



### About Form BR

The Form BR is the Uniform Branch Office Registration Form used for branch office registration, notice filing, closing and/or withdrawal. Broker-dealers and State-registered Investment Advisers can use this form to register or notice file their branch offices in the appropriate jurisdictions and/or with SROs. Refer to [www.finra.org/crd/branchoffice](http://www.finra.org/crd/branchoffice) for additional information about branch registration.

(Firms that are required to register and/or notice file with regulators that are not utilizing the electronic filing process should contact the appropriate regulator for specific filing instructions or requirements.)

(SEC-registered Investment Advisers will not use Form BR and should continue to adhere to Form ADV instructions regarding reporting branches to SEC.)

#### 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.

If you have any questions or feedback regarding the transition to FINRA Gateway, please contact [FeedbackFINRAGateway@finra.org](mailto:FeedbackFINRAGateway@finra.org).

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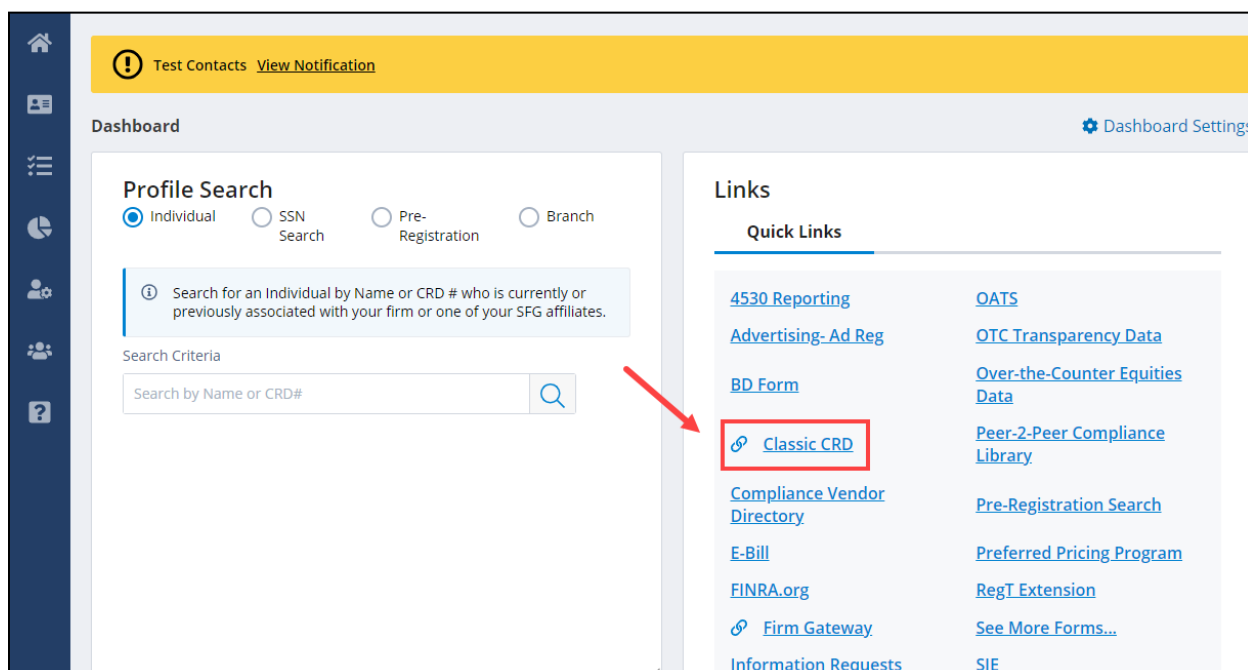
**Need help with CRD? Call the FINRA Gateway Call Center at 301-869-6699**  
8 A.M. - 8 P.M., ET, Monday-Friday.

## Logging in Through FINRA Gateway

As of August 21, 2021, the previously used Firm Gateway homepage has been retired and users should access all registration applications via the new [FINRA Gateway](#). 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** widget on the dashboard. Select **Classic CRD** from the list of links and then follow along with the rest of this guide.



