FINRA
Financial Industry Regulatory Authority

Web CRD	Reports

About Reports

The Reports feature enables firms to request standard reports generated from data stored in Web 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 Web CRD, as investment adviser representative information is stored in Web CRD.

To see how reports are being transformed in new CRD, please visit www.finra.org/newcrd.

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.

Contents:

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

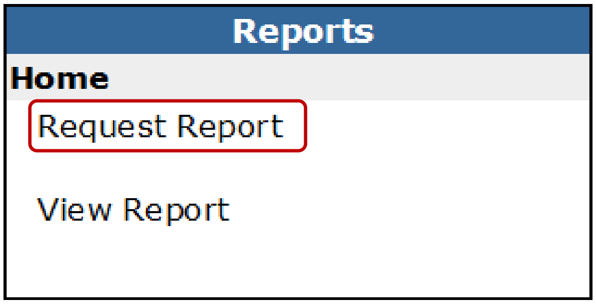
Request a Report

There are two ways to access Reports in Web CRD:

From the Web CRD sitemap, select the **Request Report** hyperlink.

OR

Click on the **Reports** tab to view a list of available reports.



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

Once generated, reports are only available for a certain amount of time, as information may change due to form filing submissions or registration related changes made by regulators.

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

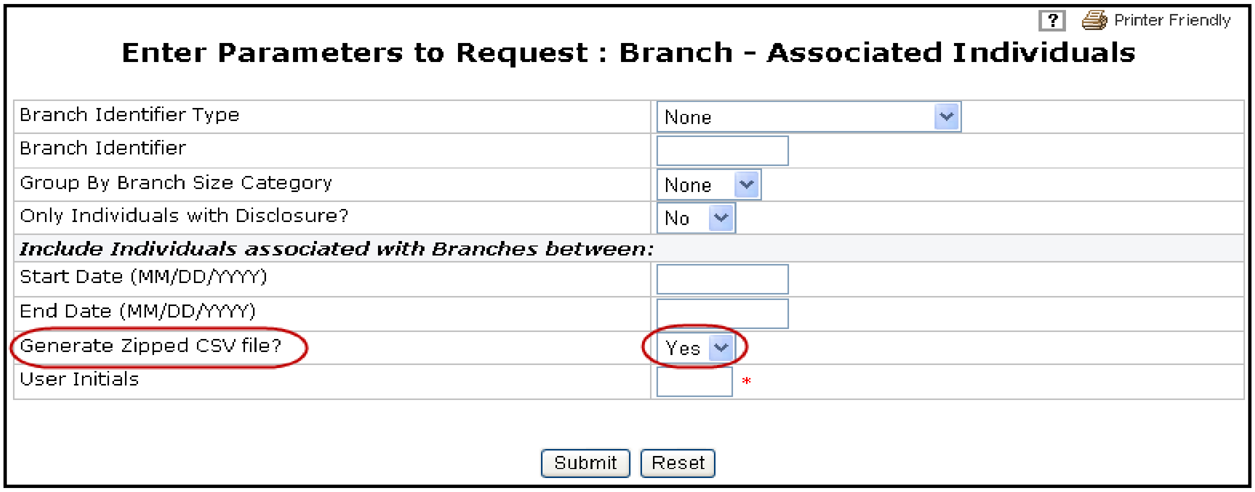
To request a report select the **Report Name** hyperlink.

