

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

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### Access Web CRD

Web CRD can be accessed (2) ways:

1. FINRA Firm Gateway at → <https://firms.finra.org>, or
2. Directly at → <https://crd.finra.org>

Enter your **User ID** and **Password**.

If you access via FINRA Firm Gateway, click on the **Web CRD** tab.

Once you have accessed Web CRD, you can then navigate through the system as needed.

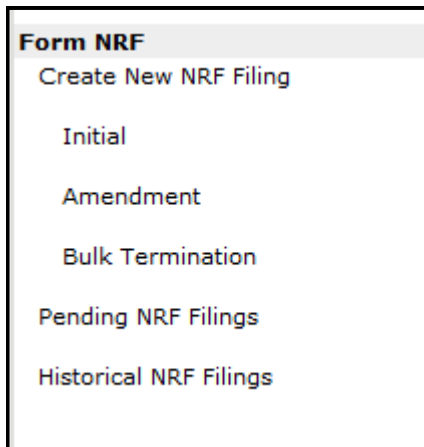
**Questions on Web CRD ? Call the FINRA Gateway Call Center at 301-869-6699**  
8 A.M. - 8 P.M., ET, Monday-Friday.

## Access NRF Filing

There are two ways to access **NRF Filings** in Web CRD:

From the **Forms** section of the Web CRD Site Map.

Click on the desired NRF Filing Type.

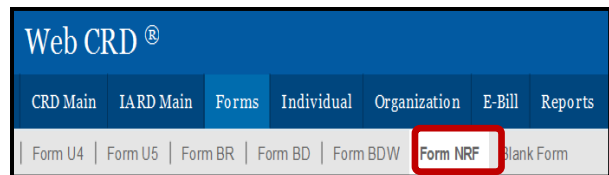


OR

Click the **Forms** tab from the toolbar.

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

Select the desired NRF Filing Type.



## NRF Filing Types

NRF Filing Type	When to use
<b>Initial</b>	<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>
<b>Amendment</b>	<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>
<b>Bulk termination</b>	<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 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			
<b>Search by CRD Number</b>			
CRD Number :	<input type="text"/>		
<b>Search by Social Security Number</b>			
SSN (xxx-xx-xxxx):	<input type="text"/>		
<b>Search by Name</b>			
Last Name:	<input type="text"/>	First Name:	<input type="text"/>
Middle Name:	<input type="text"/>	Perform "sounds-like" search	<input type="checkbox"/>
<b>Filter by Other Information</b>			
Birthdate (mm/dd/yyyy):	<input type="text"/>		
<input type="button" value="Search"/>			

## Create a New Individual in Web CRD

If the individual does not exist in CRD, enter the individual's SSN, Last Name, First Name, and Birth Date. Click the **Create New ID** button to begin the Form U4 filing for this individual.

Individual Search Criteria			
NRF - Initial			
<b>Create a New Individual</b>			
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 a New NRF Filing (Continued)

### Additional Verification for Initial NRF Filings

Web CRD will require additional verification of the individual's social security number (SSN) and month/day of birth for individuals already in Web CRD. The verification screen will display after the name hyperlink is selected from the search results.

Individual Search Results						
NRF - Initial						
Records per Page: <input type="text" value="25"/> Total Records: 1						
Name	CRD	Birth Year	Current State(s) of Residence	Current Employment Firm(s)	Other Name(s)	Has SSN?
<a href="#">DOE, JANE</a>	1111111	1975				Yes
Records per Page: <input type="text" value="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:	<b>1111111</b>
First Name:	<b>JANE</b>
Middle Name:	<b>A</b>
Last Name:	<b>DOE</b>
Suffix:	
Birth Year:	<b>1975</b>
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 a New NRF Filing (Continued)

Complete the General Information section.

