



Classic CRD

View Organization

About View Organization

View Organization is the “Read Only” function in CRD that provides entitled users with the capability of viewing information about registered organizations. Within View Organization, firms and regulators can access information that was submitted through the Initial Form BD, Form BD Amendment filings, and BDW filings.

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.

Additionally, some organization 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.

Contents:

- [Logging in Through FINRA Gateway](#) (pg. 2)
- [Viewing Firm Profile in FINRA Gateway](#) (pg.3)
- [Viewing Organization Registration Status](#) (pg. 4)
- [Registration Statuses](#) (pg. 5)
- [Viewing Organization Direct Owners/Executive Officers or Indirect Owners](#) (pg. 7)
- [Viewing Organization Disclosures](#) (pg. 8)
- [Viewing Organization Filing History](#) (pg. 12)
- [Viewing Organization Deficiencies](#) (pg. 15)
- [Registration Deficiencies](#) (pg. 18)

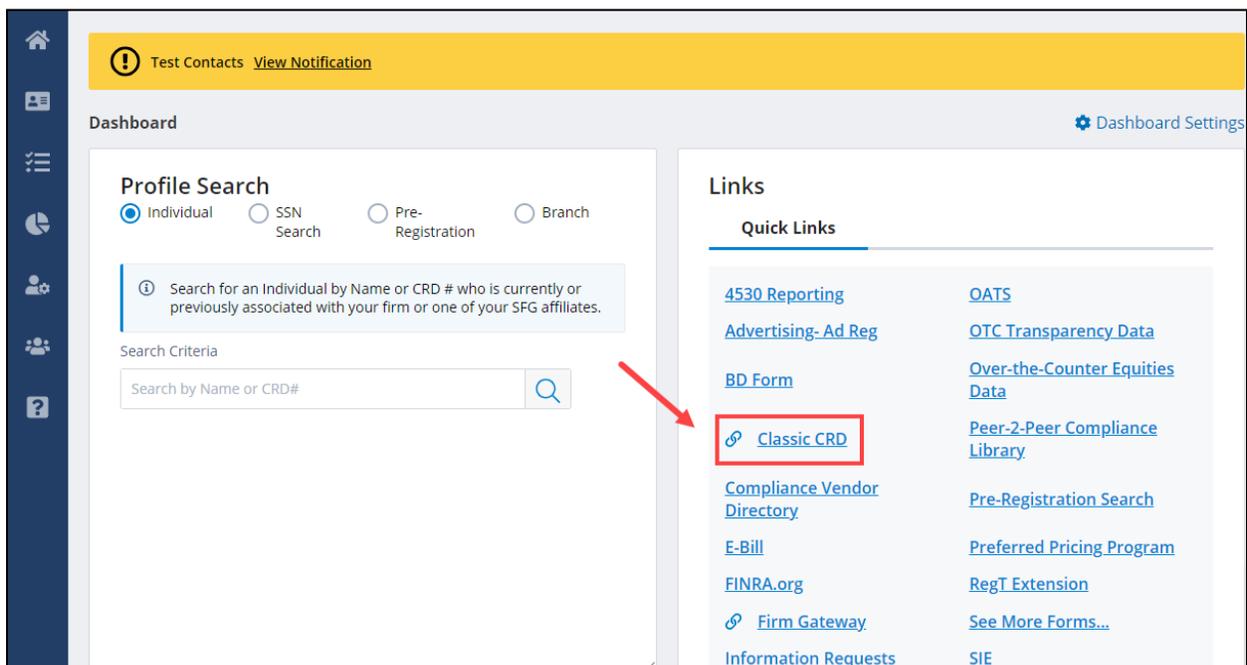
Need help with CRD? Call the FINRA Gateway Call Center at **301-869-6699**
8 A.M. - 8 P.M., ET, Monday through Friday.

Logging in Through FINRA Gateway

As of August 21, 2021, the previously used Firm Gateway homepage has been retired and users should access all registration applications via the new [FINRA Gateway](#). 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.