The screenshot displays the FINRA Gateway dashboard. At the top, there is a yellow notification bar with a warning icon and the text "Test Contacts View Notification". Below this is a "Dashboard" header with "Dashboard Settings" on the right. The main content area is divided into two sections. On the left is the "Profile Search" section, which includes radio buttons for "Individual" (selected), "SSN Search", "Pre-Registration", and "Branch". Below these is a search criteria input field with the placeholder text "Search by Name or CRD#" and a search icon. On the right is the "Links" section, titled "Quick Links", which contains a grid of blue hyperlinks. The link "Classic CRD" is highlighted with a red box and a red arrow pointing to it from the search criteria field. Other links in the grid include "4530 Reporting", "Advertising- Ad Reg", "BD Form", "Compliance Vendor Directory", "E-Bill", "FINRA.org", "Firm Gateway", "Information Requests", "OATS", "OTC Transparency Data", "Over-the-Counter Equities Data", "Peer-2-Peer Compliance Library", "Pre-Registration Search", "Preferred Pricing Program", "RegT Extension", "See More Forms...", and "SIE".

## Accessing Form BR

Form BR filings can be accessed by scrolling down the Forms column on the CRD sitemap. Applicable form filing entitlement privileges are required. For questions regarding your entitlement privileges, please contact your firm's Super Account Administrator or Account Administrator.

**Form BR**

- Create New BR Filing
- Initial
- Amendment
- Closing/Withdrawal
- Pending BR Filings
- Historical BR Filings

## Form BR Filing Types

**Filing Types**  
BR

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[Initial](#)

[Amendment](#) ←

[Closing/Withdrawal](#)

Form Type	Purpose
<b>Initial</b>	To register or notice file a new branch office with SROs and jurisdictions, as appropriate
<b>Amendment</b>	To add or change information for an existing branch.
<b>Closing/Withdrawal</b>	To terminate a branch office registration or notice filing and/or to withdraw an initial filing prior to approval by an SRO or jurisdiction.

**Tip:** You will only see sections that are relevant to the type of filing you are completing (e.g., if you are completing an Initial Form BR filing, you will not see sections for Closing/Withdrawal on the Initial filing).

## Section 1. General Information

This section is available for the following Form BR filing types: Initial, Amendment, and Closing/Withdrawal (Read-Only)

- The filing firm's CRD number and main office address will be pre-populated.
- On an Initial filing, a new CRD branch number will be automatically generated for the location.
- The branch address and telephone number are required. Firms may also provide an internal branch code and/or billing code.
- A PO Box number is not permitted in the section titled Branch Address Street 1. When providing a PO Box, enter the address in Branch Address Street 1 and the PO Box in Branch Address Street 2. This address is intended to capture an actual location, not a mailing address.
- The system will verify that the postal code provided is valid for the state where the branch is located.

1. General Information		
<b>WARNING:</b> Failure to keep this form current and to file accurate supplementary information on a timely basis, or the failure to keep accurate books and records or otherwise to comply with the provisions of law applying to the conduct of business as a Broker-Dealer or Investment Adviser would violate the federal securities laws, self-regulatory organization rules, and the laws of the jurisdictions, and may result in disciplinary, administrative, injunctive, or criminal action.		
<b>A. Applicant CRD Number:</b> 00000000		
<b>B. Name and principal place of business of firm filing this form</b>		
<b>Applicant Name:</b> SECURITIES FIRM		
<b>Address:</b> 123 SECURITIES LANE SUITE 100 ROCKVILLE, MD 20850 USA		
<b>C. Firm Billing Code:</b> <input type="text"/>		
<b>D. Branch Code Number:</b> <input type="text"/>		
<b>E. CRD Branch Number:</b> 550718		
<b>F. Branch Office Location</b>		
<b>Branch Address Street 1:</b> <input type="text" value="One Main Street"/>		
<b>Branch Address Street 2:</b> <input type="text"/>		
<b>City:</b> <input type="text" value="Austin"/>	<b>State:</b> <input type="text" value="Texas"/>	<b>Postal Code:</b> <input type="text" value="73301"/>
<b>Country:</b> <input type="text" value="UNITED STATES"/>		
<b>G. Private Residence Check Box:</b> If this address is a private residence, check this box. <input type="checkbox"/>		
<b>H. Branch Telephone Number:</b> <input type="text" value="555-555-5555"/>		
<b>I. Branch Facsimile Number:</b> <input type="text"/>		
<input type="button" value="Previous"/>	<input type="button" value="Save"/>	<input type="button" value="Next"/>

