (ADV Amend)
RegT Extension	NewCRD
Report Center	Pre-Registration Search
Shorts	NRF Form
See More Forms...	SIE

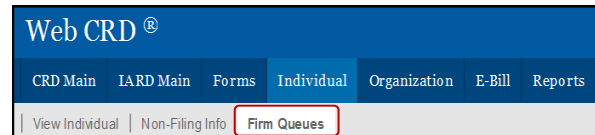
Accessing Individual Queues

1. From the **Individual** column on the CRD Site Map, click the link for the specified queue.

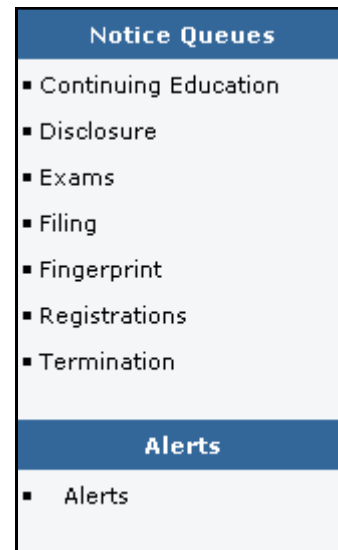


OR

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



2. Click **Firm Queues** from the sub-menu. The main notice queue categories will then display on the left navigation panel.



Queue Management Tips

- For queues that contain the sub-queue **Queue Totals**, check Queue Totals first to see if there are any notices in that queue that need reviewing.
- Check queues regularly, depending on the size of your firm, as information in Web CRD is constantly updated.
- Each queue has a sort and filter search screen to customize the information that is displayed in the queue. Use sort and filter parameters that best meet the needs of the firm.
- The **Alerts** page consolidates 8 of the most critical registration-related sub-queues:
 - CE Inactive, CE 2-Year Termed, Denied Individual Registrations, Inactive Registrations Due to Missing Fingerprint Cards, Manual Termination, Temporary Registration Cancellation, Termination, and U5 Required.

Continuing Education (CE) Queues (Not applicable to RAs)

Continuing Education
<ul style="list-style-type: none"> ▪ Back to Previous Menu ▪ Approaching CE Requirement ▪ CE 2-Year Termed ▪ CE Inactive ▪ CE Satisfied ▪ Currently CE Required

Approaching CE Requirement: Lists individuals who will enter their CE requirement window within 28 days. Individuals remain in this queue for 28 days prior to their CE session.

CE 2-Year Termed: Lists individuals who have been terminated due to being CE Inactive for 2 years. Notices enter this queue when the SRO registration status for an individual becomes CE 2-Year Termed. Individuals remain in this queue indefinitely.

CE Inactive: Lists individuals who are inactive due to failure to satisfy their continuing education requirements. Individuals remain in this queue until either their CE is completed, the firm terminates the individual, or automatic termination occurs.

CE Satisfied: Lists individuals who have satisfied their CE requirements. Individuals remain in this queue indefinitely.

Currently CE Required: Lists individuals that are required to take the CE session. Individuals remain in this queue as long as they are within their 120-day requirement window and the requirement is incomplete.

Disclosure Queues

Disclosure Review: Lists individuals that have had recent (within the last 30 days) disclosures submitted to CRD through a U4, U5 or U6 filing. Individuals remain in this queue indefinitely.

Outstanding Disclosure Letters: Lists individuals that have disclosure deficiency letters or inquiry letters that are unresolved. Individuals remain in this queue until the outstanding letter is resolved. An export feature is available that allows users to obtain a CSV download of outstanding letters and details.

Disclosure Queue Totals: Lists all of the disclosure queues with the number of items in each queue.

Disclosure
<ul style="list-style-type: none"> ▪ Back to Previous Menu ▪ Disclosure Review ▪ Outstanding Disclosure Letters ▪ Disclosure Queue Totals

Exam Queues

Completed Exams: Lists individuals that have completed exams, with the exam results. Individuals remain in this queue indefinitely.

Scheduled Exams: Lists individuals that have open exam windows. Individuals remain in this queue as long as the exam is scheduled.

Exams
<ul style="list-style-type: none"> ▪ Back to Previous Menu ▪ Completed Exams ▪ Scheduled Exams

Filing Queues

Filing
▪ Back to Previous Menu
▪ Other Firm U4 Filing
▪ Filing Queue Totals

Other Firm U4 Filing: Lists dually registered individuals that have had a U4 filing submitted by another firm that employs them. The queue notifies the non-filing firm and allows the firm to review the information submitted. Individuals remain in this queue indefinitely.