The screenshot displays the FINRA Gateway dashboard. At the top, there is a yellow notification bar with a warning icon and the text "Test Contacts View Notification". Below this is a "Dashboard" header with "Dashboard Settings" on the right. The main content area is divided into two sections. On the left is the "Profile Search" section, which includes radio buttons for "Individual" (selected), "SSN Search", "Pre-Registration", and "Branch". Below these is a search criteria input field with the placeholder text "Search by Name or CRD#" and a search icon. On the right is the "Links" section, titled "Quick Links", which contains a grid of various links. The link "Classic CRD" is highlighted with a red box and a red arrow pointing to it from the search criteria field. Other links in the grid include "4530 Reporting", "Advertising- Ad Reg", "BD Form", "Compliance Vendor Directory", "E-Bill", "FINRA.org", "Firm Gateway", "Information Requests", "OATS", "OTC Transparency Data", "Over-the-Counter Equities Data", "Peer-2-Peer Compliance Library", "Pre-Registration Search", "Preferred Pricing Program", "RegT Extension", "See More Forms...", and "SIE".

Viewing Firm Profile in FINRA Gateway

Access firm profile information by selecting the **Profiles** link in FINRA Gateway and clicking **View BD Profile** on the following screen.

The screenshot shows the FINRA Gateway dashboard for a firm named "FINRA DEMO FIRM (CRD: 3000005)". The top navigation bar includes a "SEND FEEDBACK" button, a "Profile Search" search bar, and a notification bell icon. A yellow banner at the top left contains a warning icon and the text "Test Contacts [View Notification](#)". The left sidebar has a "Profiles" link highlighted with a red box and a red arrow pointing to it. The main content area is titled "Dashboard" and includes a "Profile Search" section with radio buttons for "Individual" (selected), "SSN Search", "Pre-Registration", and "Branch". Below this is a search criteria input field with the placeholder text "Search by Name or CRD#" and a search icon. To the right is a "Links" section with a "Quick Links" sub-section containing several links: "4530 Reporting", "BD Form", "Classic CRD", "Compliance Vendor Directory", "NRF Form", "OTC Transparency Data", "Over-the-Counter Equities Data", and "Peer-2-Peer Compliance Library".

The screenshot shows the firm profile page for "FINRA DEMO FIRM (CRD#3000005)". The page is divided into two main sections: "Broker Dealer" and "Investment Adviser". The "Broker Dealer" section includes the following information: "Registration Status" (SEC Status Approved as of 08/03/2020), "BD SEC #" (8-null), and "Main Address" (1234 IMAGINARY LANE, RESTON, VA 20190). The "Investment Adviser" section includes: "CIK Number" (-), "IA SEC #" (801-500093), and "Main Address" (1234 IMAGINARY LANE, RESTON, VA 20190). At the bottom of the "Broker Dealer" section, there is a link "View BD Profile" highlighted with a red box and a red arrow pointing to it. At the bottom of the "Investment Adviser" section, there is a link "View IA Profile".

To view the firm's information in Classic CRD, select the **View Full Profile** link in the upper-right.

The screenshot shows the top portion of the firm profile page for "FINRA DEMO FIRM (CRD#3000005)". The top navigation bar includes a "View Full Profile" link highlighted with a red box and a red arrow pointing to it, and a "Download Profile" link. Below the navigation bar, there are statistics: "76 Registrations", "4 Deficiencies", "1 Owners", and "0 Disclosures".

Viewing Organization Registration Status

Select **Registration Status** on the navigation bar.



To view Organization Registration Status History, click on the desired **SEC/SRO/Jurisdiction** hyperlink.

View Organization		Organization Registration Status	
• Applicant Information	Organization CRD#: 0000	Organization Name: SECURITIES FIRM	
• Registration Status	Organization SEC#:	Applicant Name: SECURITIES FIRM	
• Legal Status	View IA Record		
• Answers to Questions	SEC / SRO / Jurisdiction	Registration Status	Status Effective Date
• Types of Business	SEC	Approved -	04/26/1941
• Direct Owners/Executive Officers	FINRA	Approved -	10/16/1939
• Indirect Owners	NOX	Approved -	07/12/2006
• Other Business Names	ARCA	Terminated -	03/10/1993
• Other Business Description	AL	Approved -	10/23/1981
	AK	Approved -	06/26/1986

You can then see the history of the desired SEC/SRO/Jurisdiction

Organization Registration Status History			
Organization CRD#: 0000		Organization Name: SECURITIES FIRM	
Organization SEC#:		Applicant Name: SECURITIES FIRM	
View IA Record			
SRO/SEC/Jurisdiction	Registration Status	Status Effective Date	Changed By
FINRA	APPROVED	10/16/1939	USERID

