Financial Industry Regulatory Authority

Web CRD

Web CRD 'At A Glance' For Firms

The information provided in this job aid is intended to serve as an "at a glance" reference for those member firms that may not have the need to access the Web CRD® system on a regular basis. Included are tips regarding the annual FINRA Renewal Program, tips and suggested "best practices" related to Web CRD, as well as a reference page of CRD phone numbers, addresses, resource/training materials, and helpful Web sites.

Keep Track of Your Firm's Contact Information

Please use this page as a reference for each function below. In order to receive important registration-related information, please remember to keep firm contact information current.

- On the Entitlement Forms you completed to gain access to Web CRD, you designated the following (see page 3):
  - ⇒ **Firm Super Account Administrator**: _____
- In the FINRA Contact System (FCS), you designated the following (see page 2):
  - ⇒ **Firm Executive Representative**: _____
  - ⇒ **Firm Anti-Money Laundering Contact**: _____
- In Web CRD you provided a Contact to receive Web CRD-related mailings (see page 2):
  - ⇒ **Firm CRD Contact**: _____
- In Web CRD, you should designate at least one individual to receive Firm Notification emails about critical registration-related conditions. Be sure to keep those email addresses current. Provided below is space for you to record 3 recipients you have set up, but FINRA does not limit the number of recipients you may designate for each of these email notifications (see page 6):
  - ⇒ **Firm Notification Email Recipient**: _____
  - ⇒ **Firm Notification Email Recipient**: _____
  - ⇒ **Firm Notification Email Recipient**: _____
- Firms have the option of enrolling in Web CRD/IARD E-Bill, an electronic payment method of funding your firm's Flex Funding Account or Renewal Accounts. Provided below is space to list 2 individuals that have enrolled at your firm, but FINRA does not limit the number of Web CRD/IARD E-Bill users your firm may enroll (see page 4):
  - ⇒ **Web CRD/IARD E-Bill User**: _____
  - ⇒ **Web CRD/IARD E-Bill User**: _____

Do You Know About the FINRA Small Firm Web Page?

The FINRA **Small Firm Information Web Page** is located at: http://www.finra.org/smallfirms
FINRA created a Small Firm Web Page to provide information for the small firm community. It contains current and past communications, links of interest to small firms, and other information. When applicable, it includes hyperlinks to:

- Annual Renewal Program
- Tools to Support Member Compliance
- Free Webinars
- CRD Information
- CRCP Small Firm Scholarship
- Letters to FINRA Members
- FINRA Small Firm Advisory Board
- OATS Small Firm Resources
- FINRA Notices

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Ways to Stay Updated

Firm Notifications

The Firm Notification function in Web CRD provides firms with the capability to request automatic email reminders to be sent from Web CRD to firm-designated individuals whenever significant registration-related conditions occur.

Details on Firm Notifications, including instructions on how to elect to receive them and to designate recipients at your firm can be found on Page 6 of this job aid.

Executive Representative Weekly Email

Sent every Wednesday by FINRA to your firm's Executive Representative, it highlights additions/changes to the information on FINRA's Web site. Every FINRA member firm is required to maintain an Internet email account on behalf of its Executive Representative.

To update your firm's Executive Representative or his/her email address:
Access and complete the **FINRA Contact System (FCS)** at: http://www.finra.org > Industry Professionals > Compliance > Regulatory Filings > FINRA Contact System

⇒ **NOTE**: You will be required to provide your User ID and Password to access the system.

Detailed instructions on using FCS can be found at: http://www.finra.org > Industry Professionals > Compliance > Regulatory Filings > FINRA Contact System > Instructions & Help

Keep Your Web CRD Contact Information Current

Your firm's Web CRD Contact may be sent important Web CRD related information via letters, publications, or post cards. Therefore, it is important to update this information if it changes.

To update your firm's Web CRD Contact Information:

⇒ Access Web CRD at: https://crd.finra.org
⇒ Enter your User ID and Password.
⇒ Read the Terms and Conditions, then click the **I Agree** button.
⇒ On the Web CRD Site Map in the Organization column, click **NFI Organization Search**.
⇒ The **Maintain CRD Contact Information** screen displays.
⇒ Enter the applicable updated information.
⇒ Click the **Save** button.

