



Classic CRD

View Individual

About View Individual

View Individual is a read-only function that provides entitled users with the capability of viewing current and historical information about registered and non-registered individuals that are associated with your firm. The information available in View Individual includes, but is not limited to: personal information, employment history, registrations, other business, and disclosure. (Viewing personal information, such as Social Security Numbers and Criminal History Record Information requires additional system entitlement. Please contact your firm's Super Account Administrator if access is needed.)



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 re-search, reporting and responding to requests, rather than focusing on the specific system you would access to fulfill your requirements.

Additionally, some individual information is also available in the Profiles section of FINRA Gateway.

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](https://gateway.finra.org) 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 area has a 'Search' section at the top with a 'Type' dropdown set to 'Individual' and a 'Search Criteria' input field. Below this is a 'Requests' section with a 'Lists' dropdown set to 'All (307)'. A table of requests is displayed with columns: Request Type, Details, Created, Due, and Category. A red box highlights the 'Quick Links' icon in the sidebar, and a red arrow points from it to the 'Quick Links' panel below.

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 screenshot shows the 'Quick Links' panel. At the top are two buttons: 'FIRM GATEWAY' and 'CLASSIC CRD'. The 'CLASSIC CRD' button is highlighted with a red box and a red arrow. Below these buttons is a grid of links organized in two columns.

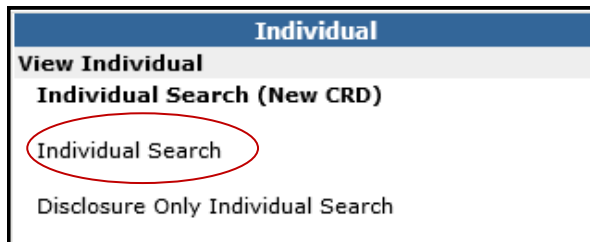
Quick Links	
FIRM GATEWAY	CLASSIC CRD
Advertising- Ad Reg	BD Form
E-bill	Exam Waiver Form
eFocus	IA Amend form (ADV Amend)
RegT Extension	NewCRD
Report Center	Pre-Registration Search
Shorts	NRF Form
See More Forms...	SIE

Search for an Individual in CRD

Firm users are able to search for individuals that are currently associated with the firm, were previously associated with the firm, or are prospective new-hires that have given the firm permission to view their information.

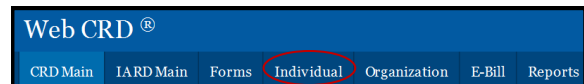
There are two ways to access the search feature:

Click on the **Individual Search** hyperlink from the Web CRD sitemap.



OR

Click the **Individual** Tab from the Tool Bar.



To conduct a **Simple Search** for an individual, enter the Individual's **CRD#**, **SSN** or **Name** and click the **Search** button.

 A screenshot of a web form titled 'CRD Individual Search'. At the top, there are three tabs: 'Simple Search', 'Advanced Search', and 'Pre-Registration Search'. The 'Simple Search' tab is circled in red. Below the tabs is a text input field labeled 'Search For:' with a magnifying glass icon. To the right of the input field is a link that says 'Switch to Advanced Search'. Below the input field is a 'Search' button, which is also circled in red. A tip text below the input field reads: 'Tip: Search by Name, CRD Number or SSN here'.

OR

To conduct an **Advanced Search** for an individual, enter a combination of the Individual's **CRD#**, **SSN**, **Name**, **Firm Name**, **Firm CRD Number** and/or **States** and click the **Search** button.

CRD Individual Search

Simple Search **Advanced Search** Pre-Registration Search

Search by CRD Number

CRD Number:

Search by Social Security Number

SSN (xxx-xx-xxxx):

Search by Name

Name: ☐ Sounds Like

Firm Name: Firm CRD Number:

States:

- ☐ Alabama
- ☐ Alaska
- ☐ Arizona
- ☐ Arkansas
- ☐ California
- ☐ Colorado
- ☐ Connecticut
- ☐ Delaware
- ☐ District of Columbia

Search

Terminated Individual Search

A Simple or Advanced Search can be done for individuals that have been terminated from your firm. However, a pop-up message regarding viewing terminated individuals will display once per browser session when a terminated individual is viewed.

Terminated Individual Notice

REMINDER: FINRA recognizes the importance of safeguarding personal confidential data. FINRA protects against unauthorized access to that data in multiple ways and expects system users to complement those efforts. Please be aware that your access to the records of former associated persons is provided solely to assist you in satisfying your compliance obligations.

By selecting "Continue" I acknowledge that I am viewing this record solely for compliance purposes.

Continue **Cancel**

Click **Continue** to access the individual's record.

OR

To conduct a **Pre-Registration Search** for an individual, click the checkbox to acknowledge the reason for the search. The Pre-Registration Search feature allows a firm to search for an individual that is not currently associated with the firm but is being considered for employment. **Firms must obtain written consent from the individual prior to conducting a pre-registration Search.**

NOTES:

- Pre-Registration Searches include non-registered individuals who have enrolled for the SIE and other exams outside of Form U4, along with the results (if applicable).
- Pre-Registration Searches are not available to Investment Adviser-only firms.

CRD Individual Search	
Simple Search	Advanced Search
Pre-Registration Search	
Pre-Registration Search:	<input checked="" type="checkbox"/> By checking this box, I acknowledge that I am considering this person for registration or association with my firm. I further acknowledge that I have obtained and will keep on file this person's consent to review the information about him/her that is available through CRD for those purposes.

