Fingerprint cards are maintained by the CRD system for non-registered individuals through Non-Registered Fingerprint (NRF) filings. Firms can terminate a relationship with an NRF at any time through CRD.

For guidance on whether to associate an individual as a non-registered fingerprint person or as a registered representative with the Operations Professional (OS) registration, please refer to FINRA Notice to Members 11-33.

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.

Contents:

- Logging in Through FINRA Gateway (pg. 2)
- Access NRF Filing (pg. 3)
- NRF Filing Types (pg. 3)
- Create and Submit a New NRF Filing (pg. 4)
- Accessing Pending NRF Filings (pg. 8)
- Accessing Historical NRF Filings (pg. 9)
- Re-Associate Fingerprints for a Recently Terminated Individual (pg. 10)
- Bulk Termination for NRF Individuals (pg. 11)
- Amend NRF Termination Dates (pg. 13)
Logging in Through FINRA Gateway

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 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.
Access NRF Filing

There are two ways to access NRF filings in CRD:

From the Forms column on the CRD Site Map.
Click on the desired NRF Filing Type.

OR

Select the Forms tab from the toolbar.
Select Form NRF from the sub-menu.
Click on the desired NRF Filing Type.

NRF Filing Types

<table>
<thead>
<tr>
<th>NRF Filing Type</th>
<th>When to use</th>
</tr>
</thead>
</table>
| Initial              | An Initial NRF filing is used to associate a non-registered individual with your firm. The Initial NRF filing consists of the following sections: General Information, Personal Information, and Other Names.
This filing type is also used when re-associating the fingerprints of a representative that was recently terminated but has been continuously employed by the filing firm. |
| Amendment            | A NRF Amendment filing is used to update the individual’s information or to terminate an NRF association. The NRF Amendment filing includes a Termination section. |
| Bulk termination     | A NRF Bulk Termination filing is used to terminate an NRF association for more than (1) individual. The Bulk Termination filing is used to terminate up to 100 NRF individuals at one time. |
Create and Submit a New NRF Filing

Prior to creating any individual filing, the system will require you to search for the individual. Enter the individual’s CRD Number or type a combination or one of the following: individual’s Last Name and at least two (2) characters of the First Name, CRD Number, and/or Social Security Number.

For a more specific search, type a Middle Name and Birth Date to locate the individual or verify that the individual does not exist in CRD.

If the individual does not exist in CRD, enter the individual’s SSN, Last Name, First Name, and Birth Date. Clicking the Create New ID button will automatically assign them a CRD number and open the NRF filing for this individual.
Create and Submit a New NRF Filing (Continued)

Additional Verification for Initial NRF Filings

When creating an Initial NRF filing for individuals already in the CRD, the system will require additional verification of the individual’s social security number (SSN) and month/day of birth before opening the filing. The verification screen will display after clicking the person’s name in the search results.
Create and Submit a New NRF Filing (Continued)

For an Initial filing, complete the General Information, Personal Information, and Other Names sections as needed.

Tips:
- To View/Edit the SSN, requires entitlement.
- The Employment Address can be entered by selecting the “Search Address By Billing Code” bar.
- A Fingerprint barcode # must be entered.

The NRF Amendment includes a Termination section which will terminate the individual’s association with the firm. In this section, select the Terminate checkbox and enter the Date of Termination.
Create and submit a New NRF Filing (Continued)

To print the filing prior to submitting, select **Print Preview** from the Submissions menu.

Users will have the option to view specific pages of the filing or to view all sections of the filing from the View Form Pages menu.
Accessing Pending NRF 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 NRF filings through the Site Map or on the Forms tab.

Enter the individual’s CRD Number or SSN and click Search.

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

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.

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

Tip: The table can be sorted by column headers that have hyperlinks.
Accessing Historical NRF Filings

The Historical NRF Filings feature allows users to view and/or print NRF filings submitted by your firm for a specific individual. Access Historical NRF Filings via the Site map or the Forms tab.

Enter the individual’s CRD Number or SSN and click Search.

Select the filing ID to view the filing.

Users will have the option to view specific pages of the filing or to view all sections of the filing from the View Form Pages menu.
Re-Associate Fingerprints for a Recently Terminated Individual

In the General Information section of an NRF filing, firms are able to re-associate a fingerprint barcode for a previously registered representative (RR) that has been continuously employed with the filing firm.

To re-associate a fingerprint card you must select the Re-Associate Fingerprints checkbox at the bottom of the screen. This will pre-populate the most recent Fingerprint Barcode and the original Employment Date in a read-only format.

Tip: In the scenario where an individual is terminated with a Full U5 in error, firms can expedite the correction process by using the NRF re-association feature above prior to resubmitting the U4.
Bulk Termination for NRF Individuals

This feature can be used to terminate multiple NRF associations with the firm (up to 100 at a time).

1. Select Bulk Termination on the NRF Filing Types screen

2. Enter the Individual CRD Number, Last Name, Billing Code or SSN and click Search.

NOTE: To view the list of all NRF Individuals with your firm, leave all fields blank and click the Search Button.

3. Click the Select All checkbox then click the Add to List button and when list is finished, click Continue.
4. Enter the **End Date** for each individual on the list.

**Or**

4a. To enter the same **End Date** for multiple individuals, use the calendar at the top of the screen. Select the desired date of termination and click the **Terminate** button next to all individuals that the date applies. Click the **Populate** button.

5. When all individuals have been added and an **End Date** entered, click the **Submit** button.

**Tips:**

- Future dates will not be accepted.
- Click Add More Individuals button if needed. Follow steps to add an individual.
- If you need listing of all of your active NRF individuals, click the Roster - Individual Firm Report hyperlink. You need entitlement for Reports to use this feature. Select Non-Registered from the drop-down menu located in the Include Individuals Section. Enter your User Initials and proceed to request and view the report. If you need additional guidance on requesting and viewing reports, please review the Reports Quick Reference Guide.
**Amend NRF Termination Dates**

Firms are able to correct the Termination date for previously submitted NRF Amendment filings using the Individual Non-Filing Information (NFI) page in classic CRD.

1. Navigate to Individual NFI using the link on the sitemap or on the sub-menu of the Individual tab.

![screenshot](image1.png)

**OR**

2. Search for the individual and select the NRF Term Date Amendment link on the left navigation panel.

3. Enter the corrected date and click Save.

![screenshot](image2.png)

4. The updated date will be visible in the Office of Employment Address History section of the Employment History page in View Individual. There will also be a non-clickable entry in Filing History.