



# **FINRA Gateway Reports User Guide**

**Version 0.9  
06-11-21**



## Revision History

DATE	AUTHOR	VERSION	DESCRIPTION
10-04-19	Zolboo Dashzeveg	0.1	Initial draft
01-10-20	Zolboo Dashzeveg	0.2	Updated FINRA Gateway Reports style to reflect the new FINRA Gateway that's coming as part of FINRA's Digital Experience Transformation initiative.  The count columns will appear in the report grid when any or all columns under a top-level column is selected to be displayed in the grid. For example, if you've selected Regulator Code column under Registrations in Individual Roster template, you will need to click on the Registrations count to see the associated regulators with the individual's registrations.
06-23-20	Sarah Rose	0.3	Updates to include feature changes to export, columns, and filtering. Added tips can tricks on transition from CRD Reports to FINRA Gateway Reports.
10-08-20	Sarah Rose	0.4	Updated documentation to include filter short cuts and tips and tricks.
11-05-20	Sarah Rose	0.5	Changed name from Dynamic Report to be FINRA Gateway Reports
02-19-21	Sarah Rose	0.6	Updated to include information on Share and Save As features.
05-06-21	Sarah Rose	0.7	Updated to describe new landing page, filter details, and changes to export feature.
05-07-21	Sarah Rose	0.8	Updated entitlements information
06-11-21	Sarah Rose	0.9	Updated Group and Export sections to cover new features and functionality in those areas.



## Table of Contents

Introduction.....	1
Feedback and Support .....	1
Accessing FINRA Gateway Reports .....	2
Entitlements .....	2
Browser Support.....	3
Reports Tab .....	3
Pick a Template.....	3
Search All Templates.....	4
My Reports .....	4
Browse Templates by Category.....	5
Table Features .....	6
Scrolling within the Table.....	8
Adjusting the Table Layout.....	9
Change the Columns.....	11
Grouping.....	14
Applying Multiple Groups .....	17
Modifying Applied Group Settings.....	18
Removing Groups .....	18
Filtering the Data .....	19
Modifying Applied Template Filters.....	19
Filtering by Predetermined Values .....	21
<b>Filter Operators – Equals or Does Not Equal</b> .....	22
<b>Add Filter Condition</b> .....	23
Filtering by Date .....	25
<b>Relative Date Range Example</b> .....	25
<b>Date Is Null Example</b> .....	28



Save a Custom Report.....	30
Save As .....	32
Share a Custom Report .....	32
Delete a Custom Report.....	34
Exporting the Report.....	35
Quick Export .....	35
Advanced Export.....	38
<b>Single File Export</b> .....	39
<b>Separate Files Export</b> .....	39
Printing your Report.....	50