Enter the Individual's **CRD#, SSN** or **Name**. Enter the Individual's **SSN** and **Month/Day of Birth** and

CRD Individual Search	
Simple Search	Advanced Search
Pre-Registration Search	
Pre-Registration Search:	<input checked="" type="checkbox"/> By checking this box, I acknowledge that I am considering this person for registration or association with my firm. I further acknowledge that I have obtained and will keep on file this person's consent to review the information about him/her that is available through CRD for those purposes.
Search by CRD Number	
CRD Number:	<input type="text"/>
Search by Social Security Number	
SSN (xxx-xx-xxxx):	<input type="text"/>
Search by Name	
Name:	<input type="text"/>
Please provide the following information (required for Pre-registration search). 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"/>
Verify Month/Day of Birth (MM/DD):	<input type="text"/>
<p>WARNING: Conducting a Pre-registration search without the written consent of the person that is the subject of the search is a violation of the agreement governing your use of Web CRD (FINRA Entitlement Program Agreement and Terms of Use) and may result in termination of your access to Web CRD, FINRA disciplinary actions against you or your firm or other adverse consequences.</p>	
<input type="button" value="Search"/>	

Composite Information

This section is a summary of the individual's current administrative and employment information, disclosure counts, and CE status.

Composite Information					
Individual CRD#: 1111111		Individual Name: DOE, JOHN			
Full Legal Name	DOE, JOHN				
Social Security Number	xxx-xx-xxxx		View SSN		
Date Of Birth	09/12/1921				
Employment	Name	TRAINING FIRM (123)			
	Position	Investment Adviser Representative / Registered Representative			
	Independent Contractor	No			
	CRD Branch Number	FINRA OSJ	Address	Firm Billing Code	NYSE Branch Code Number
	BD Main - Located At		123 MAIN ST STE A CITY, STATE ZIP		
	219435 - Located At	Yes	123 MAIN ST STE A CITY, STATE ZIP		
IA Affiliation	Name	IA TRAINING FIRM (123)			
	Address	123 MAIN ST STE A CITY, STATE ZIP			
	IA Affiliation	Direct Owner Indirect Owner			
Residential Address	456 BROAD ST CITY, STATE ZIP				
Reportable Disclosures?	The specified individual has no disclosure that qualifies under this section (i.e., disclosure required to be reported on Form U4 or Form U5). Regulatory and Broker/Dealer Users: Please note that there are three types of disclosure in Web CRD: Reportable, Legacy and Archive disclosure. An individual with no reportable disclosure may or may not have Legacy or Archive disclosure. Investment Adviser Users: Please note that IARD does not include Legacy disclosure. Information reported on previous form filings through IARD is available under Filing History.				
Statutory Disqualification Status	Last Updated				
Has Material Difference in Disclosure?	No				
Current CE Status	Satisfied				
Disclosure Counts - Current Disclosures	Criminal 0	Regulatory Action 0	Customer Complaint 0	Other 0	
Disclosure Counts - Historical Disclosures	Criminal 0	Regulatory Action 0	Customer Complaint 0	Other 0	

NOTES:

- To view SSNs, requires View SSN entitlement. If you have this entitlement, to display the SSN, select **Click here to view SSN** button.
- To access detailed information on **Statutory Disqualification Status**, click the hyperlink.
- To access the description on **Current CE Status**, click the hyperlink.
- CRD will also indicate if an individual is currently on active military duty. Only yes answers are displayed. See screen shot below.

Full Legal Name	DOE, JOHN
Social Security Number	xxx-xx-xxxx View SSN
Date Of Birth	09/12/1921
Is the Individual on active military duty?	Yes

Employment History

The top table in this section displays the individual's Office of Employment Address history, as reported in the General Information section of Form U4 and U5 filings. The Office of Employment Address is the branch office the individual is/was Located At or Supervised From.

The bottom table displays the individual's last 10 years of employment information as reported in the Employment History section of the most recent Form U4 filing.

U4 Employment History								
Individual CRD#: 1111111				Individual Name: DOE, JOHN				
Office of Employment Address History								
From	To	Firm	CRD Branch Number	NYSE Branch Code Number	Firm Billing Code	Address	Type of Office	Private Residence
10/02/2006	Present	SECURITIES FIRM (0000)	000005			789 BROKER STREET BOSTON, MA 02116	Located At	No
06/30/2006	09/29/2006	SECURITIES FIRM (0000)	BD Main			456 SECURITIES LANE BOSTON, MA 02109-2608	Located At	No
09/14/1998	09/29/2006	INVESTMENT ADVISER (1111)	000004			123 MAIN STREET BOSTON, MA 02109-2608	Located At	No
Please note that data contained in the U4 EMPLOYMENT HISTORY SCREEN is updated only by a U4 and does not reflect any changes made by the filing of a U5.								
Employment History								
From	To	Name	Investment Related Business?	City	State	Country	Position	
09/2006	Present	SECURITIES FIRM	Y	BOSTON	MA	UNITED STATES	REGISTERED REPRESENTATIVE	
09/1998	09/2006	INVESTMENT ADVISER	Y	BOSTON	MA	UNITED STATES	COMPLIANCE OFFICER	
01/1998	09/1998	HARRY'S HARDWARE STORE	Y	BOSTON	MA	UNITED STATES	MANAGER	

Registrations Summary

This section links to registration information for an individual for both current and prior employers.

Click on the **Firm Name** hyperlink to view an individual's registration summary with a firm.

