



Classic CRD

Individual Form Filing: NRF

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.

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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

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.

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 content area has a search bar at the top, followed by a 'Requests' section with a table of requests. A red box highlights the 'Quick Links' icon in the sidebar, and a red arrow points from it to the 'CLASSIC CRD' button in the 'Quick Links' menu shown in the next image.

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 'Quick Links' menu is displayed, showing various options. The 'CLASSIC CRD' button is highlighted with a red box and a red arrow pointing to it.

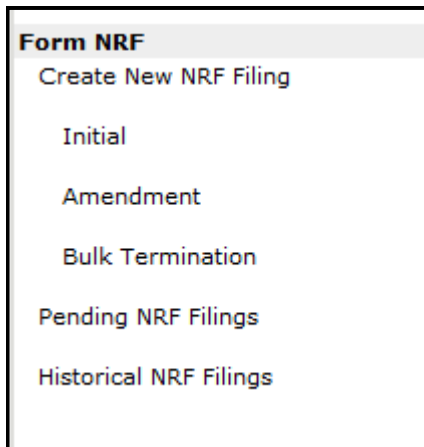
Quick Links	
FIRM GATEWAY	CLASSIC CRD
Advertising- Ad Reg	BD Form
E-bill	Exam Waiver Form
eFocus	IA Amend form (ADV Amend)
RegT Extension	NewCRD
Report Center	Pre-Registration Search
Shorts	NRF Form
See More Forms...	SIE

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.

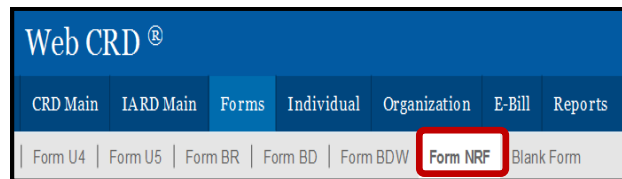


OR

Select the **Forms** tab from the toolbar.

Select **Form NRF** from the sub-menu.

Click on the desired NRF Filing Type.



NRF Filing Types

NRF Filing Type	When to use
Initial	<p>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.</p> <p>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.</p>
Amendment	<p>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.</p>
Bulk termination	<p>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.</p>

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 of 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.

Individual Search Criteria			
NRF - Initial			
Search by CRD Number			
CRD Number :	<input type="text"/>		
Search by Social Security Number			
SSN (xxx-xx-xxxx):	<input type="text"/>		
Search by Name			
Last Name:	<input type="text"/>	First Name:	<input type="text"/>
Middle Name:	<input type="text"/>	Perform "sounds-like" search	<input type="checkbox"/>
Filter by Other Information			
Birthdate (mm/dd/yyyy):	<input type="text"/>		
<input type="button" value="Search"/>			

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.

Individual Search Criteria			
NRF - Initial			
Create a New Individual			
SSN:	<input type="text" value="000-00-0000"/>	SSN (again):	<input type="text" value="000-00-0000"/>
<input type="checkbox"/> By selecting this box, I certify that this individual does not have a Social Security number.			
Last Name:	<input type="text" value="Doe"/>	First Name:	<input type="text" value="Jane"/>
Middle Name:	<input type="text"/>	Suffix:	<input type="text"/>
Birth Date:	<input type="text" value="01/01/1981"/>		
<input type="button" value="Create New ID"/>			

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.

Individual Search Results						
NRF - Initial						
Records per Page: 25		Total Records: 1				
Name	CRD	Birth Year	Current State(s) of Residence	Current Employment Firm(s)	Other Name(s)	Has SSN?
DOE, JANE	1111111	1975				Yes
Records per Page: 25		Total Records: 1				
Create a New Individual						
SSN:	<input type="text"/>	SSN (again):	<input type="text"/>			
<input type="checkbox"/> By selecting this box, I certify that this individual does not have a Social Security number.						
Last Name:	<input type="text" value="DOE"/>		First Name:	<input type="text" value="J"/>		
Middle Name:	<input type="text"/>		Suffix:	<input type="text"/>		
Birth Date:	<input type="text"/>					
<input type="button" value="Create New ID"/>						