Registration Statuses

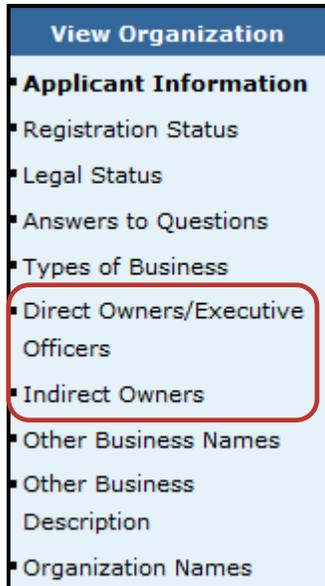
Registration Status Type	Description	Regulator
Abandoned	A status used by the SEC and states to indicate a BD application is no longer active. This occurs when the SEC registration request has been in a HOLDING status for more than a year or when information for the firm has not been submitted to a state within the time period specified by the state. The firm cannot conduct business.	SEC, State
Approved	A status indicating the registration is approved.	SEC, FINRA, SRO, State
Cancelled	A status indicating the registration was cancelled. Cancellations generally occur when a firm fails to meet certain regulatory obligations (e.g., failure to pay fees, failure to file reports, etc.).	SEC, FINRA, SRO, State
Conditional Pending SRO Approval	A status used by the SEC to indicate its review of the BD application is complete and the SEC registration approval is contingent on the firm being approved by an SRO.	SEC
Conditional Restricted	A status indicating the registration is approved but with limits, conditions or restrictions.	SRO, State
Denied	A status indicating the registration request was denied.	SEC, FINRA, SRO, State
Expelled	A status indicating the registration has been expelled based on a disciplinary decision or unpaid fees.	SEC, SRO, State
Failed to Renew	A status indicating the firm was terminated for not paying renewal fees.	State
Holding	An initial SEC status set by a BD form filing indicating a BD application has been submitted and is pending review.	SEC
Limited	A status indicating the registration is approved but with limits, conditions or restrictions.	SRO, State
Liquidated	A status indicating a SIPC liquidation of a firm.	FINRA, SRO, State
No Status	An initial jurisdiction/SRO status set by a BD form filing indicating a BD application has been submitted and is pending review.	SRO, State
Pending Approval	An initial FINRA status set by a BD form filing indicating a BD application has been submitted and is pending review. This status is also used by regulators to reflect a pending registration request.	SEC, FINRA, SRO, State
Pending Withdrawal	A status set by the SEC after reviewing a BDW filing and determining that the filing is complete and will become effective within 60 days. The firm's registration remains approved until the withdrawal is made effective.	SEC
Postponed Effective	A status set by the SEC indicating it has delayed the effectiveness of a registration approval or termination request.	SEC
Receivership	A status indicating that a firm is in SIPC receivership. This status that can be applied to firms that are Active or Approved Equivalent. The Receivership status is a non-renewable status.	FINRA

Registration Statuses (Continued)

Revoked	A status indicating the registration status was rescinded due to a revocation order.	FINRA, SRO
Suspended	A status indicating that a firm's registration has been suspended.	FINRA, SRO, State
Terminated	A status indicating termination requested via a BDW form filing has been approved and made effective.	SEC, FINRA, SRO, State
Termination Requested	A status indicating that a firm with an approved registration has requested termination via a BDW form filing. The firm's registration remains approved until the termination is made effective.	SEC, FINRA, SRO, State
Withdrawal Requested	A status indicating that a firm with a pending registration request (i.e., not yet approved) has requested termination via a BDW form filing. The firm's registration request remains pending with the withdrawal request reflected until the termination is accepted and made effective.	FINRA, SEC, SRO, State,
Withdrawn	A status indicating the registration request was withdrawn prior to a registration approval being granted.	SEC, FINRA, SRO, State

Viewing Organization Direct Owners/Executive Officers or Indirect Owners:

Select **Direct Owners/Executive Officers** or **Indirect Owners** on the navigation bar:



NOTE: The example below displays the Direct Owners/Executive Officers screen.

View Organization		Direct Owners/Executive Officers						
<ul style="list-style-type: none"> ▪ Applicant Information ▪ Registration Status ▪ Legal Status ▪ Answers to Questions ▪ Types of Business ▪ Direct Owners/Executive Officers ▪ Indirect Owners ▪ Other Business Names ▪ Other Business Description ▪ Organization Names ▪ Succession 		Organization CRD#: 0000		Organization Name: SECURITIES FIRM				
		Organization SEC#:		Applicant Name: SECURITIES FIRM				
		View IA Record						
Full Legal Name	Domestic, Foreign, Individual	Status	Date Status Acquired	Ownership Code	Control person	Public Reporting Company	CRD#, EIN, SSN, IRS#	
PARTNER SECURITIES FIRM	Domestic Entity	GENERAL PARTNER	08/1987	5% but less than 10%	Y	N	1111	
DOE, JOHN	Individual	CHIEF FINANCIAL OFFICER	03/1995	Less than 5%	N	N	1111111	
DOE, JANE	Individual	CHIEF OPERATIONS OFFICER	05/1998	Less than 5%	N	N	2222222	