NRF - General Information			
<b>First Name:</b> jane	<b>Middle Name:</b>	<b>Last Name:</b> doe	<b>Suffix:</b>
<b>Firm CRD #:</b> 23714	<b>Firm Name:</b> SECURITIES FIRM	<b>Employment Date<sup>1</sup> (MM/DD/YYYY):</b> 05/04/2015	
<b>Firm Billing Code:</b> <input type="text"/>	<b>Applicant CRD #:</b> 1111111	<b>Applicant SSN:</b> <input type="text" value="xxx-xx-xxxx"/>	<input type="button" value="View/Edit SSN"/>
<input type="button" value="Search Address By Billing Code"/>			
<b>Employment Street Address 1:</b> 123 Main St	<b>Employment Street Address 2:</b> <input type="text"/>		
<b>City:</b> Rockville	<b>State:</b> Maryland	<b>Country:</b> United States	<b>Postal Code:</b> 20850
<b>Position in the firm:</b> Back Office	<b>Fingerprint barcode #:</b> 1111111111		
<sup>1</sup> Please note: This field should not be relied on as evidencing a definitive employment relationship or association between the individual and the filing firm.			
<b>Re-Associate Fingerprints:</b>			
<input 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 »"/>	

### NOTES:

- 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.

Complete the Personal Information and Other Names sections, as needed.

## 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**.

**NOTE:** 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.

**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**  
NRF

Show Search Criteria

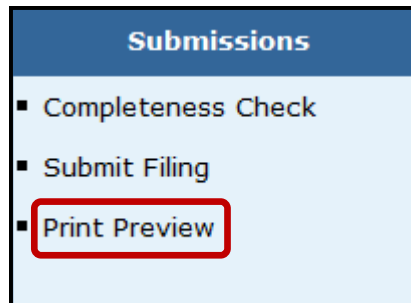
Records per Page: 25 Total Records: 1

Filing ID	Submission Status	Filing Type	Name	CRD	SSN	Billing Code	CC Status	Creation Date	User ID	Submission Type	Expected Purge Date	Delete
<a href="#">42193350</a>	Pending Submission	Initial	doe, john	1111111	xxx-xx-xxxx <a href="#">View SSN</a>		Fail	12/03/2015	USERID1	WEB	02/04/2016	<a href="#">Delete</a>

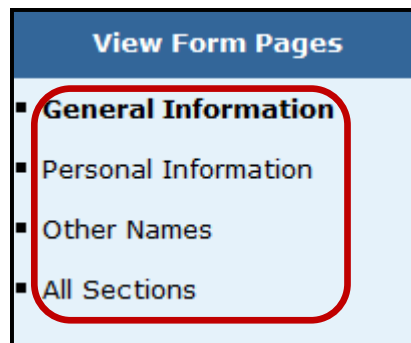
Records per Page: 25 Total Records: 1

## Pending NRF Filings (Continued)

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.



## 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.

**View Form Pages**

- **General Information**
- Personal Information
- Other Names
- All Sections



## 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			
<b>First Name:</b> jane	<b>Middle Name:</b>	<b>Last Name:</b> doe	<b>Suffix:</b>
<b>Firm CRD #:</b> 11111	<b>Firm Name:</b> SECURITIES FIRM	<b>Employment Date<sup>1</sup> (MM/DD/YYYY):</b> 05/04/2015	
<b>Firm Billing Code:</b> <input type="text"/>	<b>Applicant CRD #:</b> 1111111	<b>Applicant SSN:</b> xxx-xx-xxxx	<input type="button" value="View/Edit SSN"/>
<input type="button" value="Search Address By Billing Code"/>			
<b>Employment Street Address 1:</b> 123 Main St	<b>Employment Street Address 2:</b> <input type="text"/>		
<b>City:</b> Rockville	<b>State:</b> Maryland	<b>Country:</b> United States	<b>Postal Code:</b> 20850
<b>Position in the firm:</b> Back Office	<b>Fingerprint barcode #:</b> 111111111		
<sup>1</sup> Please note: This field should not be relied on as evidencing a definitive employment relationship or association between the individual and the filing firm.			
<b>Re-Associate Fingerprints:</b> <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.

## Terminate an NRF Association

The NRF Amendment filing includes a Termination section which will terminate the individual's NRF association with the firm. In this section, select the Terminate checkbox and enter the Date of Termination.