Individual Search	
? Printer Friendly	
Verify SSN, Birth Month/Day	
CRD Number:	1111111
First Name:	JANE
Middle Name:	A
Last Name:	DOE
Suffix:	
Birth Year:	1975
Please provide the following information. Leave the Verify SSN field blank and select the check box below if the Individual does not have a SSN:	
This individual does not have a SSN.	<input type="checkbox"/>
Verify SSN (xxx-xx-xxxx):	<input type="text" value="111-11-1111"/>
Verify Month/Day of Birth (MM/DD):	<input type="text" value="01/01"/>
<input type="button" value="Submit"/> <input type="button" value="Reset"/>	

Create and Submit a New NRF Filing (Continued)

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

NRF - General Information			
First Name: jane	Middle Name:	Last Name: doe	Suffix:
Firm CRD #: 23714	Firm Name: SECURITIES FIRM	Employment Date¹ (MM/DD/YYYY): 05/04/2015	
Firm Billing Code: <input type="text"/>	Applicant CRD #: 1111111	Applicant SSN: xxx-xx-xxxx	View/Edit SSN
Search Address By Billing Code			
Employment Street Address 1: 123 Main St		Employment Street Address 2: <input type="text"/>	
City: Rockville	State: Maryland	Country: United States	Postal Code: 20850
Position in the firm: Back Office		Fingerprint barcode #: 111111111	
¹ Please note: This field should not be relied on as evidencing a definitive employment relationship or association between the individual and the filing firm.			
Re-Associate Fingerprints:			
<input type="checkbox"/> I hereby certify that the individual referenced above has been continuously employed by or associated with the filing firm.			
« Previous		Save	Next »

Tips:

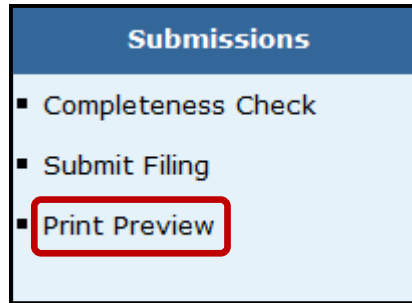
- To View/Edit the SSN, requires entitlement.
- The Employment Address can be entered by selecting the “Search Address By Billing Code” bar.
- A Fingerprint barcode # must be entered.

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.

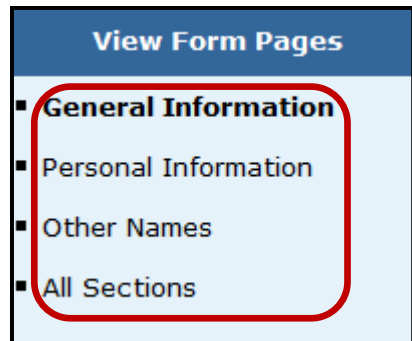
NRF - Termination	
<input checked="" type="checkbox"/> Terminate Non-registered Fingerprint relationship?	Date of Termination(MM/DD/YYYY): 07/14/2015
« Previous	Save Next »

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**.

Pending Filing Search
NRF

Hide Search Criteria ⌵

Search by CRD Number

CRD Number:

Search by Social Security Number

SSN (xxx-xx-xxxx):

Search by Firm Billing Code

Firm Billing Code:

Filter by current user

Filings initiated by current user only:

Select Sort Criteria

Creation Date: Ascending Descending

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.

Pending Filing Search
NRF

Show Search Criteria ⌵

Records per Page: 25 Total Records: 1

Filing ID	Submission Status	Filing Type	Name	CRD	SSN	Billing Code	CC Status	Creation Date	User ID	Submission Type	Expected Purge Date	Delete
421933750	Pending Submission	Initial	doe, john	1111111	xxx-xx-xxxx View SSN		Fail	12/03/2015	USERID1	WEB	02/04/2016	Delete

Records per Page: 25 Total Records: 1

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**.