Registrations Summary							
Individual CRD#: 1111111				Individual Name: DOE, JOHN			
Current Firm(s):							
Registrations Summary With Current Employers							
Firm Name	Firm CRD	Start Date	IARD Regs.	CRD Regs.	SFG Member	Disciplined Firm	
SECURITIES FIRM	0000	01/2011	N	Y	N	N	
Prior Firm(s):							
Registrations Summary With Prior Employers							
Firm Name	Firm CRD	Start Date	End Date	IARD Regs.	CRD Regs.	SFG Member	Disciplined Firm
INVESTMENT ADVISER	1111	07/2010	01/2011	N	N	N	N

A list of registrations the individual holds or has held with the selected employer will display, along with the registration status with the regulator. For a description of all individual registration statuses click on the Registration Status column header

The Filing Date is the date on which the Form U4 filing requesting that registration was submitted. The Status Date is associated with the Registration Status field. The Approval Date is the date on which the registration first received an Approved-equivalent status (e.g. Approved Pending Prints, etc.).

To view status history and details for a registration, click on the **Registration Category** hyperlink. [See page 19](#) of this document for a list of possible Individual Registration Statuses.

Registrations with Current Employers					
Firm CRD # : 1111		Firm Name : SECURITIES FIRM			
Employment Start Date					10/02/2006
Regulatory Authority	Registration Category	Filing Date	Status Date	Registration Status	Approval Date
FINRA	GP	10/10/2006	10/10/2006	APPROVED	10/10/2006
FINRA	GS	10/10/2006	10/10/2006	APPROVED	10/10/2006
MA	AG	10/10/2006	10/10/2006	APPROVED	10/10/2006

The **Registration History Details** screen will display:

Regulatory Authority:		FINRA
Registration Category:		GS
Registration Status	Status Effective Date	
APPROVED	10/10/2006	
DEFICIENT	10/10/2006	

Disclosures

This section of View Individual displays information on current and historical Disclosure events that have been reported for this individual via Form U4. There are six types of disclosure questions on Form U4: criminal, regulatory, civil judicial, customer complaints, terminations and financial. Details for Disclosure events are reported via Disclosure Reporting Pages on Form U4.

Disclosure Terminology

Disclosure Term	Definition
Occurrence	A disclosure event that is reported to Web CRD via one or more Disclosure Reporting Pages (DRPs) and has been reviewed by a Disclosure Review Analyst. Each occurrence contains details regarding a specific disclosure event. More than one disclosure question may apply to a specific disclosure event. Therefore, there may be multiple “yes” answers for a particular occurrence. An occurrence can have as many as three sources reporting the same event: Forms U4, U5 and/or U6.
Reportable	An occurrence determined to be reportable in Web CRD via Forms U4 and/or U5.
Disclosable	An occurrence that is disclosed through FINRA BrokerCheck®.
Eligible for Public Disclosure	N/A. The data in this field is no longer used.
Material Difference in Disclosure	The Material Difference Flag applies to dually registered individuals (registered with multiple firms). This flag is set whenever a difference exists between the disclosures reported by the firms with which the individual is registered, in any of the factual Form U4 DRP fields for the same disclosure event. The flag may be set for all DRP fields except for the summary details/representative commentary field. The flag acts as a notification to the individual's employing firms and regulators.
Event Date	The date the event occurred as reported on the DRP.
First Reported	The date the event was first reported to CRD, i.e., the filing date of the Form U4, U5 or U6 DRP that first reported the event.
Final Resolution	Generally, the date the event was resolved as reported on the DRP.
Questions Answered	The specific question(s) answered in the affirmative in the Disclosure Question section of Forms U4 and/or U5 that pertain to a particular disclosure event/occurrence. The disclosure question(s) checked on the DRP should pertain to the disclosure event being reported on the DRP and correspond to the affirmative response(s) in the Disclosure Questions section of Forms U4 and/or U5.

Current Disclosure Summary

This screen displays a table of all disclosure events that were reported via Form U4 on one or more Disclosure Reporting Pages (DRPs). Events will only display on this screen after the DRP has been reviewed by a Disclosure Review Analyst.

Current Disclosure Summary									
Individual CRD#: 1111111				Individual Name: DOE, JOHN A					
Occurrence	Reportable/ Disclosable		Eligible for Public Disclosure	Material Difference in Disclosure	Composite Filing	Event Date	First Reported	Final Resolution	Questions Answered
Customer Complaint (595600)	Yes	Yes		No	U4-AMENDMENT Customer Complaint 01/05/2004 SECURITIES FIRM (0000)	10/15/2010	11/05/2010	02/03/2011	14I(1)(a),14I (1)(c)
Regulatory Action (595075)	Yes	Yes		No	U6-REGINDVL Regulatory Action 09/04/2002 FINRA U5-FULL Regulatory Action 09/09/2002 SECURITIES FIRM (0000) U4-AMENDMENT Regulatory Action 09/09/2002 SECURITIES FIRM (0000)	02/12/			
						02/12/			14E(2),14E (4)

The Occurrence ID Number or the
DRP Type (e.g., Regulatory
Action) hyperlink will allow you to
view the Disclosure Occurrence
Composite page. The Composite
page consists of the most recent
DRP submitted by each filing
source (i.e. Form U4, U5 and/or
U6) for that disclosure event.

The Filing Type hyperlink (e.g., U4-
AMENDMENT) will allow you to
view the last form filing that
reported the disclosure event. The
form filing includes all sections
submitted and not just the DRP.
You can also view the changes
submitted on that particular filing.

The Date hyperlink will
allow you to view all DRPs
(historical and current)
submitted for that
disclosure event with the
most recent DRP first.

What is Legacy Disclosure?

Legacy Disclosure is a static snapshot of the individual's disclosure as it existed in Legacy CRD prior to the implementation of Web CRD.

Web CRD was deployed in August 1999. Prior to the implementation of Web CRD, Legacy CRD was the system used to capture information submitted by the firms. In August 1999, FINRA converted Legacy disclosure records for only those individuals who had been "active" since November 1996.