## Section 2. Registration/Notice Filing/Type of Office/Activities

This section is available for the following Form BR filing types: Initial and Amendment.

- The CRD system will pre-populate the applicable checkboxes for SRO(s) and/or jurisdiction(s) that the applicant may be required to register or notice file the branch with, based on the office location.
- If the form does not allow the user to select jurisdiction where the branch is located, this means that the jurisdiction does not participate in online Form BR submissions. Please refer to the Jurisdiction Fee/Setting Schedule for a list of state branch settings, now available on the CRD and IARD sitemaps.
- The applicant must indicate whether the office is registering as a broker-dealer and/or investment adviser branch location.

2. Registration/Notice Filing/Type of Office/Activities	
<b>A. Register/Notice File Branch Office with SRO/ Jurisdiction:</b>	
<input checked="" type="checkbox"/>	FINRA
<input checked="" type="checkbox"/>	NYSE
<input checked="" type="checkbox"/>	Jurisdiction: TX
<b>C. Type of Branch Office Registration/Notice Filing:</b>	
<input checked="" type="checkbox"/>	Broker-Dealer
<input type="checkbox"/>	Investment Adviser

## Financial Industry Activities

Applicants are required to select the type of financial industry activities conducted at each branch.

- If the "Other:" option is selected, a description is required.

<b>D. Check all applicable types of financial industry activities conducted by the <i>applicant</i> at this branch office:</b>	
<input checked="" type="checkbox"/>	Sales
<input checked="" type="checkbox"/>	Retail
<input type="checkbox"/>	Institutional
<input type="checkbox"/>	Investment Advisory Services
<input type="checkbox"/>	Investment Banking/Underwriting
<input type="checkbox"/>	Research
<input type="checkbox"/>	Market Making/Trading
<input type="checkbox"/>	Back Office Operations
<input type="checkbox"/>	Public Finance
<input checked="" type="checkbox"/>	Other:
	Other activity

## FINRA Office of Supervisory Jurisdiction (OSJ) and Non-OSJ Branches

In Section 2 of Form BR, the applicant must indicate whether the office is a FINRA OSJ or non-OSJ branch.

- If the branch is an OSJ, the applicant must provide the on-site supervisor(s) at the location. Individuals listed as supervisors must hold a current principal registration with the filing firm.
- If the branch is not an OSJ, the applicant must provide the off-site OSJ branch(es) and qualified individual supervisor(s) that are responsible supervising this location.
- Non-OSJ branches must also list an on-site Person-in-Charge (PIC) that serves as a contact for that location. Individuals listed as a PIC must hold an active registration with the filing firm.

**E. Is this branch office an Office of Supervisory Jurisdiction (OSJ) ?**  
 Yes  No

**If yes:**

**(1) Provide the following information for the Supervisor(s) physically located at this OSJ that is responsible for supervising this branch office.**  
**Supervisor Detail:**

No Information Filed.

[Add](#)

**If no:**

**(2) Provide the following information for the OSJ branch office(s) and OSJ Supervisor(s) that have supervisory responsibility for this branch office:**  
**Supervisory OSJ Branch Detail:**

No Information Filed.