Web CRD Related Online Publications

The Bulletin is an online publication written by the Registration & Disclosure Department (formerly CRD/PD) in order to provide broker-dealers with important information and timely updates regarding the Web CRD System and the programs, work processes and policies associated with it.

Release Notes is a CRD publication in conjunction with each major Web CRD software release to provide information about CRD-related system changes and/or enhancements. Other CRD-related information

Web CRD Page on FINRA's Web Site

On the CRD Web pages you will find registration related and Web CRD System information such as instructions on how to register your representatives using Web CRD, Renewal Program information on how to renew both your firm, branches and representatives for the following year, and system job aids, fee and accounting information, and much more. This page is continuously updated so we recommend you visit it at least once a month.

Access the Web CRD page at: http://www.finra.org/crd

Check Web CRD Broadcast Messages

Updated daily in Web CRD, these messages relay timely and important information related to CRD, including registration-related tips and suggested system and process best practices.

To view Web CRD Broadcast Messages:

⇒ Access Web CRD at: https://crd.finra.org
⇒ Broadcast Messages will display on the Web CRD Site Map
⇒ Click the Details hyperlink to view the full message.
⇒ Broadcast Messages can be printed.

NOTE: You can also access important information related to CRD and FINRA on FINRA FIRM Gateway.

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Getting onto Web CRD

FINRA allows a firm to access and use Web CRD once it has completed a process called "Entitlement" which requires each firm to complete an entitlement form. At that time, your firm is required to designate one Super Account Administrator. Super Account Administrators are primarily responsible for creating and deleting firm Account Administrators and modifying Account Administrator privileges.

Firm Account Administrators

Your firm's Account Administrators are responsible for the following functions in Web CRD:

- Create user accounts for individuals at your firm that require access to Web CRD and other FINRA systems.
- Perform password administration (e.g., provide initial User ID and Password, unlock accounts, reset passwords, and disable accounts for individual users).
- Grant and update entitlement privileges for individual users.

Account Administrators should contact their firm's Super Account Administrator to request additional entitlement privileges.

Logging into Web CRD

The URL for Web CRD is: https://crd.finra.org

- Enter your User ID and Password
- Read the Terms and Conditions, then click the **I Agree** button

Tips About Passwords:

- Passwords must be changed every 120 days
- Passwords are case sensitive (upper or lower case)
- Passwords cannot contain any part of the user's name
- Passwords must be 8 - 14 characters long and contain three of the following:
  - Upper case English character
  - Lower case English character
  - Numeric characters (0-9)
  - Symbol (e.g., $ # @ etc.)
- A password cannot contain: "*", "&", "^", or "%".
- An example of a properly formatted password is: #7islucky

NOTES:

- Users will be required to select three security questions and provide responses to each question. On subsequent logins, users may be asked to provide the responses to the security questions he/she selected in order to further verify identity.
- A firm can also access Web CRD and other FINRA applications by logging into FINRA Firm Gateway.

The URL for FINRA Firm Gateway:
https://firms.finra.org

- Enter your User ID and Password
- Read the Terms and Conditions, then click the **I Agree** button
- Navigate to Web CRD or other FINRA application that you have entitlement.

Having Trouble Logging into Web CRD?

If you are unable to login to the system after five attempts, your account has likely been systematically set to a locked out status due to an incorrect User ID/ Password entry.

- Locked out users should contact the firm's Account Administrator and request him/her to unlock your account and reset your password.
- Users who forget their password can click on the **Forgot Password?** link to request a new password. The user will be prompted to enter his/her User ID and security challenge response before a new password will be emailed.

Account Administration Resources

- The **Account Administration Quick Reference Guide** at: http://www.finra.org/crd/help > Web CRD Quick Reference Guides > Account Administration

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How to Fund Your Firm's Flex Funding Account

Every firm using Web CRD has two types of financial CRD Accounts:

- **Flex Funding Account** - the primary account used for all registration related fees **except** for annual Renewal Fees. Note, joint Broker-Dealer/Investment Adviser firms must fund the Flex Funding Account to pay for IA Annual Update Fee.
- **Renewal Account** - used only for the annual FINRA Renewal Program to process FINRA and state Renewal Fees.

