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, as investment adviser representative information is stored in Web CRD.

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.

Specifically for reports, FINRA Gateway includes a new Dynamic Reporting feature that provides near-real-time data and allows users more flexibility in customizing their own reports.

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

Contents:

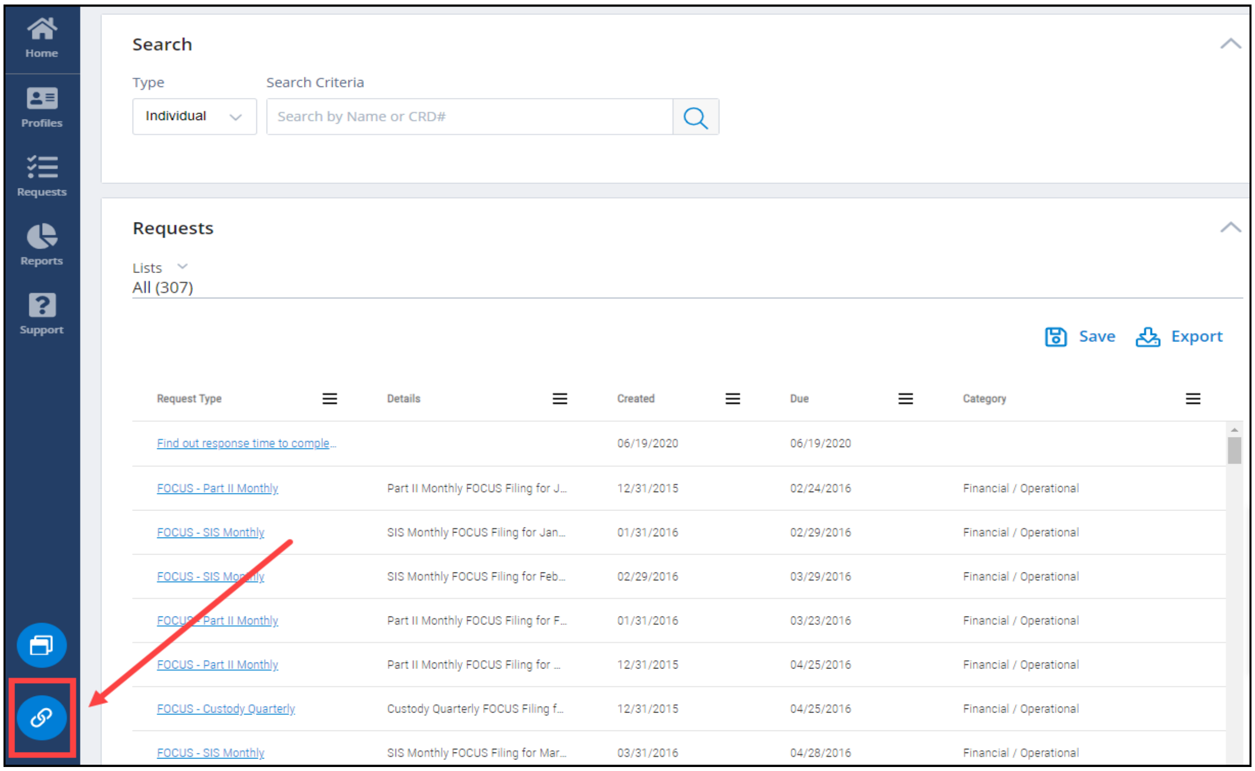
Need help with CRD? Call the FINRA Gateway Call Center at **301-869-6699**
8 A.M. - 8 P.M., ET, Monday through Friday.

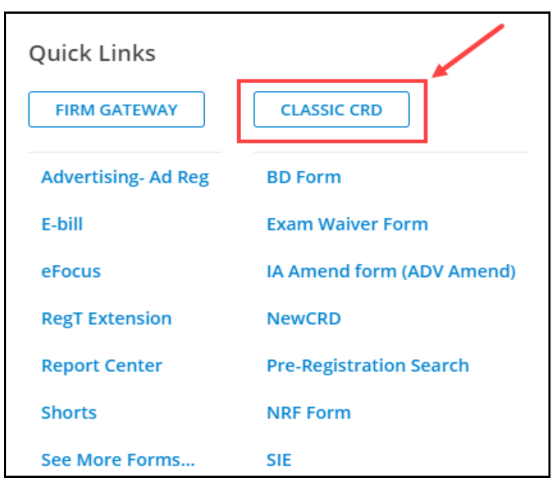
Logging in Through FINRA Gateway

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.

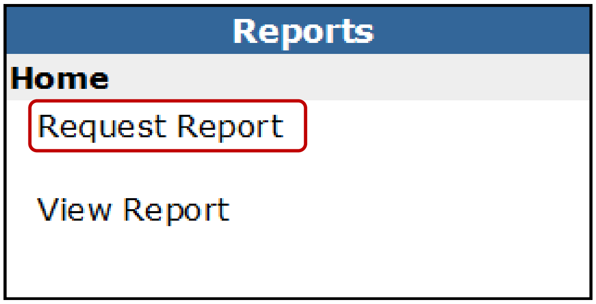




Requesting Reports

There are two ways to access Reports in classic CRD:

From the 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 CRD user in your organization who is entitled to the reports feature.

