Financial Industry Regulatory Authority

CRD Participant Firm
(CBOE, NYSE-MKT (old AMEX), ARCA, PHLX, NQX, BSE, CHX, NYSE, BATS (BATS-ZX & BATS-YX), Direct Edge (EDGA & EDGX))
Entitlement Applications/Privileges

Web CRD	
Organization	
View Organization Information	Provides the capability to **view** information about your Organization.
Non-Filing Information (read only)	Provides the capability to **view** the Firm's Non-Filing information (contact information, trustee information, name change history, and mass transfer history).
Maintain Contact	Provides the capability to **view & maintain** the Firm's Contact information.
Maintain Firm Notification	Provides the capability to **view & maintain** the Firm's Notification information.
Maintain NYSE Branch Code Number	Provides the capability to **view & maintain** the Firm's NYSE Branch Code Number.
Firm Queues	Provides the capability to **view** Firm Notices. (Current Deficiencies, Withdrawal or Termination, SFG Retirement)
Mass Transfers	Provides the capability to **prepare** a Mass Transfer of individuals from one Member Firm to another without requiring U4 filings, U5 filings, or fingerprint cards submission. (FINRA, RAD must initiate process).
Individual	
View Individual Information	Provides the capability to **view** information about individuals that have been previously employed or currently employed by your Firm or your Firm's Simultaneous Filing Group.
View CHRI Information	Provides the capability to **view** an individual's Criminal History Report Information (CHRI).
Non-Filing Information	Provides the capability to **view** the Individual's Non-Filing information.
IARD Transition Registrations	Provides the capability to **transition** an existing Investment Adviser Representative's State IA Registrations.
Individual Firm Queues	Provides the capability to **view** Individual Notices. (Registrations, Disclosure, Fingerprint, Exams, CE, & Termination)
Fingerprint Status Received from FBI Queue	Provides the capability to **view** fingerprint statuses received from the FBI. Provides the capability to **view & print** Criminal History Report Information (CHRI) received from the FBI.
View Individual SSN	Provides the capability to **view** Social Security numbers.
Form Filing	
Form U4	Provides the capability to **enter & submit** Initial, Amendment, Concurrence, Page 2 for BD Schedule A or B, Relicense, and Dual Registration form filings.
Form U5	Provides the capability to **enter & submit** Partial, Full and Amendment U5 form filings.
Form BD and BDW	Provides the capability to **enter & submit** BD Amendments and Partial and Full BDW form filings.
Form BR	Provides the capability to **enter & submit** BR Initial, Amendment and Closing/Withdrawal form filings.
Form Non-Registered FP	Provides the capability to **enter & submit** Non-Registered individuals fingerprint cards.
Accounting	Provides the capability to **view** your Firm's Accounting data.
Reports	Provides the capability to **access** ReportMart to retrieve your Firm's Reports.

Regulation Filing Applications	
Reg-Rule 4530 Application (NYSE Only)	
Read	Provides the capability to **view** your Firm's Disclosure Events and Customer Complaints online Pursuant to FINRA Rule 4530.
Submit	Provides the capability to **enter & submit** your Firm's Disclosure Events and Customer Complaints online Pursuant to FINRA Rule 4530.
Reg-Blue Sheets (NQX Only)	
Read	Provides the capability to **view** your Firm's Blue Sheet data.
Submit	Provides the capability to **enter & submit** your Firm's Blue Sheet data.
Reg-FINRA Contact System (FCS) (NQX Only)	
Read	Provides the capability to **view** your Firm's Shorts data.
Submit	Provides the capability to **enter & submit** your Firm's Shorts data.
Reg- Short Position Reporting (NYSE-MKT (old AMEX) and NQX Only	
Write	Provides the capability to **view & maintain** your Firm's Contact data.

Order Audit Trail System (OATS) (NQX Only)	
OSO Administrator	Provides the capability to manage user accounts, view OATS feedback and statistics, repair rejected Reportable Order Events (ROEs), and/or submit data via email and the web.
OSO User	Provides the capability to view OATS feedback and statistics, repair rejected Reportable Order Events (ROEs), and/or submit data via email and the web.
OSO Read Only	Provides access to the Web to view announcements, statistics and other OATS feedback.

Order Audit Trail System (OATS) FTP/IFT (NQX Only) **Super Account Administrator will have the ability to "Read" who has the FTP/IFT User privilege in the Account Management Tool and Grant this same ability to other users.**	
Send Files Only	Provides the capability to **submit** order data via FTP/IFT.
Send and Receive Files	Provides the capability to **submit** order data via FTP/IFT and **receive** Reportable Order Event (ROE) rejection reports.

eFOCUS Application (NYSE-MKT (old AMEX), ARCA and PHLX)	
Reader	Provides the capability for a user to access the eFOCUS application and read data.
Editor	Provides the capability for a user to save filings, create amendments, and import filings.
Approver	Provides the capability for a user to approve saved filings.
Submitter	Provides the capability for a user to submit saved filings.

CMA – Continuing Member Application	
Submit	Provides the capability to **enter & submit** your Firm's Continuing Member Application Form.

eBill	
Invoices	Provides the capability to **view** your eBill Invoices.

File Transfer	
VA File Transfer	VA File Transfer

Public Offering FilingsFutures Commission Merchant (FCM) Confirmation	
Create/Update/Transfer Deals	Provides the capability to **create/update/transfer Deals.**
Distribution Mgr Filings	Provides the capability to **distribute** Mgr filings.

Futures Commission Merchant (FCM) Confirmation	
Read/Confirm	The Futures Commission Merchant (FCM) Confirmation provides the mechanism for Member firms to fulfill the obligations for reviewing and confirming their FCM list.

Regulation M Notification	
Submit	Enables firms to submit Regulation M Notification pursuant to Rule 5190, Rule 6275(f) and application trade reporting rules in accordance with the electronic submission process.

Private Placement	
Submit	Submit and view Form 5122 and 5123.