Flex-Funding Account Status

- **Sufficient Status**: This status is required for registration requests to be processed.
- **Deficient Status:** Form filings can be submitted but **will not process** until the account status is 'Sufficient.'

Web CRD Accounting Resources

- **Web CRD Accounting Quick Reference Guide**: http://www.finra.org/crd/help > Web CRD Quick Reference Guides > Accounting

Payment Methods for Funding Your Firm's Flex-Funding Account

Payment Type	How to Submit Payment	Approximate Posting Time	Special Notes
Electronic (E-Bill)	• There are (3) ways to access E-Bill: • Web CRD Accounting via the Make an Electronic Deposit/Payment link • FINRA Firm Gateway at: https://firms.finra.org/ • Directly at: https://ebill.finra.org/ebill-web For detailed steps in using this method see the E-Bill User's Guide.	If submitted before 8:00 p.m., ET, then payment should post to your Flex-Funding Account within two business days.	FINRA does not charge firms any fees for using Web CRD/IARD E-Bill; however, firms should verify with their banks whether ACH transaction fees will be assessed by their banks.
Check	• Checks should be made payable to FINRA • Write your firm's CRD Number on the memo line of the check. • Mail checks to fund your Flex-Funding Account (Via Regular U.S. Mail) to: FINRA P.O. Box 418911 Boston, MA 02241-8911 (*NOTE: This address will not accept courier or overnight deliveries.)* • Mail checks to fund your Flex-Funding Account (Via Courier/ Overnight Delivery) to: Bank of America Lockbox Services FINRA 418911 MA5-527-02-07 2 Morrissey Blvd. Dorchester, MA 02125	If received by 2:00 p.m., ET, payment should post to your Flex-Funding Account by the next business day.*	FINRA eliminated the separate check payment addresses for Renewal Accounts and all Web CRD/IARD check payments are now deposited into firm Daily Accounts. Check payments for renewal fees will now be applied with the automatic Daily Account-to-Renewal Account transfer process during the renewal season. Visit the Renewal Program Payment Options page for details.
ACH and Wire Transfer	Provide your bank with the following information to initiate transfer (use the applicable ABA Number for the type of payment you are making—either wire or ACH): Bank Name: **Bank of America** Transfer funds to: **FINRA** Wire ABA Number: **026009593** ACH ABA Number: **054001204** Beneficiary: **FINRA** FINRA Account #: **226005684771** Reference #: **Your Firm CRD Number** **(**Record the Confirmation Number)	If received by 2:00 p.m., ET, payment should post to your Flex-Funding Account by the next business day.*	The next business day you may confirm receipt of the wire payment by FINRA, by checking your Daily Account via Web CRD or calling the Gateway Call Center at (301) 869-6699 and providing the Confirmation Number.

*Posting timeframes are approximate and may vary at times of heavy volume (i.e., Renewals). Note that instructions for funding your firm's Renewal Account differ slightly and are provided in the Fall issue of The Bulletin, and the FINRA website at: http://www.finra.org/renewals.

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How to Check Web CRD for Important Registration Information

Firms are electronically notified in Web CRD about registration-related conditions concerning their firm and representatives in several different ways including: Queues, Alerts, and emailed Firm Notifications.

About Queues

System queues for either the firm or the firm's associated individuals are available in Web CRD. The information in the queues is continuously updated and should be checked on a regular basis.
Firms should monitor their Queues regularly and maintain current contact information and email addresses for Firm Notification email recipients.