If the individual has a CRD# or SSN listed, click the hyperlink to access the individual's record in View Individual. In addition, entitlement is required to view Social Security Numbers (SSNs) in Web CRD and IARD. For users who do not have this entitlement, SSNs will display as "xxx-xx-xxx" throughout the system. Users that have entitlement can click the View SSN button to see the SSN.

Close the second browser.

NOTE: Indirect Owners of Form BD has the same format.

Viewing Organization Disclosures

Select **Disclosures** on the navigation bar.

NOTE: Current Disclosures and Reg. Arc. And Z Rec. (non-reportable) has the same format with the same hyperlinks. The following is an example of Current Disclosures:

- Form BR Branch Offices
- Schedule E Branch Offices
- **Disclosures**
- Filing History
- Document Listing
- Deficiencies
- Legacy Information
- Request Snapshot
- Non-Filing Information

Click the **Occurrence ID number** hyperlink.

View Organization		Current Disclosure Summary					
<ul style="list-style-type: none"> ▪ Back To Previous Menu ▪ Current Disclosures ▪ Reg. Arc and Z Rec. 		Organization CRD#: 0000		Organization Name: SECURITIES FIRM			
		Organization SEC#:		Applicant Name: SECURITIES FIRM			
		View IA Record					
Occurrence	Reportable/ Disclosable		Composite Filing	Event Date	Questions Answered	Filed Against	
Regulatory Action (1419775)	Yes	Yes	U6-REGORG 09/16/2008 FINRA	09/12/2008			
			BD-AMENDMENT 09/23/2008	09/12/2008	11E2	Applicant	
Regulatory Action (1332560)	Yes	Yes	U6-REGORG 12/12/2006 FINRA	12/11/2006			
			BD-AMENDMENT 12/18/2006	01/01/2002	11E2	Applicant	
Regulatory Action (1294983)	Yes	Yes	BD-AMENDMENT 03/06/2006	10/01/2004	11D2	Applicant	

Viewing Organization Disclosures (Continued)

NOTE: A second browser will open where the user can view a composite of the BD DRP and the U6 DRP, if those DRPs exist for the occurrence.

View Organization		Disclosure Occurrence Composite			
<ul style="list-style-type: none"> Back To Previous Menu Current Disclosures Reg. Arc and Z Rec. 		Organization CRD#: 0000	Organization Name: SECURITIES FIRM		
		Organization SEC#:	Applicant Name: SECURITIES FIRM		
		View IA Record			
Occurrence	1419775				
Disclosure	Regulatory Action				
Publicly Disclosable	Yes				
Reportable	Reportable		Reason		
	Yes				
Latest Filings	Filing	Event Date	Questions Answered		
	BD 09/23/2008	09/12/2008	11E2		
	U6 09/16/2008	09/12/2008			
Last Review	09/24/2008				
Comments					
BD - REGULATORY ACTION DRP					
This Disclosure Reporting Page (DRP BD) is an <input checked="" type="radio"/> INITIAL OR <input type="radio"/> AMENDED response used to report details for affirmative responses to <i>Items 11C, 11D, 11E, 11F or 11G</i> of Form BD;					
Check item(s) being responded to:					
Regulatory Action					

OR

On the *Disclosure Summary* screen, click the filing type hyperlink in the **Composite Filing** column (e.g., [BD-AMENDMENT](#))

View Organization		Current Disclosure Summary				
<ul style="list-style-type: none"> Back To Previous Menu Current Disclosures Reg. Arc and Z Rec. 		Organization CRD#: 0000	Organization Name: SECURITIES FIRM			
		Organization SEC#:	Applicant Name: SECURITIES FIRM			
		View IA Record				
Occurrence	Reportable/ Disclosable		Composite Filing	Event Date	Questions Answered	Filed Against
Regulatory Action (1419775)	Yes	Yes	U6-REGORG 09/16/2008 FINRA	09/12/2008		
			BD-AMENDMENT 09/23/2008	09/12/2008	11E2	Applicant
Regulatory Action (1332560)	Yes	Yes	U6-REGORG 12/12/2006 FINRA	12/11/2006		
			BD-AMENDMENT 12/18/2006	01/01/2002	11E2	Applicant
Regulatory Action (1294983)	Yes	Yes	BD-AMENDMENT 03/06/2006	10/01/2004	11D2	Applicant

Viewing Organization Disclosures (Continued)

NOTE: CRD displays the entire filing in a second browser.