[Add](#)

**(3) Provide the Person(s)-In-Charge physically located at this branch office:**  
**Person-In-Charge Detail:**

No Information Filed.

[Add](#)

Click the "Add" buttons to list the appropriate Supervisor/PIC and OSJ branch, if applicable.

FINRA Supervisor/Person in Charge (PIC) Requirements		
<b>FINRA OSJ Branch</b>	On-site Supervisor is required.	PIC is not allowed.
<b>FINRA Non-OSJ Branch</b>	Off-site OSJ branch(es) and individual Supervisor(s) are required.	On-site PIC is required.

## Adding an On-site Supervisor/PIC

When clicking the “Add” button to list the appropriate on-site supervisor and/or PIC, a pop-up will display allowing the user to search for the desired individual(s).

- Search by name, CRD number or SSN.
- The default search mode is Simple Search. Users can switch to Advanced Search if needed.

**Supervisor/Person-In-Charge Individual Search**

Simple Search **Advanced Search**

Search For:  [Switch to Advanced Search](#)

Search

Tip: You can enter name, CRD number or SSN in the box above.

Once the desired individual is located, click the “Add” button next to the individual’s name to add them to your filing. When all individuals have been added, use the “X” icon in the top-right to close the pop-up and return to the form.

**Supervisor/Person-In-Charge Individual Search**

Simple Search **Advanced Search**

Search For:  [Switch to Advanced Search](#)

Search

Tip: You can enter name, CRD number or SSN in the box above.

Identify the individual for this branch and add them by clicking the corresponding “Add” button located next to the name.

Records per Page: 15 Total Records: 1

Add	Name	Type Of Activity (Optional)	SSN
<a href="#">Add</a>	REPRESENTATIVE SR, REGGIE CRD# [REDACTED]		XXXX-XX-XXXX <a href="#">View SSN</a>

Records per Page: 15 Total Records: 1

## Adding an Off-site OSJ Branch and Supervisor

When clicking the “Add” button to list the appropriate off-site OSJ branch and Supervisor, a pop-up will display allowing the user to search for the desired supervising branch and individual.

- Search by branch or supervisor identifying information.

**OSJ branch office and OSJ Supervisor Search** ✕

Hide Search Criteria

**Search by CRD Branch Number**

CRD Branch Number:

**Search by Firm Billing Code**

Firm Billing Code:

**Search by Branch Code Number**

Branch Code Number:

**Search by Branch Supervisor/Person-In-Charge**

Supervisor/Person-In-Charge CRD#:

**Search by Branch Location**

City:  State:

Postal Code:  Country:

Once the desired OSJ and supervisor have been located, click the “Add” button next to the individual’s name to add them to your filing. When all OSJs and supervisors have been added, use the “X” icon in the top-right to close the pop-up and return to the form.

**OSJ branch office and OSJ Supervisor Search Results** → ✕

Identify the OSJ Branch Office and OSJ Supervisor that have supervisory responsibility over this branch and add them by clicking the corresponding “Add” button located next to the Supervisor.

Records per Page: 15 Total Records: 1

CRD Branch Number	Firm Billing Code	Branch Code Number	Branch Address	Supervisors	Type Of Activity (Optional)
<a href="#">View Branch</a>	8484	878296	Dallas, TX 75001 UNITED STATES	<div style="display: flex; align-items: center;"> <div style="border: 2px solid red; padding: 2px; margin-right: 5px;">Add</div> <div> <p>REPRESENTATIVE</p> <p>SR. REGGIE</p> <p>CRD# <span style="background-color: #cccccc; color: #999;">XXXXXXXXXX</span></p> </div> </div>	Sales

Records per Page: 15 Total Records: 1



### **Section 3. Other Business Activities/Names/Websites**

This section is available for the following Form BR filing types: Initial and Amendment.