Queues Information Resources

- **Firm Queues for Individuals** or **Firm Queues for Organizations** quick reference guides: http://www.finra.org/crd/help > Web CRD Quick Reference Guides

Firm Queues for Organizations

- **Current Deficiencies** - Lists the firm's Form BD or BDW deficiencies and remains in this queue until the deficiency is satisfied.
- **Branch Status** - Lists all participating Jurisdiction and SRO branch office statuses for your firm.
- **Branch Deficiencies** – Lists the deficiency for each branch office. Notices remain in queue for 120 days.
- **Disclosure Letters** - Displays organization Disclosure notifications sent to the firm.
- **NYSE Filing Status** - Lists the status of a branch office that is registering with the New York Stock Exchange. Items remain historically. *This queue is only accessible to firms NYSE member firms.*
- **SFG Retirement** - Lists the retiring firm for simultaneous filing group, by date of retirement. Notices remain in queue for 120 days.
- **Withdrawal or Termination Queue** - Lists the firm's withdrawal or termination notices by effective date and remains in this queue for 120 days.

Alerts

Alerts work in conjunction with the queues. There are 8 types of Alerts that a firm can receive, which will notify the firm of the number of individuals in a critical registration-related queue.

The 8 Alerts are:
1. Denied Individual Registrations
2. Inactive Registration due to Missing Fingerprint Card
3. CE Inactive
4. Currently 2-Year Termed
5. Termination
6. U5 Required
7. Temporary Registration Cancellation
8. Manual Termination

To view your firm's Alerts, follow these steps:

⇒ Access Web CRD at: https://crd.finra.org

⇒ On the Site Map under 'Firm Queues,' click on the 'Alerts' link, which is the last one

⇒ If your firm has any Alerts, then check the applicable Queue to view the affected individual

Firm Queues for Individuals

- Individuals remain in the following queues **until your firm responds or the condition is met/resolved:**
  - Outstanding Disclosure Letters Queue (no longer sent hard copy)
  - U5 Required Notice Queue
  - CE Inactive Queue
  - Inactive Registration due to Missing Fingerprint Cards Queue
  - Pending Individual Registrations Queue
  - Scheduled Exams Queue
  - Manual Termination Queue

- Individuals remain in the following queue for **28 days prior** to their CE session:
  - Approaching CE Requirement Queue

- Individuals remain in the following queues for **up to 30 days**:
  - Denied Individual Registrations Queue
  - Fingerprint Status Received from FBI Queue
  - Notices of Undelivered Fingerprint Cards Queue
  - Temporary Registration Cancellation Queue
  - Termination Queue

- Individuals remain in the following queues for **up to 120 days**:
  - Purged Individual Registrations Queue
  - Currently CE Required Queue

- Individuals remain in the following queues **indefinitely:**
  - Approved Individual Registrations Queue
  - Current Individual Deficiencies Queue
  - Other Firm U4 Filing Queue
  - Disclosure Review Queue
  - Completed Exams Queue
  - CE Satisfied Queue
  - CE 2-Year Termed Queue
  - U5 Queue
  - U5 Late Fees Queue

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About Firm Notifications

Firm Notifications are systematically generated when critical registration-related events occur in Web CRD. They are emailed to the individual(s) designated by your firm. Hardcopy postal mail notifications are not sent to firms. Firms should monitor their Queues regularly, elect to receive the email notifications appropriate for them, and maintain current email addresses for Firm Notification recipients.

Types of Firm Notifications

There are a total of **32 types of Firm Notifications** that a firm may elect to receive, of which the following **5 notifications are automatically sent to the firm** due to their criticality:

- Notify when a registered individual is within 30 days of the end of his or her CE Required window
- Notify when a registered individual is within 90 days of the end of his or her CE Required window
- Notify when a registered individual enters Firm CE Inactive Queue
- Notify when an individual's registration is Inactive Prints with the Firm
- Notify when a registered individual enters Firm Temporary Registration Cancellation Queue

The 5 notifications listed above are automatically emailed to the firms' Continuing Education Contact person as listed in the FINRA Contact System (FCS). This is in addition to any individual(s) you choose to receive these notifications from the Firm Notification functionality in Web CRD.