Regulatory Archive and Z Records

This screen contains information specific to an individual's or firm's CRD record that is not or is no longer reportable via Forms U4 and Form U5. (Note: Archived disclosure may still be eligible to be displayed on BrokerCheck. FINRA Rule 8312 governs what is displayed on BrokerCheck. View the rule text [here](#).)

Examples of information contained in Regulatory Archive and Z Records (not all inclusive):

- Disclosure events that have passed the timeframe required to be reportable
- Historic Customer Complaints
 - FINRA Rule 8312 (b)(2)(G) defines Historic Complaints as the information last reported on Registration Forms relating to customer complaints that are more than two (2) years old and that have not been settled or adjudicated, and customer complaints, arbitrations or litigations that have been settled for an amount less than \$10,000 prior to May 18, 2009 or an amount less than \$15,000 on or after May 18, 2009 and are no longer reported on a Registration Form), provided that any such matter became a Historic Complaint on or after August 16, 1999.
- Written customer complaints and/or arbitrations/civil litigations in which the rep is the subject of the complaint (but not named in the arbitration or civil litigation) (i.e., 1413 and 1415) that were filed more than 24 months ago, and are withdrawn, dismissed, closed without action or settled for less than the threshold amount.
- Certain events that are deemed non-reportable by the disposition, such as:
 - Satisfied judgment/liens
 - Dismissed or denied arbitrations or litigations
 - Arbitrations/litigations settled for less than \$10,000 prior to 05/18/2009
 - Arbitrations/litigations settled for less than \$15,000 on or after 05/18/2009
 - Regulatory events closed without action

?

Printer Friendly

Regulatory Archive and Z Records

Individual CRD#: 1111111

Individual Name: DOE, JOHN A

Occurrence	Reportable/ Disclosable		Eligible for Public Disclosure	Material Difference in Disclosure	Composite Filing	Event Date	First Reported	Final Resolution	Questions Answered
Regulatory Action (595194)	No	No		No	U4- AMENDMENT Regulatory Action 09/25/2002 (0000)	09/09/2001	09/25/2002	04/19/2002	14E(4)

Criminal History Record Information (CHRI)

Firms do not receive hard copy fingerprint card search results. Instead, firms receive the dispositions, including CHRI details, electronically. This Disclosure section allows entitled users to view CHRI details for an individual.

NOTE: The CHRI hyperlink will only display on the navigation panel if your Web CRD user account is entitled to view CHRI. Contact your firm's Super Account Administrator regarding user entitlement questions.

CHRI Terms and Conditions

CHRI Terms And Conditions

NOTICE: You have requested access to FBI-maintained Criminal History Record Information (CHRI), which includes information collected by criminal justice agencies on individuals consisting of identifiable descriptions and notations of arrests, indictments, informations, or other

Accept

View Disclosures

- Back To Previous Menu
- Current Disclosures
- Legacy Disclosures
- Reg. Arc and Z Rec.
- CHRI**
- Disclosure Letter History
- U4 Summary Questions

Disclosure Letter History

This section displays a history of inquiry and deficiency letters sent by FINRA's Disclosure Review Analysts regarding the individual's reported occurrences. Firms are notified of an outstanding or unresolved Disclosure inquiry or deficiency via the Outstanding Disclosure Letters queue and optional e-mail notification.

Firms performing a pre-registration search on an individual will be able to view unresolved disclosure letters (non-CHRI) that were sent to the individual's current firm.

Click on the date hyperlink to view the letter details.

Disclosure Letter History

Individual CRD#: [1111111](#) Individual Name: DOE, JOHN A

Unresolved Letters					
Date Sent	Letter Type	Occurrence ID	Disclosure Type	Firms Sent To	
08/15/2011	Inquiry	595358	Criminal	Unresolved	SECURITIES FIRM (0000)
07/13/2011	Inquiry	595620	Customer Complaint	Unresolved	SECURITIES FIRM (0000)

Resolved Letters					
Date Sent	Letter Type	Occurrence ID	Disclosure Type	Firms Sent To	
07/30/2003	Inquiry			Resolved	SECURITIES FIRM (0000)
07/30/2003	Deficiency			Resolved	SECURITIES FIRM (0000)

Exam Information

This section includes all current and historical exam information and if applicable exam waiver information.

The **Exam Appointments** section displays exams that have open begin/end window dates and exams that have appointments scheduled. Exams with scheduled appointments will also show the appointment date and vendor.

The **Exam History** section displays exams that have been taken.

Pass results will not display scores. Non-passing exam results (Fail, No Show, etc.) and scores will display only until an exam of Pass is received. After that, all prior non-passing results for that exam will not display.

Exam Validity indicates if a passed/waived exam is still valid for registration purposes, including a future expiration date (if applicable). Select the Exam Validity link to view the status and description.

The **Waiver** section displays any waivers that have been granted.

Exam Information									
Individual CRD#: 1111111			Individual Name: DOE, JOHN						
Exam Appointments									
Exam	Enrollment ID	Appointment Status	Appointment Date	Vendor	Confirmation Number	Vendor Center ID	Location	Window Begin Date	Window End Date
S63	36665256							04/20/2018	08/18/2018
Exam History									
Exam	Enrollment ID	Exam Status	Status Date	Exam Date	Grade	Score	Window Begin Date	Window End Date	Exam Validity
SIE	37394356	Credit	08/09/2018						Valid
S7	24626946	Official Result	02/15/2013	02/14/2013	Passed		01/12/2013	05/12/2013	Valid
S65	24626935	Official Result	06/22/2011	04/20/2011	Passed				Expired
S66	24626936	Window Expired	11/18/2002				07/18/2002	11/15/2002	N/A

NOTE: Passing an exam does not indicate that the individual has been approved for the corresponding registration category. Review the Registration Summary to see current registration statuses.