View Filing Options		Primary Business Name: SECURITIES FIRM	BD Number: 0000
<ul style="list-style-type: none"> View Changes on Filing View Only Sections Changed 		BD - AMENDMENT 09/23/2008	
View History		BD - APPLICANT INFORMATION	
<ul style="list-style-type: none"> Page 1 Page 2 Page 3 Page 4 Page 5 Schedule A Schedule B Schedule C Schedule D Schedule E All Open Branches DRPs All Pages 		OMB Number3235-0012	
		Expires.....November 30, 2010 Estimated average burden hours per: Response.....2.75 Amendment.....0.33	
		<p>WARNING: Failure to keep this form current and to file accurate supplementary information on a timely basis, or the failure to keep accurate books and records or otherwise to comply with the provisions of law applying to the conduct of business as a broker-dealer would violate the Federal securities laws and the laws of the <i>jurisdictions</i> and may result in disciplinary, administrative, injunctive or criminal action.</p> <p>INTENTIONAL MISSTATEMENTS OR OMISSIONS OF FACTS MAY CONSTITUTE CRIMINAL VIOLATIONS.</p>	
		<input type="radio"/> APPLICATION <input checked="" type="radio"/> AMENDMENT	
		1. Exact name, principal business address, mailing address, if different, and telephone number of <i>applicant</i> :	
		A. Full name of <i>applicant</i> (if sole proprietor, state last, first and middle name): SECURITIES FIRM	
		B. IRS Empl. Ident. No.:	

OR

On the *Disclosure Summary* screen, click the **Date** hyperlink to view the DRP

View Organization		Current Disclosure Summary				
<ul style="list-style-type: none"> Back To Previous Menu Current Disclosures Reg. Arc and Z Rec. 		Organization CRD#: 0000		Organization Name: SECURITIES FIRM		
		Organization SEC#:		Applicant Name: SECURITIES FIRM		
		View IA Record				
Occurrence	Reportable/ Disclosable		Composite Filing	Event Date	Questions Answered	Filed Against
Regulatory Action (1419775)	Yes	Yes	U6-REGORG 09/16/2008 FINRA	09/12/2008		
			BD-AMENDMENT 09/23/2008	09/12/2008	11E2	Applicant
Regulatory Action (1332560)	Yes	Yes	U6-REGORG 12/12/2006 FINRA	12/11/2006		
			BD-AMENDMENT 12/18/2006	01/01/2002	11E2	Applicant
Regulatory Action (1294983)	Yes	Yes	BD-AMENDMENT 03/06/2006	10/01/2004	11D2	Applicant

Viewing Organization Disclosures (Continued)

NOTE: CRD displays the *Disclosure Form History* screen in a second browser.

Disclosure Form History	
Organization CRD #: 0000	Organization Name: SECURITIES FIRM
Organization SEC #:	Applicant Name: SECURITIES FIRM
U6 - REGORG 09/16/2008	
Rev. Form U6 (06/2003)	
U6 - REGULATORY ACTION DRP	
This Disclosure Reporting Page is an <input checked="" type="radio"/> INITIAL OR <input type="radio"/> AMENDED	
Regulatory Action	
1. Regulatory Action initiated by:	
	<input type="radio"/> SEC <input type="radio"/> Other Federal <input type="radio"/> State <input checked="" type="radio"/> SRO <input type="radio"/> Foreign (Full name of regulator, foreign financial regulatory authority, federal, state, SRO, or commodities exchange) FINRA
2. Principal Sanction/Relief Sought:	
	Other Sanctions/Relief Sought:
3. Date Initiated (MM/DD/YYYY):	
	09/12/2008 <input checked="" type="radio"/> Exact <input type="radio"/> Explanation

Close the second browser to return to the main View Organization menu.

Viewing Organization Filing History

Click **Filing History** from the Navigation Bar.

- Form BR Branch Offices
- Schedule E Branch Offices
- Disclosures
- **Filing History**
- Document Listing
- Deficiencies
- Legacy Information
- Request Snapshot
- Non-Filing Information

Select the **All** or **Exclude Schedule E** radio button, type a date range, click the **Sort/Select** button and then click a **Filing ID** hyperlink

? Printer Friendly

Organization Form Filing History

Organization CRD#: 0000	Organization Name: SECURITIES FIRM, INC.
Organization SEC#:	Applicant Name: SECURITIES FIRM, INC.

