

Classic CRD

Reports

About Classic CRD Reports

The Reports feature enables firms to request standard reports generated from data stored in CRD and IARD. Requested reports are available online for viewing or downloading.

Investment Adviser-only firms can request all reports listed in IARD and certain reports from CRD containing investment adviser representative information .

IMPORTANT NOTE:

All classic CRD features should now be accessed through <u>FINRA Gateway</u>, 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.

Specifically for reports, FINRA Gateway includes a <u>new reporting feature</u> that provides nearreal-time data and allows users more flexibility in customizing and sharing reports.

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

Contents:

- Logging in Through FINRA Gateway (pg. 2)
- <u>Requesting Reports</u> (pg. 3)
- <u>Viewing Reports</u> (pg. 6)
- Ad Hoc Reports (pg. 7)

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

©2023. FINRA. All rights reserved. Materials may not be reprinted or republished without the express permission of FINRA. Individuals, firms, and data mentioned in these materials are fictitious and are presented exclusively for purposes of illustration or example.

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 <u>FINRA Gateway</u>. 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.

*	Test Contacts <u>View Notification</u>		
	Dashboard		🌣 Dashboard Settings
₩	Profile Search Individual SSN Pre- Search Registration Branch	Links Quick Links	
20	Search for an Individual by Name or CRD # who is currently or previously associated with your firm or one of your SFG affiliates.	4530 Reporting	OATS
÷.	Search Criteria	<u>Advertising- Ad Reg</u>	OTC Transparency Data Over-the-Counter Equities
?	Search by Name or CRD#	BD Form	Data
		& <u>Classic CRD</u>	<u>Peer-2-Peer Compliance</u> <u>Library</u>
		<u>Compliance Vendor</u> <u>Directory</u>	Pre-Registration Search
		<u>E-Bill</u>	Preferred Pricing Program
		FINRA.org	<u>RegT Extension</u>
		<i>S</i> <u>Firm Gateway</u>	See More Forms
		Information Requests	SIE

Requesting Reports

There are two ways to access Reports in classic CRD:

From the CRD sitemap, select the Request Report hyperlink.			k on the lable re			b to view	ı a lis	st of
Reports		Web CI	RD®					
Home Request Report View Report		CRD Main	IARD Main	Forms	Individual	Organization	E-Bill	Reports

A list of available classic reports displays along with a description of the information included in the report. All reports requested by you will be available to every CRD user in your organization who is entitled to the reports feature.

Certain classic reports have been or will be retired because a corresponding report template exists in FINRA Gateway. These reports will have a link in the FINRA Gateway Template column that will link users to <u>Dynamic Reporting</u>.

Select a Report to Request							
Report Name	FINRA Gateway Template	Report Description	Days to View				
Branch - Associated Individuals		This report identifies all associated individuals assigned to a specified branch office. The report includes individual details including disclosure counts and defaults to current individuals. When the start date/end date input parameters are entered, the report will contain associated individuals only within the specified date range (i.e. Associated Individuals History).					
Branch - Branch Roster	Branch Roster	This report enables the requestor to generate a detailed list of branch office information by firm.	7				
Branch - Branch Snapshot		This report provides branch office details by firm.	7				
Branch - Individuals with Multiple Employment Addresses		This report enables the requestor to generate a detailed list of associated individuals that have been associated with more than one branch office with the same firm.	7				
Branch - Supervising OSJ Branches	Supervising OSJ Branches	This report includes a list of OSJ Branches that have Non-OSJ branches reporting to it.	7				
<u>CE - Previously Inactive CE</u> Individuals within a firm		Lists all individuals who were employed with a specified firm and at the time of employment were CE Inactive during the timeframe specified.	7				
Exam - Reschedule Exam Report		Lists individuals for a firm that need to reschedule an exam.	7				

To request a report, select the **Report Name** hyperlink of the desired report (e.g.— the "Branch - Associated Individuals" report.)

The **Days to View** column indicates how long the report will be available to all users at the firm once it is generated.

Use the drop-down menus and/or text fields to select the appropriate report parameters. Required fields are designated with an asterisk.

For certain reports, the **Generate Zipped CSV file** option allows the requestor to identify the report format. Select "Yes" from the drop down to request the report in a downloadable format, if available.

	🝸 🏼 🎒 Printer Friendly
Enter Parameters to Request : B	ranch - Associated Individuals
Branch Identifier Type	None 💌
Branch Identifier	
Group By Branch Size Category	None 🔽
Only Individuals with Disclosure?	No 💌
Include Individuals associated with Branches between	»:
Start Date (MM/DD/YYYY)	
End Date (MM/DD/YYYY)	
Generate Zipped CSV file?	Yes V
User Initials	*
Submit	Reset

Click the **Submit** button to request the report.