Historical Filing Search
NRF

Hide Search Criteria

Search by CRD Number

CRD Number:

Search by Social Security Number

SSN (xxx-xx-xxxx):

[Search by Name](#)

Last Name: First Name:

Middle Name: Perform "sounds-like" search:

Filter by Other Information

Birthdate (mm/dd/yyyy):

Filter by Date Range

Begin Date (mm/dd/yyyy): End Date (mm/dd/yyyy):

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

Historical Filing Search
NRF

Individual: Doe, John (1111111)

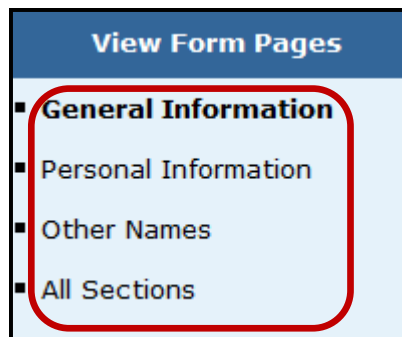
Show Search Criteria

Records per Page: 25 Total Records: 1

ID	Date	Type	Submitted by	User ID
42193351	12/03/2015	NRF Initial	FirmA (123)	FIRMUSER1

Records per Page: 25 Total Records: 1

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.

NRF - General Information			
First Name: jane	Middle Name:	Last Name: doe	Suffix:
Firm CRD #: 11111	Firm Name: SECURITIES FIRM	Employment Date¹ (MM/DD/YYYY): 05/04/2015	
Firm Billing Code: <input type="text"/>	Applicant CRD #: 1111111	Applicant SSN: xxx-xx-xxxx	<input type="button" value="View/Edit SSN"/>
<input type="button" value="Search Address By Billing Code"/>			
Employment Street Address 1: 123 Main St	Employment Street Address 2: <input type="text"/>		
City: Rockville	State: Maryland	Country: United States	Postal Code: 20850
Position in the firm: Back Office	Fingerprint barcode #: 111111111		
¹ Please note: This field should not be relied on as evidencing a definitive employment relationship or association between the individual and the filing firm.			
Re-Associate Fingerprints: <input checked="" type="checkbox"/> I hereby certify that the individual referenced above has been continuously employed by or associated with the filing firm.			
<input type="button" value="« Previous"/>	<input type="button" value="Save"/>	<input type="button" value="Next »"/>	

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

Filing Types

NRF

[Initial](#)
[Amendment](#)
[Bulk Termination](#)

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

? Printer Friendly

NRF Individuals List - Add Individual

This page will allow you to terminate one or more NRF Individuals associated with your firm in place of filing a separate NRF Amendment filing for each individual. You can search for individuals using any combination of the available search fields. If you do not use any search criteria, clicking the 'Search' button will return all active NRF individuals associated with your firm. Select the checkbox for each individual you would like to terminate, or use the 'Select All' option to select all individuals on the page, and click the 'Add to List' button. After the list is complete, click the 'Continue' button at the bottom of the page to continue the process of terminating the selected individuals.

Search Criteria

Individual CRD Number	<input type="text"/>	Last Name	<input type="text"/>
Billing Code	<input type="text"/>	SSN	<input type="text"/>

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**.

? Printer Friendly

NRF Individuals List - Add Individual

This page will allow you to terminate one or more NRF Individuals associated with your firm in place of filing a separate NRF Amendment filing for each individual. You can search for individuals using any combination of the available search fields. If you do not use any search criteria, clicking the 'Search' button will return all active NRF individuals associated with your firm. Select the checkbox for each individual you would like to terminate, or use the 'Select All' option to select all individuals on the page, and click the 'Add to List' button. After the list is complete, click the 'Continue' button at the bottom of the page to continue the process of terminating the selected individuals.