Select a Report to Request

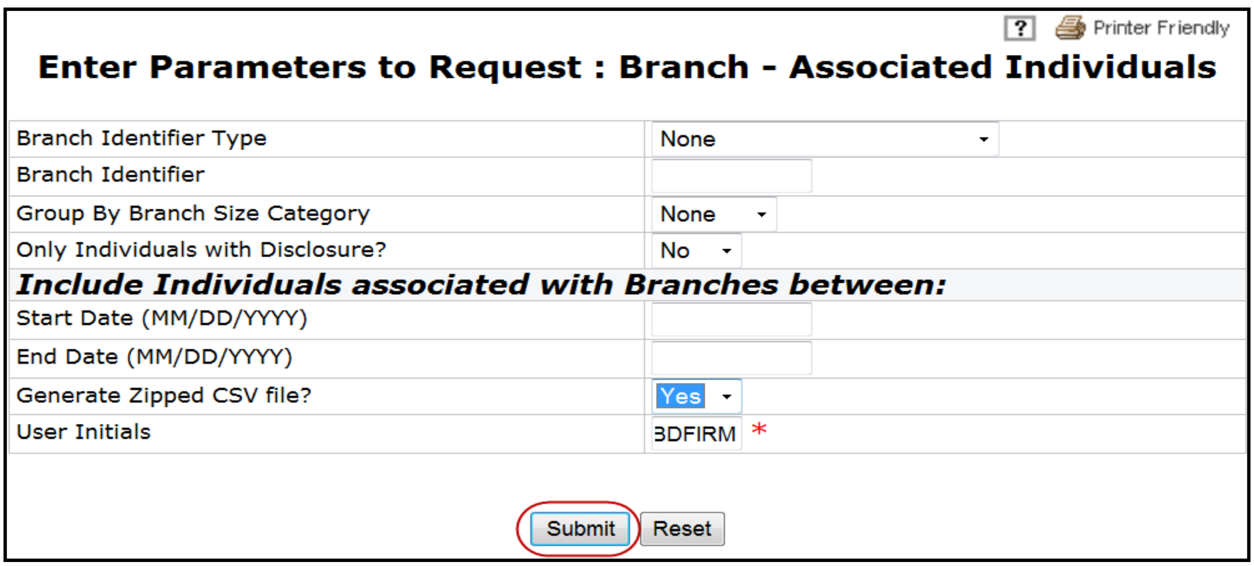
Report Name	Report Description	Days to View
Accounting - Account Activity - Firms	This report provides monthly account activity details for a firm. Financial data is available since the archive date.	35
Accounting - Firm Accounting Download	Download of Firm Accounting Information. Financial data is available since the archive date.	30
Accounting - Late Disclosure Fee Report and Download	This report lists all the individuals associated with a firm that were charged a Late Disclosure fee. Financial data is available since the archive date.	7
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).	7
Branch - 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	This report includes a list of OSJ Branches that have Non-OSJ branches reporting to it.	7
CE - Approaching CE Queue Report and Download	Lists individuals in the firms Approaching CE Individual Firm Queue	7
CE - Approaching CE Two Year Termed Download	Lists all individuals who will become CE 2 Year Termed.	7
CE - CE Download	This download provides a list of registered individuals with CE statuses of SATISFIED, REQUIRED or CEINACTIVE.	7

Select the appropriate report parameters. Depending on the report requested, the parameters may be in the form of drop down options or free text fields. Required fields are designated with an asterisk.

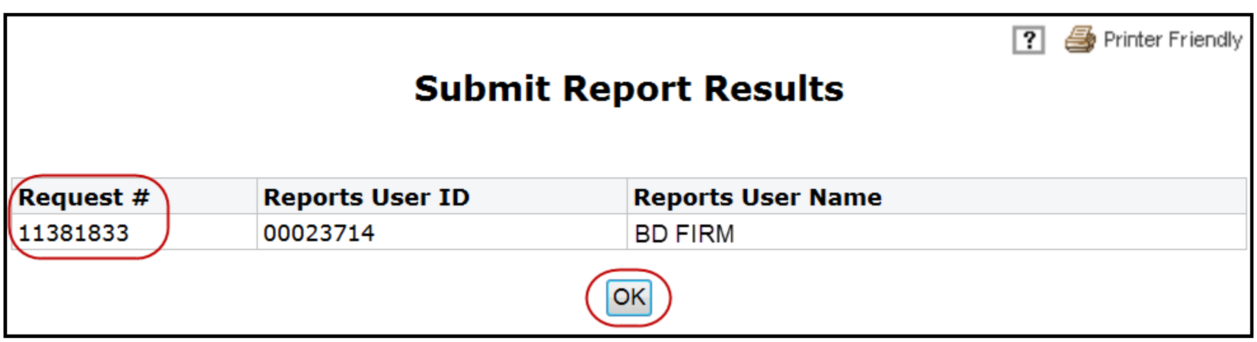
Many reports are available in a downloadable format or read-only PDF format. The **Generate Zipped CSV file** option allows the requestor to identify the report format. Select Yes from the drop down to request the report in a downloadable format.



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



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



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 the download 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”.

Generally reports will generate within the hour. Availability timeframe may vary depending on the complexity and size of the report, as well as overall system usage.

Tip: If for any reason there is a problem with your report or the report does not generate, call the FINRA Gateway Call Center at 301-869-6699. Providing the Request # will help in troubleshooting the issue more efficiently.