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.

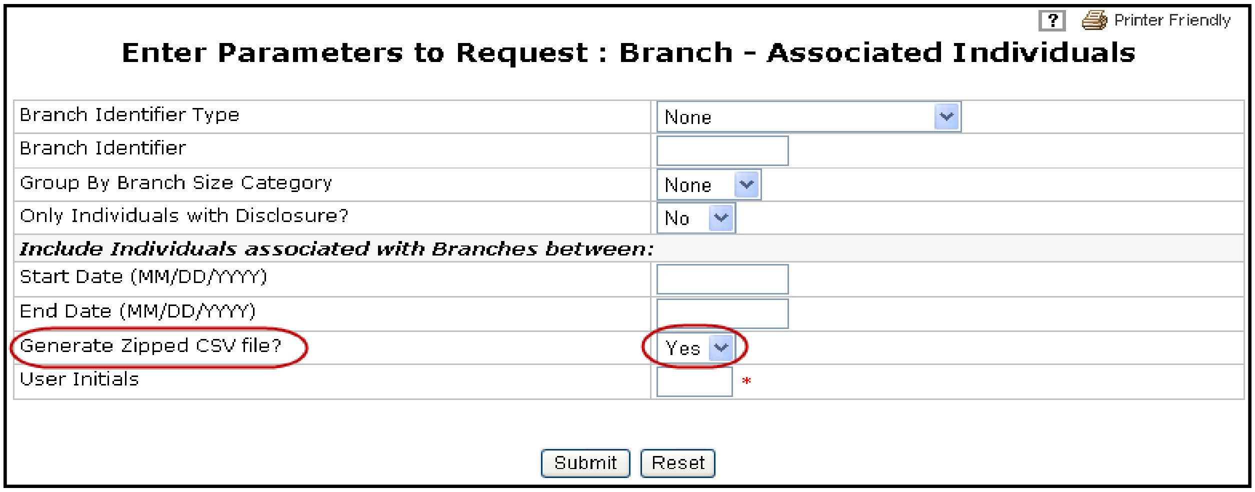
To request a report, select the **Report Name** hyperlink of the desired report (e.g.— the "Branch - Associated Individuals" report.)

Select a Report to Request

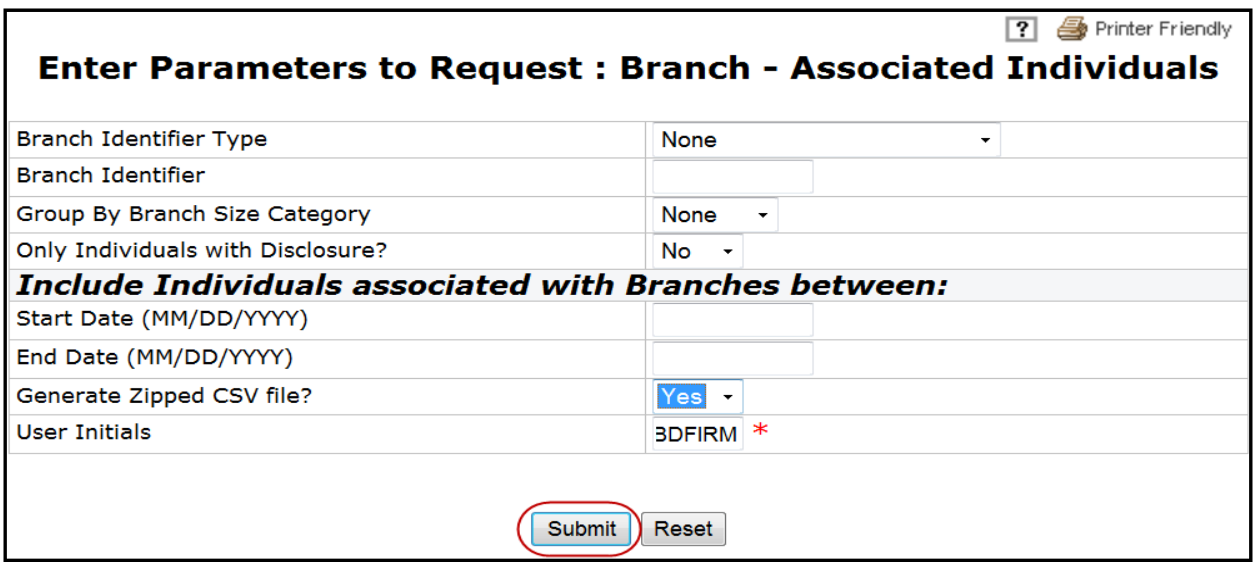
Report Name	Report Description	Days to View
Accounting - Account Activity - Firms	This report provides monthly account activity details for a firm. Financial data is available since the archive date.	35
Accounting - Firm Accounting Download	Download of Firm Accounting Information. Financial data is available 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