- Firms must enter any other financial industry activities conducted at the branch office and any other names under which the branch office is conducting business.
- Firms must also provide Website addresses used by the branch office, other than the applicant's primary Website address.

### **Section 4. Branch Office Arrangements**

This section is available for the following Form BR filing types: Initial and Amendment.

- Firms must provide information relating to office sharing arrangements of the branch office.

### **Section 5. Associated Individuals**

This section is only available on the Initial Form BR filing type.

- Firms are able to associate registered individuals with a new branch office.
- Individuals provided on a branch's Associated Individuals list may not be listed on the branch's Supervisor/PIC list in **Section 2. Registration/Notice Filing/Type of Office**.
- Once the Initial Form BR has been submitted, subsequent updates to an individual's association with the branch office must be made on Form U4.

(Continues on the next page...)

## Adding Associated Individuals on an Initial Form BR


To associate individuals in Section 5 with a new branch office, click the “Add” button.

**5. Associated Individuals**

Complete this section for initial filings only.

List all registered individuals other than the *Supervisor(s)/Person(s)-in-Charge* that will be associated with this branch office:

No Information Filed.


Add

« Previous
Next »

Next, a pop-up will display allowing the user to search for the desired individual(s).

- Search by name, CRD number or SSN.
- The default search mode is Simple Search. Users can switch to Advanced Search if needed.

**Associated Individual Search** ✕

Simple Search **Advanced Search**

Search For:  Switch to Advanced Search

**Tip:** You can enter name, CRD number or SSN in the box above.

Once the desired individual is located, click the “Add” button next to the individual’s name to add them to your filing. When all individuals have been added, use the “X” icon in the top-right to close the pop-up and return to the form.

**Associated Individual Search** → ✕

Simple Search **Advanced Search**

Search For:  Switch to Advanced Search

**Tip:** You can enter name, CRD number or SSN in the box above.

Identify the individual for this branch and add them by clicking the corresponding “Add” button located next to the name.

Add	Name	SSN
Add	REPRESENTATIVE SR, REGGIE CRD# <span style="font-size: small;">[REDACTED]</span>	XXXX-XX-XXXX <span style="float: right;"><input type="button" value="View SSN"/></span>

Records per Page: 15 Total Records: 1

## Section 6. Branch Closing / Section 7. Branch Withdrawal

This section is available for the following Form BR filing type: Closing/Withdrawal.

- The **Branch Closing** section appears when the branch has an Approved registration or Open notice filing status.
- The **Branch Withdrawal** section appears when a branch has a Pending or Deficient registration request, or a Deficient Notice Filing request.
- Both sections will appear on the filing if the applicant has both a pending/deficient and an approved/open status with different regulators.
- A future date cannot be entered as the closing or withdrawal date (except during the Renewal period).
- The address provided for the Location of Books and Records cannot be the same as the address of the branch that is closing.

## Section 8. Signature

This section is required for all Form BR filing types.

- It is up to the firm to determine the Appropriate Signatory based on the defined term and form instructions.

## Pending BR Filings

Filings that have been started but not submitted are considered pending filings. Once a filing is created, it remains in a pending or draft state for 60 days from the creation date. Firms can access their pending BR filings through the Site Map or the Forms tab.

Enter the appropriate search criteria, such as **CRD Branch Number**, and click **Search**.

**NOTE:** To view filings that were created by you, select **Filings initiated by current user only**.

### Pending Filing Search BR

**Hide Search Criteria**

**Search by CRD Branch Number**

CRD Branch Number:

**Search by Firm Billing Code**

Firm Billing Code:

**Search by Branch Code Number**

Branch Code Number:

**Filter by current user**

Filings initiated by current user only:

**Select Sort Criteria**


Creation Date:  Ascending  Descending

## Pending BR Filings (Continued)

Click the **Filing ID** hyperlink to continue working on the filing. If you no longer wish to submit this filing, you have the option to **Delete** the filing.