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

## Bulk Termination for NRF Individuals

Bulk Termination is used to terminate multiple NRF associations with the firm.

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" value="-- -- --"/>

**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" value="-- -- --"/>

**Search Results**

Records per Page: 25 Total Records: 1

CRD#	Individual Name	Billing Code	Begin Date	Select All
<a href="#">1111111</a>	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
<a href="#">2222222</a>	DOE, JANE		04/21/2009
<a href="#">1111111</a>	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.

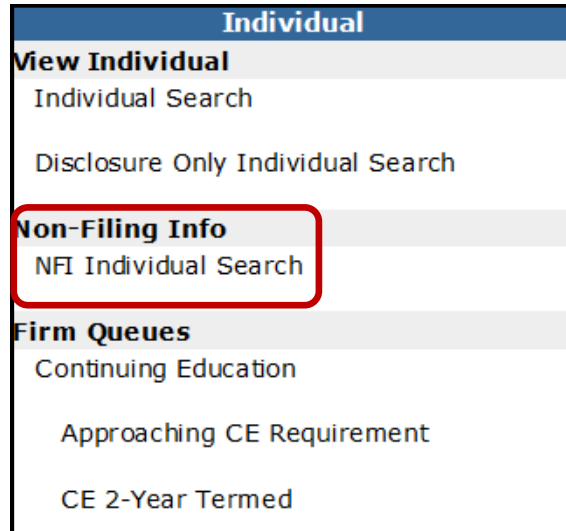
#### NOTES:

- 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](#).

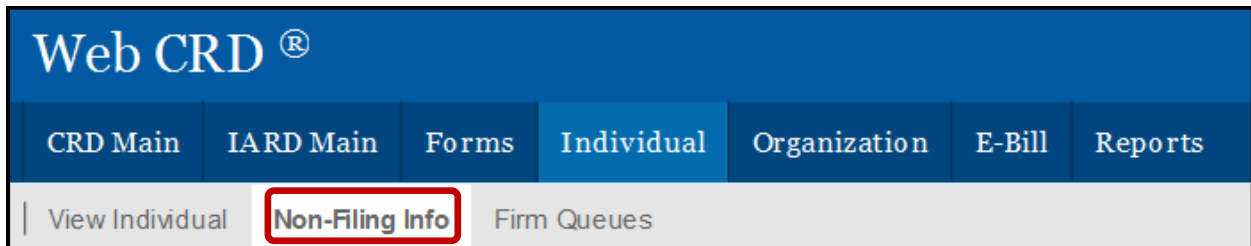
## Amend NRF Termination Dates

Firms are able to correct the Termination date for previously submitted NRF Amendment filings. This is done through the Individual Non-Filing Information (NFI) page on Web CRD.

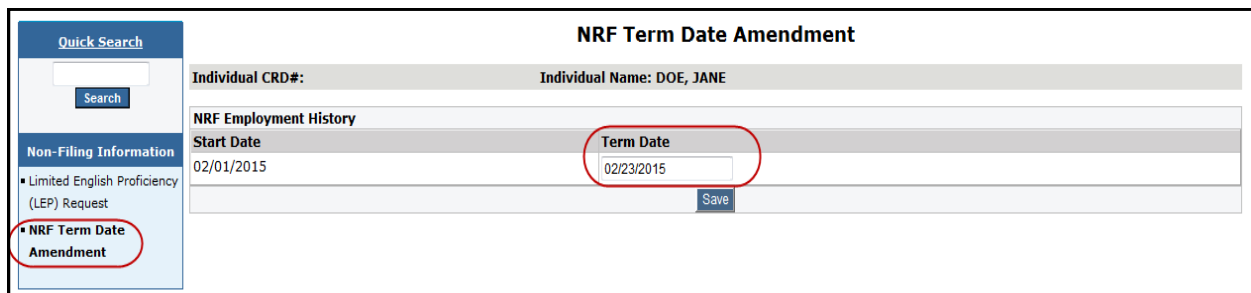
1. Navigate to Individual NFI using the link on the sitemap or on the sub-menu of the Individual tab.



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.



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.