The remaining notifications are available only if the firm elects to receive them:

Registration

- Notify when an individual's examination status changes
- Notify when an individual has a fingerprint updated with a status of ILEG - BD Only
- Notify when an individual's registration is Inactive Prints with the Firm - BD Only
- Notify when an individual's registration request is T_NOU5
- Notify when an individual with deficient registration is Eligible to Purge within the next 30 days
- Notify when an individual has a fingerprint updated with a status of RAPP - BD Only
- Notify when an individual's registration request has been Denied.
- Notify when an individual's registration has been Revoked.
- Notify when a registered individual enters Firm Temporary Registration Cancellation Queue
- Notify when a U5 is submitted by another firm

Disclosure

- Notify when a Bankruptcy has expired for a registered individual with the firm
- Notify when a Customer Complaint has expired for a registered individual with the firm
- Notify when a U6 is filed against a registered firm or active exempt reporting adviser
- Notify when a U6 is filed against an individual registered with the firm
- Notify when a registered or NRF individual enters Firm Outstanding Disclosure Letters Notice Queue
- Notify when a registered or NRF individual has an Outstanding Disclosure Letter more than 30 days old
- Notify when a letter enters the Organization Disclosure Letters Queue

Other

- Notify when Firm account balance is 'Deficient'
- Notify when firm account balance has gone below $0.00
- Notify when firm account balance has gone below $10,000.00
- Notify when firm account balance has gone below $3,000.00
- Notify when firm account balance has gone below $500.00
- Notify when firm has an outstanding Form BD deficiency
- Notify when a filing has failed submission
- Notify when a registered individual enters Other Firm U4 Filing Notice Queue
- Notify when registered individuals are within 10 days of CE Inactive or Prints Inactive statuses

Branch

- Notify when a branch registration is approved
- Notify when a branch is deficient

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About Firm Notifications (Continued)

Firm Notification Recipients

Firms can designate the individual(s) and specify which notifications he/she should receive. FINRA does not limit the number of individuals your firm chooses to designate as recipients of each Firm Notification. Please note that in order to access the Firm Notification function in Web CRD, you must be entitled to the 'Maintain Firm Notification' privilege by your firm's Account Administrator

To designate Firm Notification Email recipients at your firm:

⇒ Access Web CRD at: https://crd.finra.org
⇒ Enter your User ID and Password.
⇒ Read the Terms and Conditions, then click the **I Agree** button.
⇒ On the Site Map under 'Organization,' click on 'NFI Organization Search.'
⇒ Next click on 'Firm Notification'.
⇒ Existing recipients will be listed, click on 'Add New' to designate additional recipients.
⇒ Enter the requested information and select the Notification Types this individual should receive.
⇒ Click the 'Save' button.

Firm Notification Resources

- **Firm Notifications Quick Reference Guide**: http://www.finra.org/crd/help > Web CRD Quick Reference Guides > Firm Notifications

How to Stay on Top of Continuing Education: Monitor Your Representatives' CE Statuses

This section will focus on the Regulatory Element of the CE Program as it pertains to Web CRD.

CE Firm Notification Emails

Make sure your firm has designated at least one recipient to receive Firm Notification Emails, which are systematically generated by Web CRD when certain registration-related events occur.

Refer to page 6 to see a list of the CE Firm Notifications available.

Check Your Firm's CE Queues Regularly

By checking your firm's CE Queues, you will be able to monitor for each type of CE status except 'No CE Status'

To view your firm's CE Queues, follow these steps:

⇒ Log on to Web CRD at: https://crd.finra.org
⇒ Enter your User ID and Password.
⇒ Read the Terms and Conditions, then click the **I Agree** button.
⇒ On the Site Map under Firm Queues, click the specific hyperlink for the CE Queue that you would like to view.

Using the CE Reports in Web CRD

Web CRD provides a number of CE Reports. In particular, the CE Download Report provides the following for each representative registered with your firm:

- Name
- CRD Number
- Social Security Number
- CE Base Date
- Next Requirement Window
- Current CE Status

To request a CE Report:

⇒ Access Web CRD at: https://crd.finra.org
⇒ Enter your User ID and Password.
⇒ Read the Terms and Conditions, then click the **I Agree** button.
⇒ On the Web CRD site map in the Reports column, click the **Request Report** hyperlink.
⇒ Select the desired CE report.
⇒ Click the **Submit** button.

To view your requested report click **View Report** from the Reports column of the Web CRD site map. Reports are usually generated within 24 hours of the request. All reports listed under 'Request Reports' are free of charge.