**NOTE:** The table can be sorted by column headers that have hyperlinks.

The **Expected Purge Date** indicates the day the filing will be deleted from the Pending Filing queue.


Pending Filing Search BR									
Show Search Criteria 									
Records per Page: <input type="text" value="25"/> Total Records: 1									
<a href="#">Filing ID</a>	<a href="#">Submission Status</a>	<a href="#">Filing Type</a>	<a href="#">CRD Branch Number</a>	<a href="#">CC Status</a>	<a href="#">Creation Date</a>	<a href="#">User ID</a>	<a href="#">Submission Type</a>	<a href="#">Expected Purge Date</a>	<a href="#">Delete</a>
<a href="#">42193374</a>	Pending Submission	Initial	623678	Fail	12/04/2015	USERID1	WEB	02/05/2016	<a href="#">Delete</a>
Records per Page: <input type="text" value="25"/> Total Records: 1									

## Historical BR Filings

The Historical Filings feature allows users to view and/or print Form BR filings submitted by your firm. Firms can access historical BR filings from the Site map or the Forms tab.

Enter the appropriate search criteria, such as **CRD Branch Number**, and click **Search**.

### Form BR Historical Filings Search

**Hide Search Criteria** 

**Search by CRD Branch Number**

CRD Branch Number:

**Search by Firm Billing Code**

Firm Billing Code:

**Search by Branch Code Number**

Branch Code Number:

**Search by Branch Supervisor/Person-In-Charge**

Supervisor/Person-In-Charge CRD#:

**Search by Branch Location**

City:  State:

Postal Code:  Country:

**Filter by Branch Office Type**

OSJ  Non-OSJ  All


**Filter by Branch Operational Status**

Active  Inactive  All

## Historical BR Filings (Continued)

Select the **Filing ID** to view the filing.

**NOTE:** The **User ID** of the user that submitted the filing will display. Non-FINRA users will only see the ID of users from their own organization.

Form BR Historical Filings Search					
Show Search Criteria 					
Records per Page: <input type="text" value="25"/> Total Records: 3					
Filing Date	Filing ID	Filing Type	Source	User ID	Submission Type
<a href="#">03/20/2015</a>	38708092	Closure	FIRMA ( <a href="#">1111</a> )	USERID1	WEB
<a href="#">01/12/2015</a>	38210016	Amendment	FIRMA ( <a href="#">1111</a> )	USERID1	WEB
<a href="#">09/24/2013</a>	35296209	Initial	FIRMA ( <a href="#">1111</a> )	USERID1	WEB
Records per Page: <input type="text" value="25"/> Total Records: 3					

Users have the option to view and/or print each section individual or to view/print all sections of the form.

**Reminder:** Only the sections relevant to that specific filing type will display.

**View Form Section**

- **1. General Information**
- 6. Branch Office Closing
- 8. Signature
- All Sections

## Branch Registration Statuses

Status	Status Code	Description
<b>Abandoned</b>	ABANDONED	This status is manually set for a branch that has not submitted required information to a regulator within the time period specified by the regulator.
<b>Approved</b>	APRVD	This status is set when the branch is approved.
<b>Restricted Approval</b>	APRVDRSTRD	This status is set when the branch is restricted in some manner to the kinds of business that is being transacted.
<b>Closed/Termed</b>	CLSDTRMD	This status is set when a Form BR is filed to close the branch.
<b>Closed/Termed - No Form BR</b>	CLSDTRMDNOBR	This status is set when the branch has been closed without a Form BR filing.
<b>Closed/ Termed - Mass Transfer</b>	TRMDMT	This status is set when a branch with an approved-equivalent registration is closed due to a Mass Transfer.
<b>Closed/ Termed - Mass Transfer - No Registration</b>	CLSDTRMDMTNOREG	This status is set when a branch with a non approved registration is closed due to a Mass Transfer.
<b>Closed/ Termed-Failure to Renew</b>	FAILDTORNW	This status is set when a firm fails to renew with a jurisdiction, and the branch had an approved-equivalent status.
<b>Closed/ Termed- Failure to Renew – No Registration</b>	CLSDTRMDFTR-NOREG	This status is set when a firm fails to renew with a jurisdiction, and the branch did not have an approved status.
<b>Deficient</b>	DFCNT	This status is set when the branch is deficient and further action needs to occur.
<b>Pending</b>	PNDNG	This status is set when the branch requires manual approval from a regulator.
<b>Rejected</b>	RJCTD	This status is set when the branch registration is set to rejected.
<b>Revoked</b>	RVKD	This status is set when a regulator revokes the branch's registration.