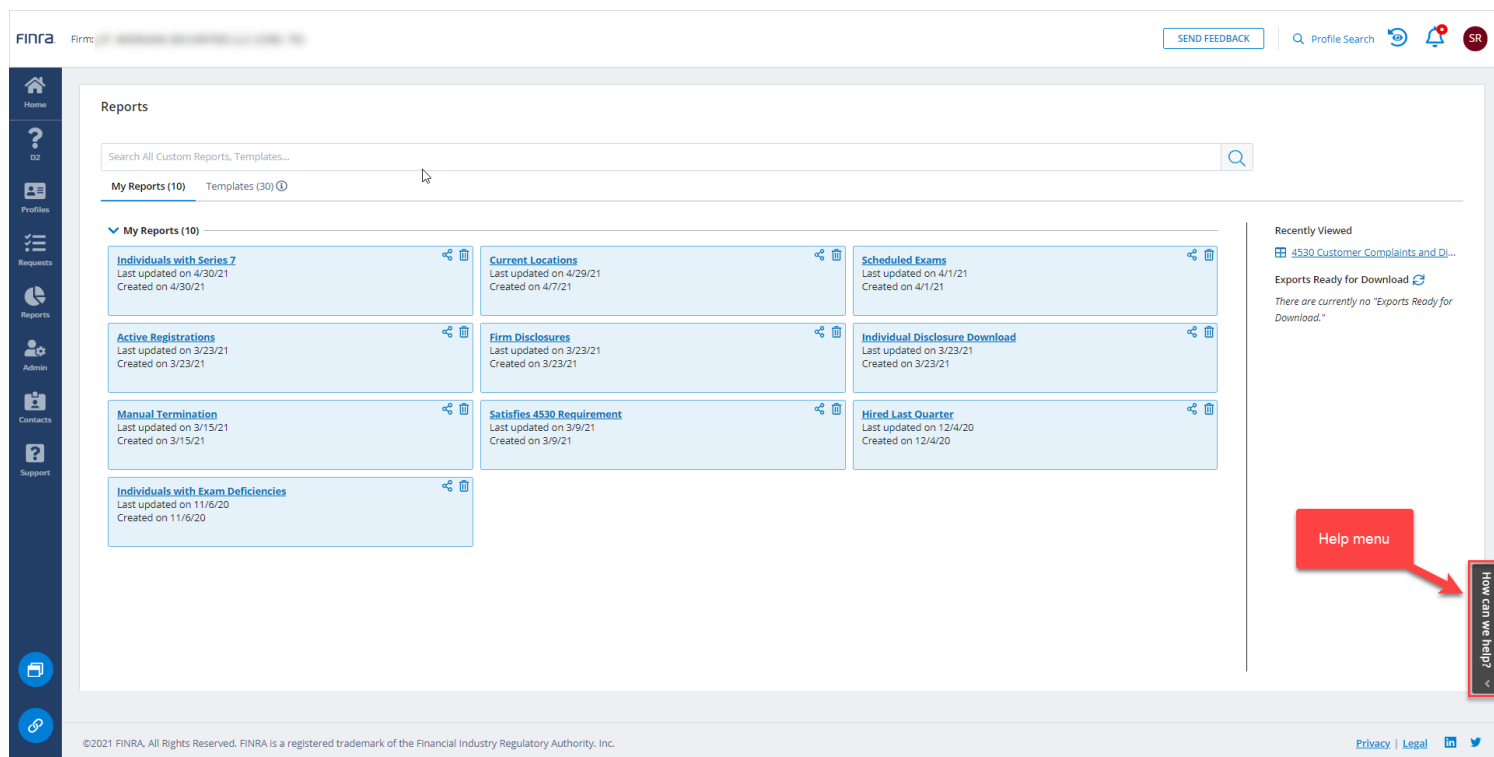
## Introduction

FINRA Gateway Reports, first released in October 2019, was created to make it easier for firm registration and compliance staff to answer common questions and make informed decisions using the most current data available. Now accessible through FINRA Gateway, FINRA Gateway Reports continues to grow the data sets available for on demand, ad hoc reporting. This User Guide provides an overview of this new capability with a step-by-step instructions.

### More Help Resources

For more information on FINRA Gateway Reports, visit the [FINRA Gateway Reports page on FINRA.org](https://finra.org) where we have posted this user guide and data definitions documentation.

If you access FINRA Gateway Reports through FINRA Gateway, you can access help documentation and tutorials through the “How Can We Help?” menu.



### Feedback and Support

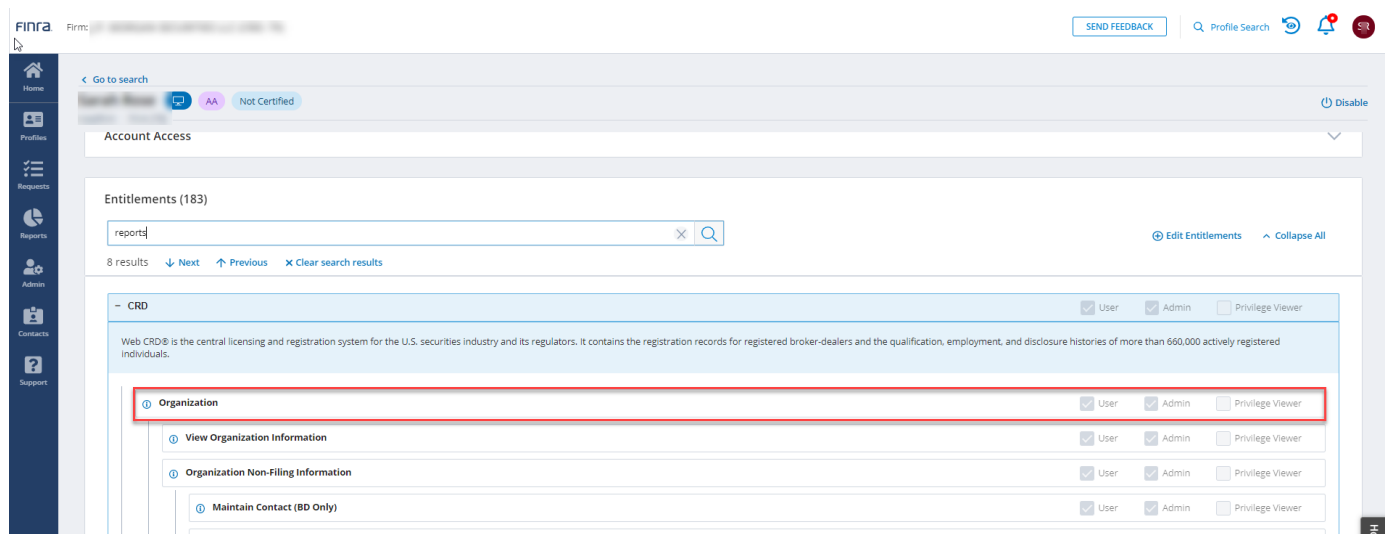
If you have a feature suggestion, technical issue, data issue, or other request, you can create a support ticket in FINRA Gateway and our team will review and get back to you. If you do not have access to FINRA Gateway, you can use our feedback form here: [https://finra.aha.io/idea\\_portals/4ed89c5d3528ae736c7cfadd1e5f959d/ideas/new](https://finra.aha.io/idea_portals/4ed89c5d3528ae736c7cfadd1e5f959d/ideas/new).