CE Statuses an Individual Can Have

- **Satisfied** - the individual has entered the CE Program and does not currently have any CE obligations.
- **Required** - the individual has a CE window open and must complete the CE session within that 120-day window to remain active.
- **CE Inactive** - the individual did not complete a CE session within the 120-day window. While CE inactive, the individual cannot engage in, nor be compensated for, activities that require a securities registration.
- **CE 2 Year Termed** - the individual has had a CE Inactive status for two years, causing his/her registration to be administratively termed. If the individual wishes to re-sume conducting business in the industry, he/she must re -qualify for registration.
- **No CE Status** - the individual is not entered in the Regulatory Element CE cycle, meaning he/she does not have any active registrations that cause CE to be required.

What if an Individual Becomes CE Inactive

If an individual becomes CE Inactive, he/she should call a Prometric or Virtual University Enterprise (VUE) Center to schedule an appointment and complete the CE requirement. Enrollment at the test center is still open for up to 2 years after the close of the 120-day CE window.

- **Prometric VUE Center:** (800) 578-6273
- **Pearson VUE Center:** (866) 396-6273
- Check online for a center near you at:
  http://www.prometric.com/finra
  http://www.pearsonvue.com/finra

Contact FINRA Field Support if you have questions about CE scheduling or results: (800) 999-6647.

(Please remember that while CE Inactive, the individual cannot engage in, nor be compensated for, activities that require a securities registration.)

CE Resources

- CE Program: http://www.finra.org/ > Compliance > Continuing Education
- Continuing Education Quick Reference Guide

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For Your Reference

Web Sites & Web Pages

- FINRA Web Site: http://www.finra.org
- FINRA Small Firm Information: http://www.finra.org/smallfirms
- Web CRD Information: http://www.finra.org/crd
- Web CRD System URL: https://crd.finra.org
  - Registered Representative URL: https://filing.crd.finra.org/crdmain
- Web CRD System Availability Calendar:http://www.finra.org/crdavailability
- Web CRD User Support: http://www.finra.org > Industry Professionals > Compliance > Registration > CRD > User Support
- Web CRD Frequently Asked Questions: http://www.finra.org/crdfaq
- Web CRD/IARD Release Previews: www.finra.org/crd/releasepreview
- Web CRD/IARD E-Bill: https://ebill.finra.org/ebill-web
- Renewal Program: http://www.finra.org/renewals
- Branch Office Registration Program: http://www.finra.org/crdbranchoffice
- FINRA Qualifications & Continuing Education: http://www.finra.org > Education and Programs
- Continuing Education Center Locations: http://www.finra.org > Compliance > Continuing Education
- NASAA Web Site: http://www.nasaa.org
- SEC Web Site: http://www.sec.gov

Phone Numbers

FINRA Gateway Call Center:
(301) 869-6699

To schedule, reschedule, or cancel an exam appointment at a testing center, call either:

Prometric VUE Center:
(800) 578-6273

Pearson VUE Center:
(866) 396-6273

Email Addresses

- **Web CRD Questions:** webcrd@finra.org
- **CRD Reports (requests for Ad Hoc reports):** crdreports@finra.org
- **FINRA General Information Requests:** gatewayweb@finra.org

Help Resources for Web CRD Users

Help on Web CRD: http://www.finra.org/crd/help provides links to Web CRD related training materials. .

- **Web CRD Quick Reference Guides** combine visual aids with concise instructional information and tips.

Web CRD Mailing Addresses

Mail Service	Correspondence & Fingerprint Cards	Flex-Funding & Renewal Account Check Payments
Regular U.S. Mail: (P.O. Boxes will not accept courier or overnight deliveries)	FINRA P.O. Box 9495 Gaithersburg, MD 20898-9495	FINRA P.O. Box 418911 Boston, MA 02241-8911
Express/Overnight Mail Delivery: If a phone number is required for the recipient, provide: (800) 376-2703	FINRA Document Processing 9509 Key West Avenue Rockville, MD 20850	Bank of America Lockbox Services FINRA 418911 MA5-527-02-07 2 Morrissey Blvd. Dorchester, MA 02125

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