**Branch Registration Statuses (Continued)**

Status	Status Code	Description
<b>Suspended</b>	SPNDD	This status is set when the branch registration has been suspended.
<b>Term Requested</b>	TERMREQ	This status is set when a Form BR is filed to close a branch and the branch termination review method is "manual".
<b>Term Requested- No Registration</b>	TERMREQ-NOREG	This status is set when a Form BR is filed to close a branch with a non approved registration and the branch termination review method is "manual".
<b>Withdrawn</b>	WTHDN	This status is set when the branch is closed because of a Form BR filing and the previous status was Deficient or Pending.
<b>Withdrawn-No Form BR Filed</b>	WTHDNNOBR	This status is set when the branch is closed without a Form BR filing and the previous status was Deficient or Pending.

**Branch Notice Filing Statuses**

Status	Status Code	Description
<b>Closed</b>	CLSD	This status is set when the branch is closed via a Form BR filing.
<b>Closed No Form BR Filed</b>	CLSDNOBR	A status indicating the branch is closed without a Form BR filing.
<b>Closed- Failure to Renew</b>	FAILDTORNW	This status is set when a firm fails to renew with a jurisdiction, and the branch had an approved-equivalent status.
<b>Closed - Mass Transfer</b>	CLSDMT	This status is set when a branch with an approved-equivalent registration is closed due to a Mass Transfer.
<b>Deficient</b>	DFCNT	This status is set when the branch is deficient and further action needs to occur.
<b>Open</b>	OPEN	This status is set when the branch is Opened via a Form BR filing.

## Branch Deficiencies

Status Code	Description
<b>FUNDS</b>	Branch Registration/Notice Filing requests have not been processed due to insufficient funds in the Flex-Funding Account.
<b>FINRAOSJSPRVQUALS</b>	FINRA OSJ Supervisor is no longer qualified.
<b>FINRAPRNCPLOSJSPRVQL</b>	FINRA OSJ Supervisor no longer holds current FINRA principal position.
<b>FINRAPRNCPLSPRVQUALS</b>	FINRA Branch Supervisor no longer holds FINRA principal position.
<b>FINRASPRVPICQUALS</b>	A listed Supervisor or Person-in-Charge for FINRA Branch is no longer qualified.
<b>NOSPRVPIC</b>	The only listed Supervisor or Person-in-Charge is no longer with Branch.
<b>NYSEOSJSPRVQUALS</b>	NYSE OSJ Supervisor is no longer qualified.
<b>NYSEPRNCPLOSJSPRVQL</b>	NYSE OSJ Supervisor no longer holds principal position.
<b>NYSEPRNCPLSPRVQUALS</b>	NYSE Branch Supervisor no longer holds principal position.
<b>NYSESPRVVICQUALS</b>	A listed Supervisor or Person-in-Charge for NYSE Branch is no longer qualified.
<b>OSJNACTV</b>	A listed OSJ Branch is inactive.
<b>OSJNOSPRV</b>	A listed OSJ Branch has no valid OSJ Supervisor.
<b>OSJNOSPRVEMPLT</b>	A listed OSJ Supervisor is no longer associated with that OSJ Branch.
<b>PNDNGFIRM</b>	The filing firm does not have an Approved/Open status with the requested regulator.