	🕐 🥞 Printer Friendly
Enter Parameters to Request :	Branch - Associated Individuals
Branch Identifier Type	None -
Branch Identifier	
Group By Branch Size Category	None -
Only Individuals with Disclosure?	No -
Include Individuals associated with	Branches between:
Start Date (MM/DD/YYYY)	
End Date (MM/DD/YYYY)	
Generate Zipped CSV file?	Yes -
User Initials	3DFIRM *
Submi	Reset

Make note of the report **Request #** and click the **OK** button.

💽 🎒 Printer Friendly Submit Report Results								
Request #	Reports User ID	Reports User Name						
11381833	00023714	BD FIRM						
		OK						

Report Formats

Reports are available in PDF format, downloadable format, or both.

A PDF report keeps its original appearance preserved, and can be distributed for viewing and printing.

The download format is useful if you wish to view the report in a different format or sorted differently. Once you have downloaded the report, you may import the data into a spreadsheet or database so that you can manipulate the data. Generally the report name will contain the word "Download".

Other Report Notes:

- The data available in classic CRD reports will be from the previous day.
- Reports usually generate within the hour, however exact processing time can vary based on the size of the firm and overall system usage.
- Specific entitlement is required to view Social Security Numbers and Fingerprint statuses that are received from the FBI. Certain reports also require appropriate entitlement, including:
 - ♦ Fingerprint Exception Download
 - ♦ Fingerprint Reconciliation Download
 - ♦ Fingerprint Snapshot Report
 - ♦ Individual Viewed SSN Download

Viewing Reports

Reports can be sorted by Report Name, Request #, Requested On, and Requested By columns. Click the column header hyperlink to sort reports.

NOTE:

- The Status column will display *Completed* once the report is run and is available. *Completed No Data* will display when there is no data available for the report parameters requested.
- The Parameters column will display the parameters that were selected for the report.

The first time, within a session, that **View Reports** is accessed, a **Sensitive Data Notice** will appear. Read the information and select Continue to proceed. If Cancel is selected, the reports will not be made available for viewing.

Sensitive Data Notice

Any report requested through the Central Registration Depository (CRD®) may contain personal confidential information (PCI) or other confidential or sensitive data, the use or disclosure of which may violate state or federal data privacy, consumer protection, or other laws. FINRA does not represent, warrant or guarantee the accuracy or completeness of this information or its fitness for any purpose for which you intend to use it. FINRA represents that this report may contain PCI or other non-public information, depending upon your jurisdiction, and FINRA expressly disclaims any responsibility for ensuring that this report meets your agency or organization's legal obligations with respect to sharing the information in the report for any reason. Your use of this report is your acknowledgement that FINRA is providing this report at your request, conditioned

To view a report, click on the report name. The report will open in either PDF format or as a downloadable zip file.

	View Reports								
	Records per Page 25 💌 Total Records: 2								
	Report Name	Parameters	Request #	Status	Requested On	Available On	Expires On	Size	Requested By
æ	Snapshot - Individual		15623462	Completed	10/21/2015 5:15:11 PM	10/21/2015 5:15:17 PM	10/22/2015 5:15:12 PM	26.8	LDT
2	Accounting - Account Activity - Firms		15623461	Completed	10/21/2015 5:13:27 PM	10/21/2015 5:13:36 PM	11/25/2015 5:13:27 PM	15.5	LDT
	Records per Page: 25 💎 Total Records 2								

Tip: For assistance converting pipe-delimited text files into spreadsheets, please visit the <u>How</u> to <u>Download a Report</u> page on the FINRA website.

Ad Hoc Reports

An **Ad Hoc** report is a report that is not listed on the View Reports screen or a report that is in another format other than the standard arrangement of report items.

To request an Ad Hoc report, send an email request to <u>WebCRD@finra.org</u> describing the information that you want included in the report.

Generally, there is a fee assessed to firms that request Ad Hoc reports. The charge for Ad Hoc reports depends on the complexity and time it takes to generate the report.

Type of Ad Hoc Report	Description	Fee
Existing	Ad Hoc Report already exists and will be rerun using new BD Number.	\$240
Basic New Ad Hoc Report must be written and will take up t complete.		\$360
Intermediate	New Ad Hoc Report must be written and will take up to 4 hours to complete.	\$480
Advanced	New Ad Hoc Report must be written and will take up to 5 hours to complete.	\$600
Complex	New Ad Hoc Report must be written and will take more than 5 hours to complete.	\$120/hour

Ad Hoc Fee Schedule