# Accessing FINRA Gateway Reports

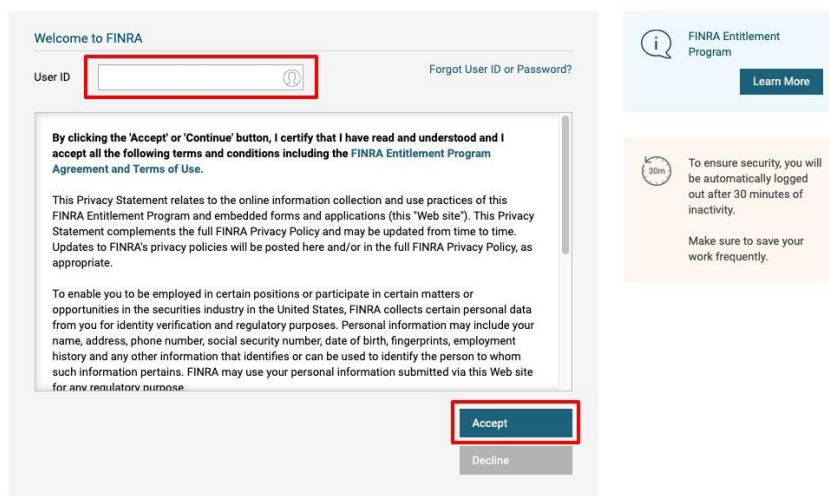
## Entitlements

FINRA Gateway Reports available through the Reports tab in FINRA Gateway. Currently, only broker-dealer firm users with entitlement to at least one of the following entitlements can access FINRA Gateway Reports.

- Reports
- Form U4
- Organization
- IA Organization



Access the FINRA Gateway at <https://gateway.finra.org> and insert your credentials and click Accept.



If you are experiencing any difficulties logging into the system, please contact your administrator for assistance. If you are a Super Account Administrator, contact the **Gateway Call Center at 301-869-6699** for assistance. Do NOT bookmark this page or add it to your favorites. If you would like to create a bookmark or add this application to your favorites, please create the bookmark or add it to your favorites after successfully logging in.

[Privacy](#) | [Legal](#) | [Terms & Conditions](#)