Filing Queue Totals: Lists all of the filing queues with the number of items in each.

Fingerprint Queues (Not applicable to RAs)

Fingerprint
▪ Back to Previous Menu
▪ Fingerprint Status Received from FBI
▪ Inactive Registrations Due to Missing Fingerprint Cards
▪ Notices of Undelivered Fingerprint Cards
▪ Fingerprint Queue Totals

Fingerprint Status Received from FBI: Lists notices received from the FBI regarding an individual's fingerprint card status. Individuals remain in this queue indefinitely. (Note: Users must have CHRI entitlement in order to access this queue, as well as additional entitlement to view the actual fingerprint card statuses.)

Inactive Registration Due to Missing Fingerprint Cards: Lists Individual's whose registration status has been changed from Approved Pending Prints to Inactive Prints, because a fingerprint card was not received by CRD within 30 days from the initial application. Individuals remain in this queue as long as they have a registration status of Inactive Prints.

Notices of Undelivered Fingerprint Cards: Lists notices for individuals who have an outstanding fingerprint card. These notices are generated if no fingerprint card is submitted to Web CRD within the 30 day time period. Individuals remain in this queue until a final FBI response fingerprint status is received.

Fingerprint Queue Totals: Lists all of the fingerprint queues with the number of items in each.

Registration Queues

Approved Individual Registrations: Lists all approved individual registrations with a status of: Approved, Approved Pending Prints, Approved Pending Results, Restricted Approval, and Temporary Registration. Individuals remain in this queue indefinitely.

Current Individual Deficiencies: Lists individuals whose registration is deficient due to one or more of the following: CE Inactive, Disclosure Review, Dual; Exam, Fingerprint, Firm Suspended, Foreign, Funds Deficient, FINRA, FINRA-AR, FINRA-FA, Pending Firm Approval, Position, Pre-Training Period, Training Period. Individuals remain in this queue indefinitely for historical purposes.

Registrations
▪ Back to Previous Menu
▪ Approved Individual Registrations
▪ Current Individual Deficiencies
▪ Denied Individual Registrations
▪ Pending Individual Registrations
▪ Purged Individual Registrations
▪ Registration Queue Totals

Registration Queues (continued)

Denied Individual Registrations: Lists individual registrations that have been assigned a status of Denied or Rejected by a regulator. Individuals remain in this queue for 30 days.

Pending Individual Registrations: Lists non-deficient individual registrations that are waiting for an SRO or Jurisdiction approval. Individuals with a status of Pending remain in this queue as long as the registration status is Pending.

Purged Individual Registrations: Lists individual registrations that CRD has changed from Deficient to Purged because the time period to correct the deficiency has been exceeded. Individuals remain in this queue for 30 days.

Registration Queue Totals: Lists all of the registration queues with the number of items in each queue.

Registrations
▪ Back to Previous Menu
▪ Approved Individual Registrations
▪ Current Individual Deficiencies
▪ Denied Individual Registrations
▪ Pending Individual Registrations
▪ Purged Individual Registrations
▪ Registration Queue Totals

Termination Queues

Termination
▪ Back to Previous Menu
▪ Manual Termination
▪ Temporary Registration Cancellation
▪ Termination
▪ U5
▪ U5 Late Fees
▪ U5 Required
▪ Other Firm U5 Filing
▪ Termination Queue Totals

Manual Termination: Lists individuals for whom a U5 has been filed but has been blocked by a regulator. The registration status is Termination Requested. Individuals remain in this queue as long as their status is Termination Requested.

Temporary Registration Cancellation: Lists individuals who have had temporary registrations revoked. Individuals remain in queue for 30 days.

Termination: Lists individuals whose registration(s) have been terminated without a U5 filing. Individuals remain in this queue for 30 days.

U5: Lists all Full or Partial Form U5 filings submitted by your firm. The individuals in this queue have a registration status of Termed or Termination Requested. Individuals remain in this queue indefinitely.

U5 Late Fees: Lists individuals who have been assessed a fee for a late Form U5 filing and had a FINRA approved-equivalent status. A Form U5 filing is considered late if it is filed more than 30 days from the actual date of termination. Individuals remain in this queue indefinitely. This queue is not applicable to RAs.

U5 Required: Lists individuals for whom your firm is required to submit a Form U5 filing to terminate their association with your firm. A Form U5 filing is required when a Relicense Form U4 has been filed. Individuals remain in this queue until the Form U5 filing is submitted.

Other Firm U5 Filing: Lists individuals for whom a U5 filing was submitted by another firm.

Termination Queue Totals: Lists all of the termination queues with the number of items in each.