[View IA Record](#)

Include: All Exclude Schedule E

Filing Date: From Date: To Date:

Filing ID	Form Type	Filing Type	Filing Date	Section Changed
26728514	BD	AMENDMENT	02/18/2010	Direct Owners
26725650	BD	AMENDMENT	12/15/2009	Applicant Info
24158480	BD	AMENDMENT	11/13/2008	SRO/Jurisdiction Registrations
24146396	BD	AMENDMENT	11/11/2008	SRO/Jurisdiction Registrations
24146335	BDW	PARTIAL	11/11/2008	Applicant Information, Registration, Financial Liabilities, Disclosure Questions, Custodian Information

A second browser will open where a user can view or print an entire Form BD filing, specific pages, schedules or DRPs. (Continued on the next page...)

Viewing Organization Filing History (Continued)

Select the desired **View Form Pages** section (including **View Changes on Filing** or **View Only Sections Changed**) on the navigation bar.

View Filing Options		Primary Business Name: SECURITIES FIRM	BD Number: 0000
<ul style="list-style-type: none"> • View Changes on Filing • View Only Sections Changed 		BD - AMENDMENT 09/23/2008	
View History		BD - APPLICANT INFORMATION	
<ul style="list-style-type: none"> • Page 1 • Page 2 • Page 3 • Page 4 • Page 5 • Schedule A • Schedule B • Schedule C • Schedule D • Schedule E • All Open Branches • DRPs • All Pages 		OMB Number3235-0012 Expires.....November 30, 2010 Estimated average burden hours per: Response.....2.75 Amendment.....0.33	
<p>WARNING: Failure to keep this form current and to file accurate supplementary information on a timely basis, or the failure to keep accurate books and records or otherwise to comply with the provisions of law applying to the conduct of business as a broker-dealer would violate the Federal securities laws and the laws of the <i>jurisdictions</i> and may result in disciplinary, administrative, injunctive or criminal action.</p> <p>INTENTIONAL MISSTATEMENTS OR OMISSIONS OF FACTS MAY CONSTITUTE CRIMINAL VIOLATIONS.</p>			
<input type="radio"/> APPLICATION <input checked="" type="radio"/> AMENDMENT			
1. Exact name, principal business address, mailing address, if different, and telephone number of <i>applicant</i> : A. Full name of <i>applicant</i> (if sole proprietor, state last, first and middle name): SECURITIES FIRM B. IRS Empl. Ident. No.:			

The changes appear in red if **View Changes on Filing** section was chosen.

8. Current status ? Pending On Appeal Final

9. If on appeal, regulatory action appealed to: (SEC, SRO, Federal or State Court) and Date Appeal Filed:

If Final or On Appeal, complete all items below. For Pending Actions, complete Item 13 only.

10. How was matter resolved:
Acceptance, Waiver & Consent(AWC)

11. Resolution Date (MM/DD/YYYY):
09/12/2008 Exact Explanation
If not exact, provide explanation:

12. Resolution Detail:

A. Were any of the following Sanctions Ordered? (Check all appropriate items):

<input checked="" type="checkbox"/> Monetary/Fine	Amount: \$ 10,000.00
<input type="checkbox"/> Revocation/Expulsion/Denial	<input type="checkbox"/> Disgorgement/Restitution
<input checked="" type="checkbox"/> Censure	<input type="checkbox"/> Cease and Desist/Injunction
<input type="checkbox"/> Bar	<input type="checkbox"/> Suspension

B. Other Sanctions Ordered:

C. Sanction detail: if suspended, *enjoined* or barred, provide duration including start date and capacities affected (General Securities Principal, Financial Operations Principal, etc.). If requalification by exam/retraining was a condition of the sanction, provide length of time given to requalify/retrain, type of exam required and whether condition has been satisfied. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide total amount, portion levied against *applicant* or *control affiliate*, date paid and if any portion of penalty was waived:
 WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, THE FIRM IS CENSURED AND FINED \$10,000.

Viewing Organization Filing History (Continued)

OR

Click the desired **View History** (Including pages 1-5, Schedule A – E, All Open Branches, DRPs or All Pages) from the Navigation Bar.