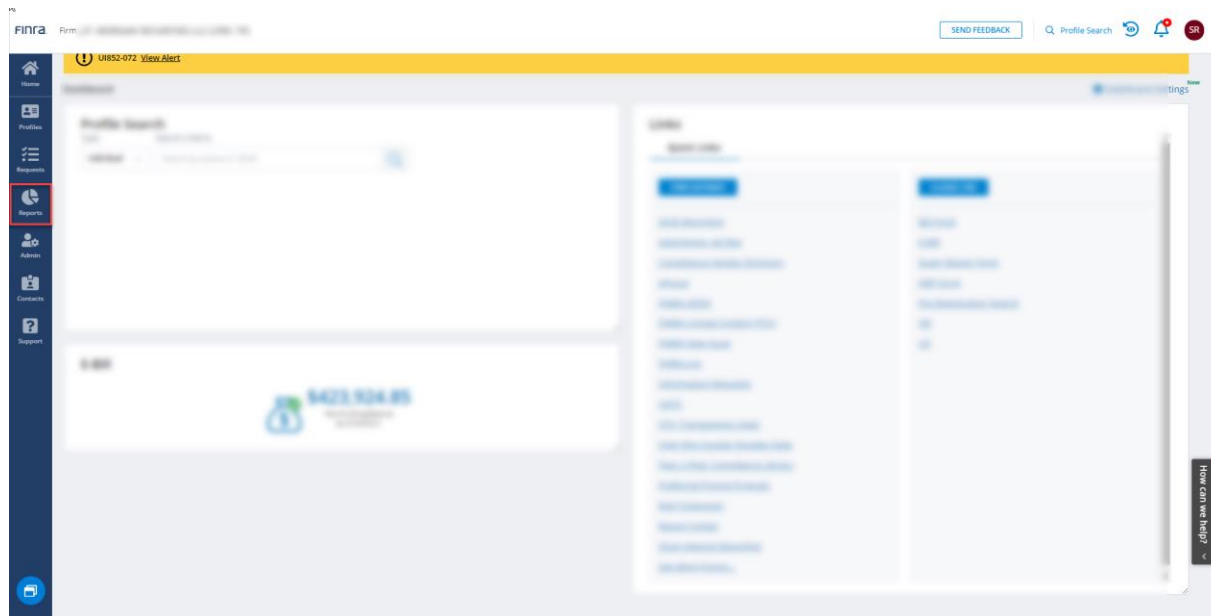
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## Browser Support

Please use one of the following web browsers: Chrome, Safari, Firefox or Edge. FINRA Gateway Reports does not support Internet Explorer. **Note:** Internet Explorer support will be phased out for FINRA applications.

## Reports Tab

After logging into FINRA Gateway, click on the Reports tab.



If you are unable to see Reports information, contact an account administrator at your firm to request one of the required entitlements as specified in the section above.

## Pick a Template

Picking the right template is the first step to using FINRA Gateway Reports. We have provided descriptions for each template to help guide your decision making.

If you have previously set up custom templates, the default view of the Reports tab will be My Reports. If you have not yet set up a custom template, you will see the available default templates.

You can toggle between custom templates and default templates using the tabs.

FINRA Firm: [Redacted]

SEND FEEDBACK | Profile Search | [Refresh] | [Alert] | [SR]

### Reports

Search All Custom Reports, Templates...

**My Reports (10)** | Templates (30)

Report Name	Last Updated	Created
Individuals with Series 7	4/30/21	4/30/21
Active Registrations	3/23/21	3/23/21
Manual Termination	3/15/21	3/15/21
Individuals with Exam Deficiencies	11/6/20	11/6/20
Current Locations	4/29/21	4/7/21
Firm Disclosures	3/23/21	3/23/21
Satisfies 4530 Requirement	3/9/21	3/9/21
Scheduled Exams	4/1/21	4/1/21
Individual Disclosure Download	3/23/21	3/23/21
Hired Last Quarter	12/4/20	12/4/20

Recently Viewed  
4530 Customer Complaints and Disputes

Exports Ready for Download  
There are currently no "Exports Ready for Download."

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## Search All Templates

You can use the search to retrieve templates by keyword.

FINRA Firm: [Redacted]

SEND FEEDBACK | Profile Search | [Refresh] | [Alert] | [SR]

### Reports

CE

CE Inactive  
Replacement of the CRD Classic Firm Queue for CE Inactive, this template shows individuals who are currently CE Inactive.

CE Download  
Replacement of the Classic CRD report. CE Download provides a list of registered individuals with CE statuses of SATISFIED, REQUIRED or CEINACTIVE.

CE Satisfied  
Replacement of the Classic CRD Firm Queue for CE Satisfied, this shows any individuals that satisfied their CE requirement within the past 15 days.

CE 2-Year Termed  
Replacement of the CE 2-Year Termed Classic CRD Firm Queue, this template shows any individuals who were CE 2-Year Termed and are still with the firm.

**CE Currently Required**

Report Name	Last Updated	Created
Manual Termination	3/15/21	3/15/21
Individuals with Exam Deficiencies	11/6/20	11/6/20
Satisfies 4530 Requirement	3/9/21	3/9/21
Hired Last Quarter	12/4/20	12/4/20

Recently Viewed  
4530 Customer Complaints and Disputes

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## My Reports

The My Reports section contains custom template you have created by manipulating and saving a default template. If you have not set up a custom template yet, this section will be empty.



Note custom report templates have a blue background.