Continuing Education

This section displays current and historical Continuing Education (CE) information for an individual. Information displayed includes the individual's CE Status, Base Date, and upcoming CE Requirement window. If the individual has open CE window dates and have made an appointment, the detailed appointment information will also display (i.e appointment date, vendor, location, etc)

Registered persons must participate in the Regulatory Element within 120 days of the second anniversary of their initial securities registration approval and every three years. Incurring a significant disciplinary action results in a requirement to complete the Regulatory Element within 120 days of the effective date of the significant disciplinary action. The individual's CE Base Date will then be adjusted to reflect the effective date of the significant disciplinary action rather than the initial securities registration approval date.

Continuing Education requirements do not apply to Investment Adviser-only representatives. For additional information regarding the Continuing Education Program go to the CE Council Web site: www.cecouncil.com.

View Individual defaults to the **Current CE Regulatory Element Status** screen.

Current CE Regulatory Element Status										
Individual CRD #: 111111			Individual Name: DOE, JOHN							
Individual CE Information										
Current CE Status					REQUIRED					
CE Base Date					02/20/2009					
Session Type					201					
CE Appointments										
Session	Enrollment ID	Appointment Status	Appointment Date	Vendor	Confirmation Number	Vendor Center ID	Location Window Dates			
201	34769785	In Progress 0 of 4 Modules Completed		Web Delivery Last accessed on : 02/28/2017				02/20/2017 - 06/19/2017		
Current CE Requirements										
Requirement Type		Enrollment ID	Session	Status	Status Date	Window Dates		Result	Foreign Deferred	Military Deferred
Anniversary		34769785	201	REQUIRED	02/20/2017	02/20/2017 - 06/19/2017			N	N
Next Requirement										
Window Dates		Enrollment ID		Requirement Type					Session Type	
02/20/2020 - 06/18/2020		36023764		Anniversary					201	

To view a history of CE anniversary and disciplinary requirements, select the CE History link from the navigation panel.

CE History									
Individual CRD#: 111111			Individual Name: DOE, JOHN						
Individual CE Information									
Current CE Status					REQUIRED				
CE Base Date					02/20/2009				
Session Type					201				
Previous Requirement									
Requirement Type	Enrollment ID	Session	Status	Status Date	Window Dates	Result	Foreign Deferred	Military Deferred	
Anniversary	33265257	201	SATISFIED	03/01/2014	02/20/2014 - 06/19/2014	CMPLT - 03/01/2014	N	N	
		201	REQUIRED	02/20/2014	02/20/2014 - 06/19/2014		N	N	
Inactive History									
No CE Inactive History Found									
Directed CE History									
No Directed Sequence History Found									

Fingerprint Cards

This section displays all current and historical fingerprint card information. Firms can only access fingerprint information for individuals currently employed by that firm.

To view the history of the fingerprint card, click the **Bar Code** hyperlink.

The status date is the date the fingerprint status was changed.

To view the description of the Status, click the **Status** hyperlink.

NOTE: To view the FBI response to fingerprint card submissions, users need to have View Fingerprint Statuses (BD-Only) entitlement. Users without this entitlement will not see the FBI response. The response will be masked with "XXXX".

Fingerprint Cards						
Individual CRD#: 1111111			Individual Name: DOE, JOHN			
Firm Name	BarCode	Received Date	Status Date	Status	BarCode Re-Associated	
TRAINING FIRM (0000)	9923119357	03/13/2002	03/15/2002	XXXX	N	

A **Show Statuses** button will display for users that have **View Fingerprint Statuses (BD-Only)** entitlement. Click the button to view the FBI response. The system audits the use of the **Show Statuses** button.

Fingerprint Cards						
Individual CRD#: 1111111			Individual Name: DOE, JOHN			
Firm Name	BarCode	Received Date	Status Date	Status	Show Statuses	BarCode Re-Associated
TRAINING FIRM (0000)	9923119357	03/13/2002	03/15/2002	XXXX		N

Fingerprint Cards (cont.)

When the button is selected, the user will be presented with **Fingerprint CHRI Terms and Conditions**. Click **Accept**.

Fingerprint CHRI Terms and Conditions

NOTICE: You have requested access to FBI-maintained Criminal History Record Information (CHRI), which includes information collected by criminal justice agencies on individuals consisting of identifiable descriptions and notations of arrests, indictments, informations, or other formal criminal charges (and any disposition arising therefrom) sentencing, correctional supervision, and release.

Under provisions set forth in 28 C.F.R. § 50.12, both governmental and nongovernmental entities authorized to submit fingerprints and receive FBI identification records must notify the individuals fingerprinted that the fingerprints will be used to check the criminal history records of the FBI. Identification records obtained from the FBI may be used solely for the purpose requested and may not be disseminated outside the receiving department or related agency. Only current CHRI may be used to deny a license or registration. If the information on the record is used to disqualify an applicant, the official making the determination of suitability for licensing or employment must provide the applicant the opportunity to complete, or challenge the accuracy of, the information contained in the FBI identification record. The deciding official should not deny the license or employment based on the information in the record until the applicant has been afforded a reasonable time to correct or complete the information, or has declined to do so. An individual should be presumed not guilty of any charge/arrest for which there is no final disposition stated on the record or otherwise determined. If the applicant wishes to correct the record as it appears in the FBI's Criminal Justice Information Services Division records system, the applicant should be advised that the procedures to change, correct or update the record are set forth in 28 CFR § 16.34.