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

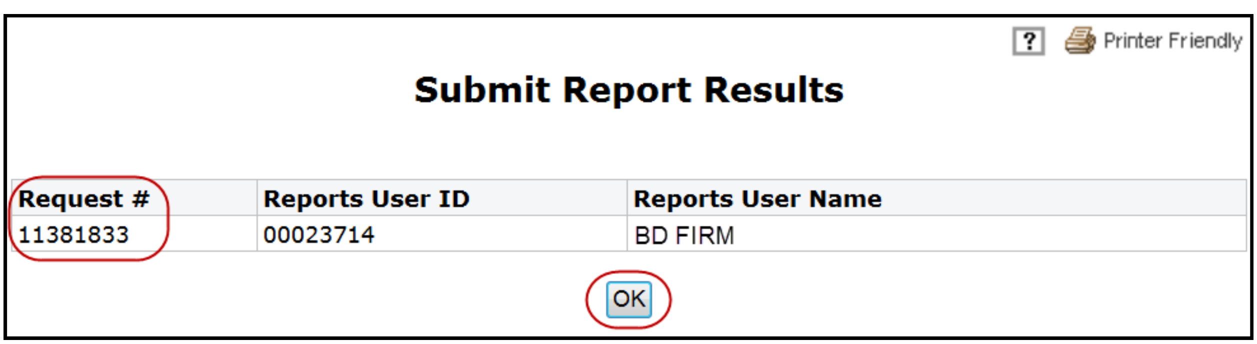
For certain reports, the **Generate Zipped CSV file** option allows the requestor to identify the report format. Select “Yes” from the drop down to request the report in a downloadable format, if available.



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".

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

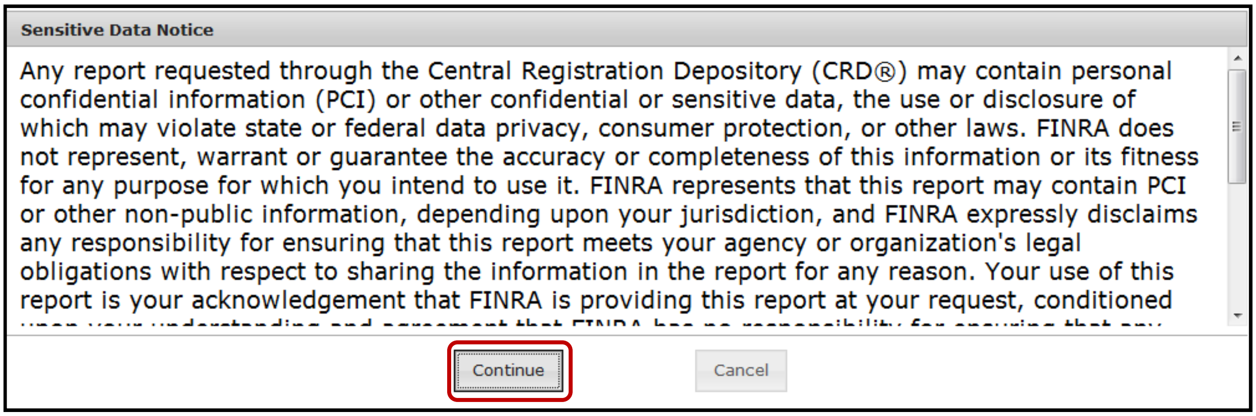
Viewing Reports

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.

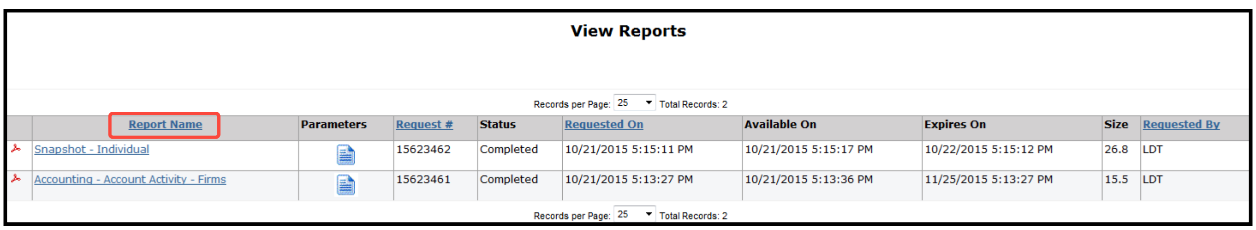


Sensitive Data Notice

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

Continue   Cancel

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

Tip: For assistance converting pipe-delimited text files into spreadsheets, please visit the [How to Download a Report] 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 WebCRD@finra.org 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.

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