The screenshot shows the 'Reports' section of the FINRA portal. At the top, there is a search bar and a 'SEND FEEDBACK' button. Below the search bar, there are two tabs: 'My Reports (10)' and 'Templates (30)'. The 'My Reports (10)' tab is active, displaying a grid of ten custom report templates, each with a blue background. The templates include: 'Individuals with Series 7', 'Active Registrations', 'Manual Termination', 'Individuals with Exam Deficiencies', 'Current Locations', 'Firm Disclosures', 'Satisfies 4530 Requirement', 'Scheduled Exams', 'Individual Disclosure Download', and 'Hired Last Quarter'. Each template card shows the title, last updated date, and creation date. On the right side, there is a 'Recently Viewed' section and a message about exports ready for download. A vertical sidebar on the left contains navigation icons for Home, Profiles, Requests, Reports, Admin, Contacts, and Support. The bottom of the page features a copyright notice and social media links.

## Browse Templates by Category

Standard templates are created by FINRA to facilitate common reporting scenarios. Standard templates have a purple background. You can browse standard templates by topic using the category navigation in the left margin.

This screenshot shows the 'Reports' section of the FINRA portal with the 'Templates (30)' tab selected. On the left, a category navigation menu is visible, listing: All, Individual, Branch, Firm, Terminations, Continuing Education, Registrations, Exams, and Disclosures. The 'All' category is currently selected. The main area displays a grid of 15 standard report templates, each with a purple background. These templates include: 'Active Individuals Roster', 'Individual Roster (including terminated individuals)', 'Branch Roster', 'Branches by Deficiency Status', 'Firm', 'Supervising OSJ Branches', 'Terminated Individuals by Reason Code', 'CE 2-Year Termed', 'CE Approaching Requirement', 'CE Currently Required', 'CE Download', 'CE Inactive', 'CE Satisfied', 'Individuals By CE Status', 'FinPro Access Tracking', 'Individual Fingerprint Card Statuses', 'Individuals by Exam Status', and 'Individuals by Registration Status'. Each template card provides a brief description of the data it contains. The right side of the page features the same 'Recently Viewed' and 'Exports Ready for Download' sections as the previous screenshot. The bottom of the page includes the copyright notice and social media links.

For example, clicking on Continuing Education filters the list of templates to the topic of CE.

FINRA Firm: [REDACTED] SEND FEEDBACK Profile Search SR

### Reports

Search All Custom Reports, Templates...

My Reports (10) **Templates (30)**

All	<b>CE 2-Year Termed</b> Replacement of the CE 2-Year Termed Classic CRD Firm Queue, this template shows any individuals who were CE 2-Year Termed and are still with the firm.	<b>CE Approaching Requirement</b> Replacement of the CRD Classic Firm Queue for Approaching CE Requirement, this template shows individuals who have a requirement window begin date in the next 7 days.	<b>CE Currently Required</b> Replacement of the Classic CRD Firm Queue for Currently CE Required, this template shows individuals with a requirement window end date in the next 30 days.
Individual	<b>CE Download</b> Replacement of the Classic CRD report, CE Download provides a list of registered individuals with CE statuses of SATISFIED, REQUIRED or CEINACTIVE.	<b>CE Inactive</b> Replacement of the CRD Classic Firm Queue for CE Inactive, this template shows individuals who are currently CE Inactive.	<b>CE Satisfied</b> Replacement of the Classic CRD Firm Queue for CE Satisfied, this shows any individuals that satisfied their CE requirement within the past 15 days.
Branch	<b>Individuals By CE Status</b> Explore registered individuals categorized by CE status.	<b>CE in Progress (To be Deprecated)</b> Explore registered individuals to identify individuals with CE In Progress which currently is equivalent to CE Online.	<b>Individuals with an Upcoming CE Obligation (To be Deprecated)</b> See all individuals at your firm with an upcoming continuing education obligation. Use this template in lieu of the...
Firm			
Terminations			
<b>Continuing Education</b>			
Registrations			
Exams			
Disclosures			

Recently Viewed  
4530 Customer Complaints and Di...  
Exports Ready for Download  
There are currently no "Exports Ready for Download."

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## Table Features

To get started exploring the table features available in FINRA Gateway Reports, open the **Active Individuals Roster**. You can open the **Active Individual Roster** by 1) searching for the template by name and selecting from the list that appears

FINRA Firm: [REDACTED] SEND FEEDBACK Profile Search SR

### Reports

active

**Active Registrations**

**Active Individuals Roster**  
Explore a comprehensive set of data attributes about individuals currently employed by your firm.

**CE Inactive**  
Replacement of the CRD Classic Firm Queue for **CE Inactive**, this template shows individuals who are currently CE Inactive.