? Printer Friendly	
View Filing Options	Primary Business Name: SECURITIES FIRM BD Number: 0000
<ul style="list-style-type: none"> ▪ View Changes on Filing ▪ View Only Sections Changed 	BD - AMENDMENT 09/23/2008
View History	BD - APPLICANT INFORMATION
<ul style="list-style-type: none"> ▪ Page 1 ▪ Page 2 ▪ Page 3 ▪ Page 4 ▪ Page 5 ▪ Schedule A ▪ Schedule B ▪ Schedule C ▪ Schedule D ▪ Schedule E ▪ All Open Branches ▪ DRPs ▪ All Pages 	OMB Number3235-0012
	Expires.....November 30, 2010 Estimated average burden hours per: Response.....2.75 Amendment.....0.33
	WARNING: Failure to keep this form current and to file accurate supplementary information on a timely basis, or the failure to keep accurate books and records or otherwise to comply with the provisions of law applying to the conduct of business as a broker-dealer would violate the Federal securities laws and the laws of the <i>jurisdictions</i> and may result in disciplinary, administrative, injunctive or criminal action.
	INTENTIONAL MISSTATEMENTS OR OMISSIONS OF FACTS MAY CONSTITUTE CRIMINAL VIOLATIONS.
	<input type="radio"/> APPLICATION <input checked="" type="radio"/> AMENDMENT
	1. Exact name, principal business address, mailing address, if different, and telephone number of <i>applicant</i> : A. Full name of applicant (if sole proprietor, state last, first and middle name): SECURITIES FIRM B. IRS Empl. Ident. No.:

Close the second browser when finished.

NOTE: When viewing Filing History, filings with July 1999 dates is a conversion filing that was created when the CRD information was converted from the Legacy CRD system to the Web CRD system. Check Legacy Filing History for the actual filing Information.

Viewing Organization Deficiencies

Select **Deficiencies** on the Navigation Bar.

NOTE: Organization Deficiencies and Page 2 Deficiencies have the same format with the same hyperlinks. The following is an example of Organization Deficiencies

- Schedule E Branch Offices
- Disclosures
- Filing History
- Document Listing
- **Deficiencies**
- Legacy Information
- Request Snapshot
- Non-Filing Information

Click the **All** or **Outstanding** radio buttons and click the **Sort/Select** button.

Organization Deficiencies			
Organization CRD#: 0000	Organization Name: SECURITIES FIRM		
Organization SEC#:	Applicant Name: SECURITIES FIRM		
View IA Record			
Include These Deficiencies: <input type="radio"/> All <input checked="" type="radio"/> Outstanding			
Sort By: Deficiency <input type="button" value="v"/> <input type="radio"/> Ascending <input checked="" type="radio"/> Descending			
<input type="button" value="Sort/Select"/>			
Deficiency	Date Set	Deficiency Filing	Deficiency Status
There are one or more deficient Schedule A or Schedule B members of this firm.	11/03/2008	BD - AMENDMENT 11/03/2008	Outstanding

Viewing Organization Deficiencies (Continued)

Click the **Deficiency** hyperlink:

Organization Deficiencies			
Organization CRD#: 0000		Organization Name: SECURITIES FIRM	
Organization SEC#:		Applicant Name: SECURITIES FIRM	
View IA Record			
Include These Deficiencies: <input type="radio"/> All <input checked="" type="radio"/> Outstanding			
Sort By: Deficiency <input type="button" value="v"/> <input type="radio"/> Ascending <input checked="" type="radio"/> Descending			
<input type="button" value="Sort/Select"/>			
Deficiency	Date Set	Deficiency Filing	Deficiency Status
There are one or more deficient Schedule A or Schedule B members of this firm.	11/03/2008	BD - AMENDMENT 11/03/2008	Outstanding

The *Deficiency Detail* screen opens:

Organization Deficiency Detail	
Organization CRD#: 0000	
Organization Name: SECURITIES FIRM	
Organization SEC#:	
Applicant Name: SECURITIES FIRM	
View IA Record	
Deficiency ID:	755552
Filing ID:	23998677
Occurrence ID:	
Disclosure Type:	
Date Set:	11/03/2008
Set By:	OPM AUTOMATED PROCESSING
Date Cleared:	
Cleared By:	
Reason for Clearing:	
Deficiency:	PAGE2 - There are one or more deficient Schedule A or Schedule B members of this firm.
Form Type:	BD
Filing Type:	AMENDMENT
Form Section:	BD/BDW FILING
Form Item:	NONE
Additional Information:	There are one or more deficient Schedule A or Schedule B members of this firm.