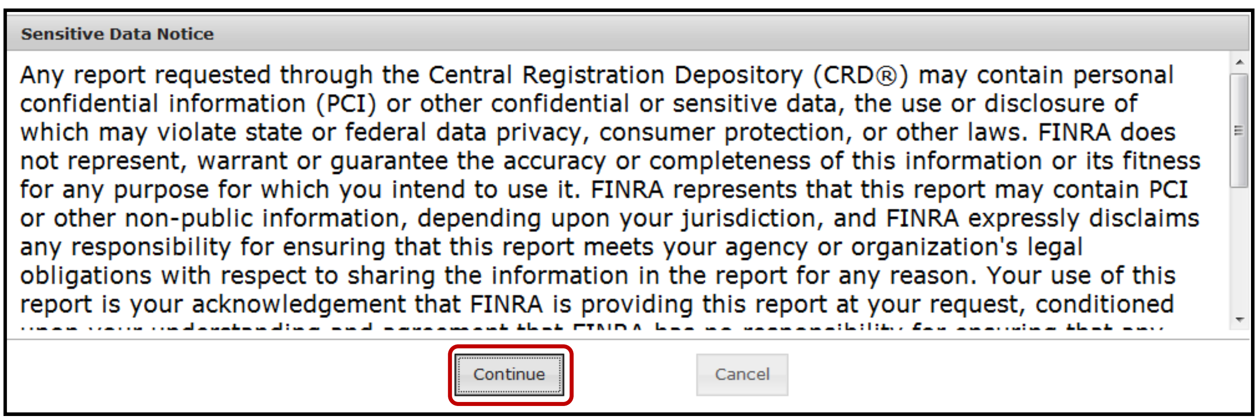
View a Report

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

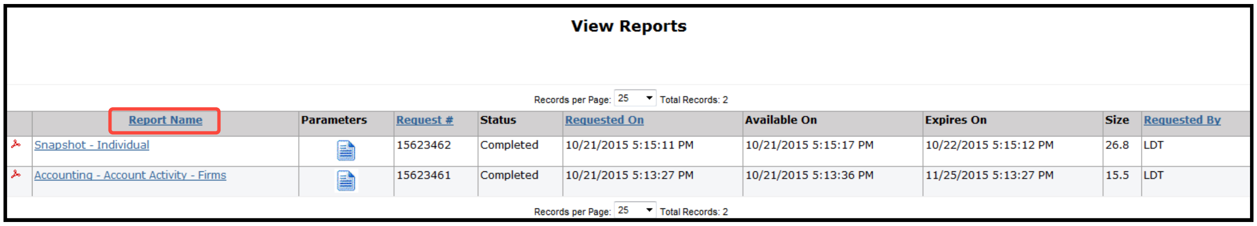
NOTE:

- 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.



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
	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
	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

Download and Import a Report from Web CRD

Most download reports automatically display in CSV format, and thus need no additional formatting. However, a few reports still are generated as text files. Here are steps for importing a text file into Microsoft Excel:

1. The file that you download from Web CRD will be a ZIP file. In order to "unzip" the file, you must have a compression program such as WinZip. This program should already be on your computer. If it is not, please see your technology department for more information if you need assistance.
2. Unzip the file and save it to a location on your computer.
3. Open Microsoft Excel.
4. Click **File**, then **Open**. At the bottom of the dialogue box, you will have the option to change the Files of Type:
5. Change this option to All Files.
6. Proceed to open the file that you just extracted.
7. The Text Import Wizard will appear:
8. Step One: click **Delimited**, then **Next**. You may start the import at Row 1.
9. Step Two: check the box for the delimited Other. In the text box next to it, type in a pipe, "|" -- this key is typically found above the Enter key on your keyboard. You may then click **Next**.
10. Step Three: the default option should be a General Column Data Format. Click **Finish**.
11. The data will now be arranged into separate columns and rows. Excel allows the user to sort information quickly and easily. In order to sort the information in your report, follow these steps:
12. Click **Ctrl-A** to Select All.
13. Click **Data**, then **Sort**.
14. Select the column that by which you would like to sort the information (Column A, for example), then click **OK.** If the information is not sorted the way that you want, click **Ctrl-Z** to Undo the sort.

Other Report Notes:

The ability to view Social Security Numbers and Fingerprint statuses that are received from the FBI require special entitlement. Therefore certain reports also require appropriate entitlement. These reports include:

- Fingerprint - Exception Download
- Fingerprint - Reconciliation Download
- Fingerprint - Snapshot Report
- Individual - Viewed SSN Download

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 WebCRD@finra.org or contact the FINRA Gateway Call Center at **301-869-6699**. Describe the information that you want included in the report as well as the format to receive the report (e.g., email or CD).

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.

Ad Hoc Fee Schedule

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 to 3 hours to 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