**Active OSJ Roster with OSJ Supervisor(s) (To be Deprecated)**  
Explore **active** OSJ branches and the OSJ supervisor(s) for those branches.

**NY IAR - Active NY RA Individuals**  
Lists all individuals with the firm who have an **active** NY RA status. The report includes exam information and professional designations.

<b>Manual Termination</b> Last updated on 3/15/21 Created on 3/15/21	<b>Satisfies 4530 Requirement</b> Last updated on 3/9/21 Created on 3/9/21	<b>Hired Last Quarter</b> Last updated on 12/4/20 Created on 12/4/20
<b>Individuals with Exam Deficiencies</b> Last updated on 11/6/20 Created on 11/6/20		

Recently Viewed  
4530 Customer Complaints and Di...  
Exports Ready for Download  
There are currently no "Exports Ready for Download."

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or 2) going to the templates tab and clicking on the **Active Individuals Roster**.

The screenshot shows the FINRA Reports interface. A search bar at the top contains 'Search All Custom Reports, Templates...'. Below it, 'My Reports (10)' and 'Templates (30)' are listed. A grid of report templates is displayed, with 'Active Individuals Roster' highlighted in a red box. The description for this template is: 'Explore a comprehensive set of data attributes about individuals currently employed by your firm.' Other templates include 'Individual Roster (including terminated individuals)', 'Branch Roster', 'Branches by Deficiency Status', 'Firm', 'Supervising OSJ Branches', 'Terminated Individuals by Reason Code', 'CE 2-Year Termed', 'CE Approaching Requirement', 'CE Currently Required', 'CE Download', 'CE Inactive', 'CE Satisfied', 'Individuals By CE Status', 'FinPro Access Tracking', 'Individuals by Exam Status', and 'Individuals by Registration Status'. A sidebar on the right shows 'Recently Viewed' and 'Exports Ready for Download'.

Note that within the table certain data points appear in blue font. Click on any one of those numbers to expand the table to view details about that data point within a sub-table.

The screenshot shows the 'Active Individuals Roster' table. The table has columns for Individual CRD#, First Name, Last Name, Other Names, Registrations, Disclosures, Exams, and Defi. The 'Registrations' column is expanded, showing a list of individuals with their registration counts in blue font. The table includes a toolbar with options for Columns, Filter, Group, Save, and Export.

Individual CRD#	First Name	Last Name	Other Names	Registrations	Disclosures	Exams	Defi
			2	69	1	7	
			1	32		11	
			1	106		5	
				114		10	
			1	32	1	9	
				69	7	11	
			1	72		5	
			7	234	4	19	
			1	87	12	7	
			2	70		6	
			2	74		3	
			3	35	2	8	

To collapse the expanded table, click on the number again.

FINRA Firm: [REDACTED]

SEND FEEDBACK Profile Search [SR]

### Active Individuals Roster

Columns Filter Group Save Export

Individual CRD#	First Name	Last Name	Other Names	Registrations	Disclosures	Exams	Defi												
[REDACTED]	[REDACTED]	[REDACTED]	2	69	1	2													
<table border="1"> <thead> <tr> <th>Disclosure Type</th> <th>Reportable?</th> <th>Disclosable?</th> <th>Publicly Disclosable?</th> <th>Occurrence ID</th> <th>Archived?</th> </tr> </thead> <tbody> <tr> <td>[REDACTED]</td> <td>[REDACTED]</td> <td>[REDACTED]</td> <td>[REDACTED]</td> <td>[REDACTED]</td> <td>[REDACTED]</td> </tr> </tbody> </table>								Disclosure Type	Reportable?	Disclosable?	Publicly Disclosable?	Occurrence ID	Archived?	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
Disclosure Type	Reportable?	Disclosable?	Publicly Disclosable?	Occurrence ID	Archived?														
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]														
[REDACTED]	[REDACTED]	[REDACTED]	1	32		11													
[REDACTED]	[REDACTED]	[REDACTED]	1	106		5													
[REDACTED]	[REDACTED]	[REDACTED]		114		10													
[REDACTED]	[REDACTED]	[REDACTED]	1	32	1	9													
[REDACTED]	[REDACTED]	[REDACTED]		69	2	11													
[REDACTED]	[REDACTED]	[REDACTED]	1	72		5													
[REDACTED]	[REDACTED]	[REDACTED]	2	234	4	19													

How can we help?

https://gateway.qa.fi

### Scrolling within the Table

The table has scroll bars at the right and bottom of the table to allow you to scroll vertically or horizontally within the table. If you expand a sub-table within the table, the sub-table will also have horizontal and vertical scroll bars.