Viewing Organization Deficiencies (Continued)

OR

Click the **Deficiency Filing** hyperlink from the *Branch Deficiencies* screen or click the **Filing ID** hyperlink from the *Deficiency Detail* screen.

Organization Deficiencies			
Organization CRD#: 0000	Organization Name: SECURITIES FIRM		
Organization SEC#:	Applicant Name: SECURITIES FIRM		
View IA Record			
Include These Deficiencies: <input type="radio"/> All <input checked="" type="radio"/> Outstanding			
Sort By: Deficiency <input type="button" value="v"/> <input type="radio"/> Ascending <input checked="" type="radio"/> Descending			
<input type="button" value="Sort/Select"/>			
Deficiency	Date Set	Deficiency Filing	Deficiency Status
There are one or more deficient Schedule A or Schedule B members of this firm.	11/03/2008	BD - AMENDMENT 11/03/2008	Outstanding

NOTE: The *BD-Application Information* screen opens in a second browser. A user can view or print an entire BD filing, specific pages, schedules or DRPs and close the second browser.

View Filing Options	
<input type="checkbox"/> View Changes on Filing	
<input type="checkbox"/> View Only Sections Changed	
View History	
<input checked="" type="checkbox"/> Page 1	
<input type="checkbox"/> Page 2	
<input type="checkbox"/> Page 3	
<input type="checkbox"/> Page 4	
<input type="checkbox"/> Page 5	
<input type="checkbox"/> Schedule A	
<input type="checkbox"/> Schedule B	
<input type="checkbox"/> Schedule C	
<input type="checkbox"/> Schedule D	
<input type="checkbox"/> Schedule E	
<input type="checkbox"/> All Open Branches	
<input type="checkbox"/> DRPs	
<input type="checkbox"/> All Pages	

Primary Business Name: SECURITIES FIRM		BD Number: 0000
BD - AMENDMENT		
11/03/2008		
BD - APPLICANT INFORMATION		
OMB Number3235-0012		
Expires.....November 30, 2010		
Estimated average burden hours per:		
Response.....2.75		
Amendment.....0.33		
WARNING: Failure to keep this form current and to file accurate supplementary information on a timely basis, or the failure to keep accurate books and records or otherwise to comply with the provisions of law applying to the conduct of business as a broker-dealer would violate the Federal securities laws and the laws of the <i>jurisdictions</i> and may result in disciplinary, administrative, injunctive or criminal action.		
INTENTIONAL MISSTATEMENTS OR OMISSIONS OF FACTS MAY CONSTITUTE CRIMINAL VIOLATIONS.		
<input type="radio"/> APPLICATION <input checked="" type="radio"/> AMENDMENT		
1. Exact name, principal business address, mailing address, if different, and telephone number of <i>applicant</i> :		
A. Full name of <i>applicant</i> (if sole proprietor, state last, first and middle name):		
SECURITIES FIRM		
B. IRS Empl. Ident. No.:		

Close the second browser when finished.

Registration Deficiencies

Deficiencies	Definition
CONFLICT	Question was answered “No” on the filing but details were provided on Form BD “or” Form BDW.
PENDING REVIEW	The filing is under review by FINRA.
PAGE 2	A person on Schedule A or B does not have an open employment with the firm.
DENIED	Name not allowed.
GOVT	The SEC Registration and/or Types of Business selected are not allowed.
FINAN	Financial information missing or invalid.
CONTROL	No control person is designated for an individual or entity listed on Schedule A.
INFO	An entry on Schedule A and/or B is missing one or more fields of information on Form BD, or, an “Other Business Name” has been listed but no jurisdiction was specified, or, on Form BDW, Question 5 was answered “yes”, but no details were provided.
FUNDS	Pending transactions have not been processed due to Insufficient Funds.
PRED	Question 5 was answered “no”, but details were provided.
UNANS	Question was not answered on Form BD or Form BDW.
IRS	The IRS number supplied is invalid.
BOOKS	Custodian’s name, telephone number or address is missing or invalid on Form BDW.
MISSING TEXT	Text is missing for items 7, 8 and 9 (Schedule D).

Manually Set Deficiencies (by FINRA Staff)

- Inconsistent details or questions
- Disclosure requested:
 - ◊ Disclosure Questions
 - ◊ DRP – Applicant and Control Affiliate
 - ◊ DRP – Applicant
 - ◊ DRP – Firm Control Affiliate
 - ◊ DRP – Individual Control Affiliate
 - ◊ DRPs
- Insufficient details provided
- Ownership is not clearly defined or exceeds 100%
- Other BD (any deficiency not categorized)