FINRA uses and disseminates CHRI pursuant to U.S. Federal Bureau of Investigation (FBI) authority (28 U.S.C. § 534) and U.S. Securities and Exchange Commission (SEC) authority (Section 17(f)(2) of the Securities Exchange Act of 1934). Use of this information is governed by federal and state regulations and is subject to the following conditions:

- (1) only statutorily (federal and/or state) authorized recipients may view CHRI;
- (2) authorized recipients may view CHRI only for appropriate regulatory purposes;
- (3) authorized recipients may not deny a license or employment based on the information in the record until the subject has been afforded a reasonable time to correct or complete the information, or has declined to do so;
- (4) authorized recipients may not disseminate CHRI absent appropriate statutory authority, and
- (5) any person or entity violating federal or state regulations governing access to or use of CHRI may be subject to criminal and/or civil penalties.

Violation of federal or state regulations governing access to or use of CHRI may result in termination of an organization's Web CRD access to CHRI.

By clicking the button below and proceeding to view this individual's CHRI, I certify that I have read and understand all of the terms set forth above and that I am, or my employer is, an authorized recipient of CHRI pursuant to federal and, if applicable, state statutory authority and I am viewing this information for an appropriate regulatory purpose. I understand that I may use only current CHRI to deny a license or registration. I agree to abide by all of the terms and conditions stated above and acknowledge that unauthorized use or dissemination of CHRI may result in the imposition of criminal and/or civil penalties and/or the termination of my organization's Web CRD access to CHRI.

The FBI response will display:

Printer Friendly

Fingerprint Cards

Individual CRD#: 111111
Individual Name: DOE, JOHN

Firm Name	BarCode	Received Date	Status Date	Status	BarCode Re-Associated
TRAINING FIRM (<u>0000</u>)	<u>9923119357</u>	03/13/2002	03/15/2002	CLER	N

NOTE: Only users with View Fingerprint Statuses (BD-Only) entitlement will see the FBI response. Users without this entitlement will see the FBI response masked with "XXXX".

[See page 24](#) of this document for a list of possible Fingerprint Card Statuses.

Registration Comments

This section displays any registration related comments entered by FINRA on behalf of the firm to explain Date of Termination and/or Reason for Termination related anomalies on an individual's record. Firms now have the ability to amend the Date of and Reason for Termination via a Form U5 Amendment filing. Therefore, as of May 18, 2009 Registration Comments are no longer accepted. Registration Comments that were submitted prior to May 18, 2009 will continue to display in View Individual.

To view the **Registration Comment**, click on the **Date Created** hyperlink.

Registration Comments			
Individual CRD#: 1111111		Individual Name: DOE, JOHN A	
Date Created	Title	Creator	Last Update
09/20/2002	TERMINATION DATE	FINRA	09/20/2002

Registration Comments	
Individual CRD#: 1111111 Individual Name: DOE, JOHN A	
Created:	09/20/2002
Creator:	FINRA
Last Updated:	09/20/2002
Title:	TERMINATION DATE
Type:	Registration Comment
Note:	THE CORRECT DATE OF TERMINATION FROM 0000 SHOULD BE 9/08/2002.

Individual Pre-Registration Qualifications

This section displays registration qualifications for individuals currently registered with the firm or seeking registration with them. Information displayed includes the individual's Regulator and Jurisdiction Registration Qualifications and Individual CE information.

To view Individual Pre-Registration Qualifications information enter the **Expected Form U4 Submission Date** and click **Submit**.

Individual Pre-Registration Qualifications Report

Individual CRD #: 1111111 Individual Name: DOE, JOHN
 Expected Form U4 Submission Date: 3/23/2017 [New Search](#)

Eligible SRO Registrations (Qualifications-Based Assessment)

Listed below are SRO registrations for which the above candidate may be eligible without having to take and pass an appropriate qualification examination if a Form U4 is filed on the date entered above for the candidate. The eligible registrations are based solely on selected qualification information available in the CRD system regarding the candidate and your firm. The eligible registrations do not account for deficiencies outside of qualifications (e.g., funds or disclosure). This report is designed to assist your firm in the pre-registration process; it should not be relied on as a guarantee of a successful registration. Your firm is responsible for determining the status of the candidate at the time of application for registration.

Click [here](#) for more information about the qualification registration codes.

Regulator	Principal Registrations	Representative Registrations
FINRA	PG, SU	CD, CN, CS, DR, GS, IE, IR, MR, OR, OS, PR, RG
BOX Options Exchange LLC	SU	CD, CN, GS, IE, OR
Bats BYX Exchange, Inc.		CD, CN, GS, IE
Bats BZX Exchange, Inc.		CD, CN, GS, IE
Bats EDGA Exchange, Inc.	SU	CD, CN, GS, IE
Bats EDGX Exchange, Inc.	SU	CD, CN, GS, IE
C2 Options Exchange, Incorporated	SU	CD, CN, GS, IE
Chicago Board Options Exchange	SU	CD, CN, GS, IE
Chicago Stock Exchange	SU	CS, DR, GS, MR, OR
ISE Gemini, LLC	BM	CD, GS, IE
ISE Mercury, LLC	BM	CD, GS, IE
International Securities Exchange	BM	CD, GS, IE
Investors' Exchange LLC		CD, CN, GS, IE
MIAX PEARL, LLC	SU	CD, CN, GS, IE
Miami International Securities Exchange, LLC	SU	CD, CN, GS, IE
NYSE Arca, Inc.	SU	CD, CN, GS, IE
NYSE MKT LLC	BM, SM	CD, CN, CS, DR, GS, IE, IR, MR, PR
Nasdaq BX, Inc.	SU	GS, IE, OR
Nasdaq PHILX LLC	SU	GS, IE
Nasdaq Stock Market	SU	CD, CN, CS, GS, IE, IR, OR
New York Stock Exchange	BM, SM	CD, CN, CS, DR, GS, IE, IR, MR, PR

Eligible Jurisdiction Licenses/Registrations

Listed below are jurisdiction licenses/registrations for which the above candidate may be eligible without having to take and pass an appropriate qualification examination if a Form U4 is filed on the date entered above for the candidate. The eligible licenses/registrations are based solely on selected qualification information available in the CRD system regarding the candidate and your firm (including the jurisdictions in which your firm is currently registered). The eligible licenses/registrations do not account for deficiencies outside of qualifications (e.g., funds or disclosure) or for initial application review by a jurisdiction. Please note that some jurisdictions may have different requirements for [AG](#) and [RA](#) registration or may not permit dual registration.