FINRA Firm: [REDACTED]

SEND FEEDBACK Profile Search [SR]

Individual CRD#	First Name	Last Name	Other Names	Registrations	Disclosures	Exams	Defi																																																								
[REDACTED]	[REDACTED]	[REDACTED]	2	1		5																																																									
[REDACTED]	[REDACTED]	[REDACTED]	2	34	1	8																																																									
[REDACTED]	[REDACTED]	[REDACTED]	2	120		5																																																									
<table border="1"> <thead> <tr> <th>Registration Category ...</th> <th>Registration Status Code</th> <th>Registration Status Na...</th> <th>Organization CRD#</th> <th>Registration Active ?</th> <th>Regulator Name</th> <th>Registration Begin Date</th> </tr> </thead> <tbody> <tr> <td>[REDACTED]</td> <td>[REDACTED]</td> <td>[REDACTED]</td> <td>[REDACTED]</td> <td>[REDACTED]</td> <td>[REDACTED]</td> <td>[REDACTED]</td> </tr> <tr> <td>[REDACTED]</td> <td>[REDACTED]</td> <td>[REDACTED]</td> <td>[REDACTED]</td> <td>[REDACTED]</td> <td>[REDACTED]</td> <td>[REDACTED]</td> </tr> <tr> <td>[REDACTED]</td> <td>[REDACTED]</td> <td>[REDACTED]</td> <td>[REDACTED]</td> <td>[REDACTED]</td> <td>[REDACTED]</td> <td>[REDACTED]</td> </tr> <tr> <td>[REDACTED]</td> <td>[REDACTED]</td> <td>[REDACTED]</td> <td>[REDACTED]</td> <td>[REDACTED]</td> <td>[REDACTED]</td> <td>[REDACTED]</td> </tr> <tr> <td>[REDACTED]</td> <td>[REDACTED]</td> <td>[REDACTED]</td> <td>[REDACTED]</td> <td>[REDACTED]</td> <td>[REDACTED]</td> <td>[REDACTED]</td> </tr> <tr> <td>[REDACTED]</td> <td>[REDACTED]</td> <td>[REDACTED]</td> <td>[REDACTED]</td> <td>[REDACTED]</td> <td>[REDACTED]</td> <td>[REDACTED]</td> </tr> <tr> <td>[REDACTED]</td> <td>[REDACTED]</td> <td>[REDACTED]</td> <td>[REDACTED]</td> <td>[REDACTED]</td> <td>[REDACTED]</td> <td>[REDACTED]</td> </tr> </tbody> </table>								Registration Category ...	Registration Status Code	Registration Status Na...	Organization CRD#	Registration Active ?	Regulator Name	Registration Begin Date	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
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[REDACTED]	[REDACTED]	[REDACTED]	2	73		9																																																									

How can we help?

Depending on how much data you have on your screen, you may have to use your browser scroll bar to scroll down before you see the horizontal scroll bar at the bottom of the table used to scroll the table horizontally.

The screenshot shows a table with multiple columns and rows. Two horizontal scroll bars are highlighted with red boxes: one at the bottom of the table area and another at the bottom of the page content area. The table contains numerical data in several columns, such as 3, 98, 7, 2, 73, 9, 2, 77, 1, 5, 65, 1, 6.

### Adjusting the Table Layout

Sort columns by clicking on the column heading. Columns can be sorted by ascending or descending values (numeric or alphabetical). FINRA Gateway Reports currently does not support count sorting e.g. Registrations. When you apply sorting to a column, an arrow will indicate the type of sorting (ascending or descending) that you applied.

The screenshot shows the 'Active Individuals Roster' interface. The 'Last Name' column header is highlighted with a red box and has an upward-pointing arrow next to it, indicating ascending sorting. The table has columns for Group, Individual CRD#, First Name, Last Name, and Other Names. A dropdown menu is open for the 'Group' column, showing 'registered representative/principal (20487)'. The table contains several rows of data with numerical values in the 'Other Names' column.

To adjust the order in which columns appear in your table, you can click and hold the column heading and drag it into the position of your choice.

The screenshot shows the 'Active Individuals Roster' interface. At the top, there are navigation options like 'Columns', 'Filter', 'Group', 'Save', and 'Export'. The table below has the following columns: Individual CRD#, First Name, Last Name (with an upward arrow), Other Names, Registrations, Disclosures, Exams, and Defi. A red box highlights the 'Individual CRD#' column header, and a tooltip is visible over it, indicating it can be dragged.