Search Criteria

Individual CRD Number	<input type="text" value="1111111"/>	Last Name	<input type="text"/>
Billing Code	<input type="text"/>	SSN	<input type="text"/>

Search Results

Records per Page: 25 Total Records: 1

CRD#	Individual Name	Billing Code	Begin Date	Select All
1111111	DOE, JOHN		02/06/2006	<input type="checkbox"/> <input checked="" type="checkbox"/>

Records per Page: 25 Total Records: 1

Individuals Added to List

CRD#	Individual Name	Billing Code	Begin Date
2222222	DOE, JANE		04/21/2009
1111111	DOE, JOHN		02/06/2006

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.

? Printer Friendly

NRF Individuals Termination List

Select the checkbox for each individual you would like to terminate, or use the 'Select All' option to select all individuals on the page. You may enter a specific date for each individual or use the date field at the top of the page to populate the same date for all selected individuals. Click the 'Submit' button to submit the filing. The submitted filings will be reflected in Filing History as an NRF Amendment filing.

NRF Individuals Termination List

Populate

CRD#	Individual Name	Billing Code	Begin Date	End Date	Terminate
22222222	DOE, JANE		04/21/2009	<input type="text"/>	<input type="checkbox"/>
11111111	DOE, JOHN		02/06/2006	<input type="text"/>	<input type="checkbox"/>

[Roster - Individual Firm Report](#)

Add More Individuals

Returning to add more Individuals to the List will result in losing all changes made to the dates and selections on this list. The list of Individuals originally added will not be lost.

Submit

Individuals that are not marked for termination will not have their association with the firm closed when the Submit button is selected.

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

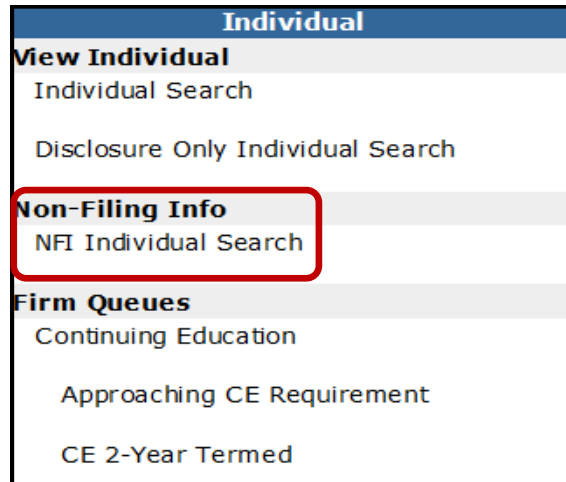
Tips:

- 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](#).

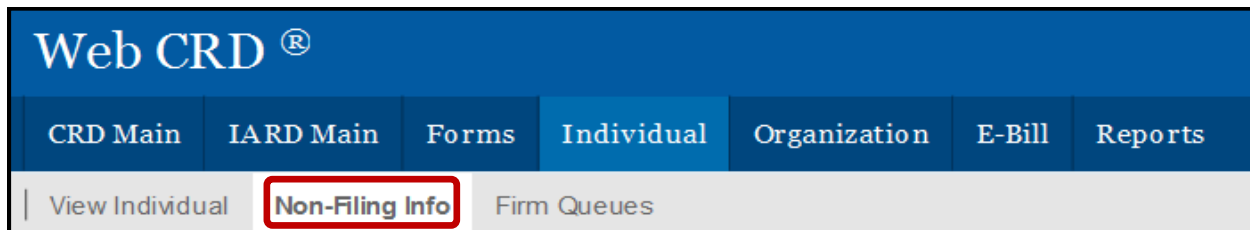
Amend NRF Termination Dates

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.



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.

The screenshot shows the "NRF Term Date Amendment" form. The "Quick Search" panel on the left has "Non-Filing Information" selected, with "NRF Term Date Amendment" highlighted. The main form displays "Individual CRD#" and "Individual Name: DOE, JANE". Under "NRF Employment History", the "Term Date" field is highlighted with a red box and contains the date "02/23/2015". A "Save" button is visible below the form.

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.