Jurisdiction Registrations	
Agent (AG)	Yes
Investment Adviser Representative (RA)	No

Individual Continuing Education (CE) Information

This section displays the current CE information of the above candidate. Your firm is responsible to determine what CE requirements will apply to this individual on the anticipated date of the U4 filing.

Individual CE Information	
Current CE Status	REQUIRED
CE Base Date	02/20/2009
Session Type	201

Current CE Requirements							
Requirement Type	Enrollment ID	Session	Status	Status Date	Window Dates	Result	Foreign Military Deferred Deferred
Anniversary	34769785	201	REQUIRED	02/20/2017	02/20/2017 - 06/19/2017		N N

NOTE: The date entered cannot be a past date or exceed 60 days into the future.

To clear the screen, click New Search, enter the **Expected Form U4 Submission Date** and click **Sub-**

Individual Pre-Registration Qualifications

Individual CRD #: 1111111 Individual Name: DOE, JOHN
 Expected Form U4 Submission Date: [New Search](#)

Individual Registration Statuses

Status	Status Code	Description
Abandoned	ABANDONED	A manually set status that indicates that information for an individual has not been submitted to a state within the time period specified by the state. The individual cannot conduct business.
Administrative Termination	ADMTERM	A status that has been set pursuant to a termination for administrative reasons (i.e. Mass Terminations).
Approved	APPROVED	A status indicating the registration is approved by the regulator.
Approved Pending Prints	APPRNT	<p>A status indicating a fingerprint card is required by FINRA. This status is set when:</p> <ol style="list-style-type: none"> 1. The fingerprint bar code has been entered at the time of the electronic filing and the fingerprint card has not yet been received by FINRA. 2. The FBI Disposition for the 1st or 2nd fingerprint submission was classified as "ILEG" and a new fingerprint card is required. <p><i>This status does not apply to Investment Adviser Representative (RA) registration.</i></p>
Approved Pending Results	APRSLTS	<p>A status indicating the fingerprint card has been received and forwarded to the FBI for results.</p> <p><i>This status does not apply to Investment Adviser Representative (RA) registration.</i></p>
Bar	BAR	A status reflecting that an individual has been prohibited from membership, participation in or association with a member.
Deficient	DEFICIENT	This status indicates that the registration is deficient and further action needs to occur prior to approval.
Inactive - Continuing Education	CE_INACTIVE	<p>This status is set when the individual does not satisfy his/her CE requirement during their CE window, which is opened by the system based on the individual's CE Base Date.</p> <p><i>This status does not apply to Investment Adviser Representative (RA) registration.</i></p>
Restricted Approval	APPROVED_RES	This status indicates that the registration is restricted in some manner to the kind of business that is being transacted.
Termed CE Two Year Inactive	CE2_YEAR_TRMD	<p>A status that is set after an individual has been Inactive Continuing Education for two years.</p> <p><i>This status does not apply to Investment Adviser Representative (RA) registration.</i></p>

Individual Registration Statuses (Continued)

Status	Status Code	Description
Denied	DENIED	A status set indicating the refusal of a request for registration by way of a formal action. This status is reflected for requests which had a status of PENDING or DEFICIENT.
Terminated Failure to Renew	FTR	A status set when an individual's firm fails to renew with a jurisdiction, and the registration has been approved.
Inactive - Prints	INACTIVE_PRINTS	A status indicating the individual had a status of Approved Pending Prints and a fingerprint card was not received by CRD within 30 days from the initial application. <i>This status does not apply to Investment Adviser Representative (RA) registration.</i>
Termed Mass Transfer	MASS_TRNSF	This status is set when a Mass Transfer occurred and the registration status was approved.
Pending	PENDING	This status is set when the registration requires manual approval.
Purged	PURGED	A status set when the initial registration request exceeds the allowed deficiency time period.
Rejected	REJECTED	A status set; generally based on a technicality (e.g. exam not taken, or other requirements not satisfied). It is usually set in response to a request for registration (that usually has a current status of PENDING or DEFICIENT).
Requalification	REQUAL	This status is set when an individual must re-qualify for that registration.
Termination Requested	REQUEST_TERM	This status is set when a U5 is filed and means that the registration requires manual termination.
Revoked	REVOKED	A status which is set reflecting revocation of an individual's license.
Suspended	SUSPENSION	A status indicating that an individual's registration has been suspended
Termed-Did Not Mass Transfer	T_NOMT	A status set by the system on approved registrations selected for a Mass Transfer that did not transfer because of a transfer block.
Terminated No Reg.- Did Not Mass Transfer	T_NOMTNOREG	A status set by the system on non approved registrations selected for a Mass Transfer that did not transfer because of a transfer block.

Individual Registration Statuses (Continued)

Status	Status Code	Description
Termed Without Registration	T_NOREG	A status indicating the previous registration status was Deficient, Pending or Purged.
Termed Without Registration during Renewals	T_NOREG_FTR	This status set when an individual's firm fails to renew with a jurisdiction, and the registration has not yet been approved.
Termed Without Registration during a Mass Transfer	T_NOREG_MT	This status is set when a Mass Transfer occurred and the registration status was pending or deficient.
Terminated Without U5	T_NOU5	This status is set by a regulator
Temporary Withdrawal	TEMP_WD	A system generated status that displays when a Temporary Registration is withdrawn and updated to Pending. The original status line will indicate the approval time period with a status of TEMP_WD indicating that the temporary registration was withdrawn, while the second status line will display the new Pending status. If the Pending status is subsequently terminated the final status would be T_NOREG.
Temporary Registration	TEMPREG	This status is set when an individual requests a temporary license (only available when relicensing) and the individual has new or updated disclosure since their last approved registration.
Termed	TERMED	This status is set when a U5 is filed and means that the registration is terminated.
Transition Filed In Error	TRANS_ERROR	This status is set when a transition is submitted in error.
Transition Requested	TRANS_RQST	This status is set when a transition is submitted and means that the registration is in transition.
Transition Terminated	TRANS_TERM	This status is set when a transition is submitted and a U5 filing is submitted terminating the registration prior to the state acting on the Transition Requested status.

Individual Registration Deficiencies

Status	Description
CE Inactive	A deficiency indicating that the individual has not taken his/her CE session within his/her requirement window. <i>This deficiency does not apply to Investment Adviser Representative (RA) registration.</i>
Disclosure Review	A deficiency indicating that the individual has new or updated disclosure that requires review by FINRA. <i>This deficiency does not apply to Investment Adviser Representative (RA) registration.</i>
Dual	A deficiency indicating that the individual has requested registrations with a state that does not allow concurrent registration with two or more unaffiliated firms.
Dual AG/RA	A deficiency indicating that the individual has requested registrations with a state that does not allow concurrent registration as a broker-dealer agent (AG) and an investment adviser representative (RA) with different firms.
Exam	A deficiency indicating that the individual has an exam requirement for approval prior to being approved.
Fingerprint	A deficiency indicating that the individual selected the second fingerprint option in the electronic Form U4, however, the individual did not meet the criteria for the second option selection. <i>This deficiency does not apply to Investment Adviser Representative (RA) registration.</i>
Firm Suspended	A deficiency indicating that the firm has been suspended and therefore the individual must cease doing business.
Foreign	A deficiency indicating that the individual falls within a foreign jurisdiction and needs some requirement to become approved in a jurisdiction. <i>This deficiency does not apply to Investment Adviser Representative (RA) registration.</i>
Funds	A deficiency indicating that the firm is Funds Deficient. The individual cannot be approved unless the firm becomes Funds Sufficient.
FINRA	A deficiency indicating that the individual must first be FINRA approved prior to being approved in a Jurisdiction. <i>This deficiency does not apply to Investment Adviser Representative (RA) registration.</i>
AR Registration	A deficiency indicating that the individual requested an AR registration when the individual is already approved in another capacity, or that the individual requested another position while holding an approved AR registration. (No other positions can be held in conjunction with the AR). <i>This deficiency does not apply to Investment Adviser Representative (RA) registration.</i>

Individual Registration Deficiencies (Continued)

Status	Description
FA Registration	<p>A deficiency indicating that the individual requested an FA registration when the individual is already approved in another capacity, or that the individual requested another position while holding an approved FA registration. (No other positions can be held in conjunction with the FA)</p> <p><i>This deficiency does not apply to Investment Adviser Representative (RA) registration.</i></p>
Pending Firm Approval	<p>A deficiency indicating that the Regulator has not yet approved the firm. An individual can only do business through an approved firm.</p>
Position	<p>A deficiency indicating that the individual must request a corresponding position for an exam.</p> <p><i>This deficiency does not apply to Investment Adviser Representative (RA) registration.</i></p>

Fingerprint Card Statuses (Does not apply to Investment Adviser-only (RA) registrations)

Fingerprint Card Status	Description
CDPD	Firm provided barcode on form filing, and FINRA is awaiting receipt of fingerprints for processing.
CLER	FBI result indicating No Data was identified for fingerprints submitted.
CLRXX	FBI result indicating No Data was identified based on Name Check search.
COMP	FINRA staff has completed review of CHRI identified by the FBI in response to fingerprints submitted.
CMPX	FINRA staff has completed review of CHRI identified by the FBI following Name Check search.
EXCX	FBI result indicating no match after Name Check search due to excessive candidates.
ILEG	FBI result indicating fingerprints submitted were determined to be illegible (by the FBI).
LGCY	Fingerprint status provided prior to August 1999 conversion to Web CRD.
NMCK	Individual is undergoing a Name Check search based on FBI determination that previous fingerprint submissions were illegible.
RAPP	FBI result indicating CHRI was identified for fingerprints submitted.
RAPX	FBI result indicating CHRI was identified based on a Name Check search.
RECC	Fingerprints received at FINRA and forwarded to the FBI for processing.
RECD	FINRA received fingerprint card that is missing information required for processing.
RECP	Fingerprints were processed through another Self Regulatory Organization (SRO) and the FBI identified No Data.
RECR	Fingerprints were processed through another SRO and CHRI was identified.
RECT	A third fingerprint record was submitted to the FBI because fingerprints previously submitted were illegible.
RECV	A second fingerprint record was submitted to the FBI because fingerprints previously submitted were illegible.
RECX	Fingerprints were received and processed by FINRA.
REJT	Fingerprints were rejected by the FBI because required information was missing.
TERM	Fingerprint record reflects termination based on form filing or other process.
XMPT	Individual is exempt from fingerprinting requirement (SEA Rule 17f-2) based on illegible prints or other criteria in Rule 17f-2.