To access additional column formatting options, mouse your cursor over the column heading and the icon below will appear. Click on the icon to access more options.

A close-up of the 'Last Name' column header. A red box highlights a vertical ellipsis icon (three dots) located to the right of the text 'Last Name'. Below the header, a list of names is visible: Fernandez Arro..., Cervera, Aburto, and Fombella.

Click on the icon that appears to access the column menu options.

The screenshot shows the column menu options for the 'Last Name' column. The menu is open, displaying the following options: Pin Column (with a right-pointing arrow), Autosize This Column, Autosize All Columns, Reset Columns, Pin Left, Pin Right, and No Pin (which is selected with a checkmark). A small '1' is visible at the bottom of the menu.

To copy a value from the table, select the value and right click. You will have the option to **Copy** or **Copy with Header**.

## Individual Roster

Individual CRD#	First Name	Last Name
1	Engedi	Fernand
100	Ivo	Cervera
1000	Tisdale	Aburto
10000	M...	Fombell
10000		Amri
10000		Lancha
10000003	Sara	Ould Mc

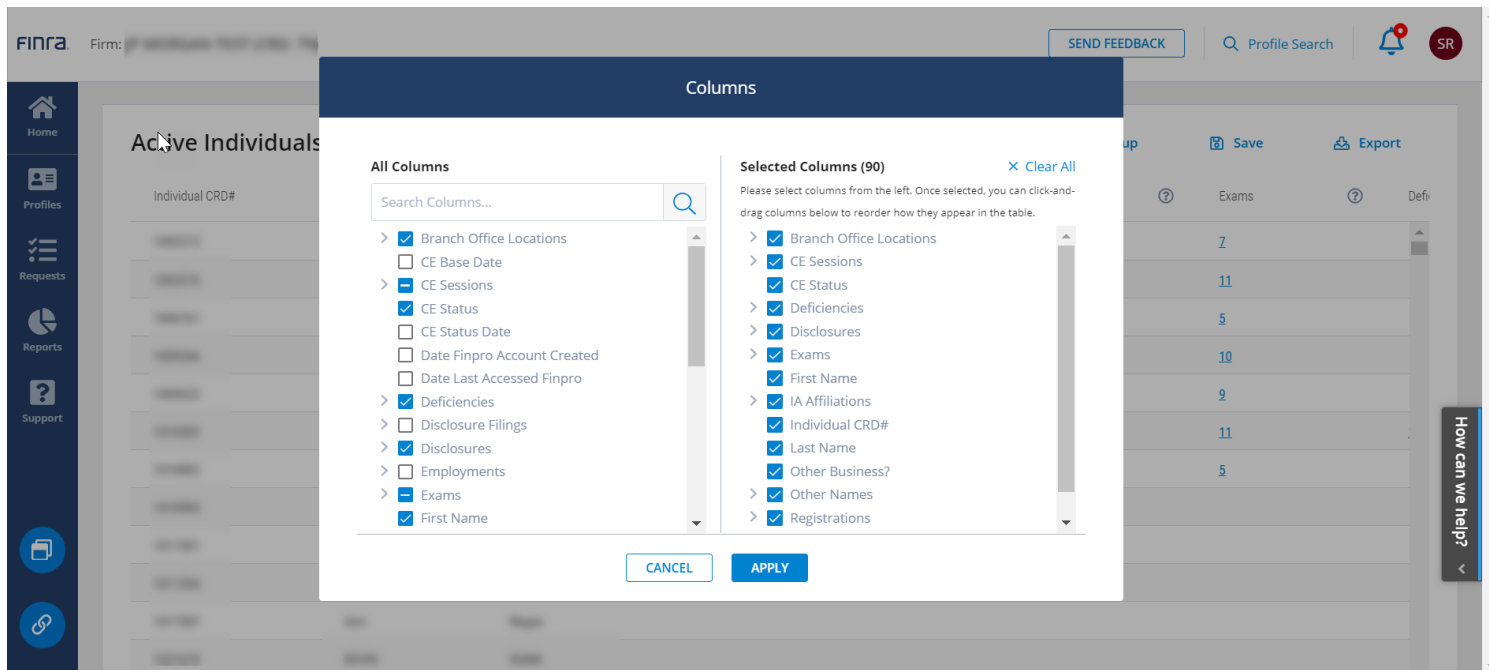
Copy Ctrl+C  
Copy with Headers

## Change the Columns

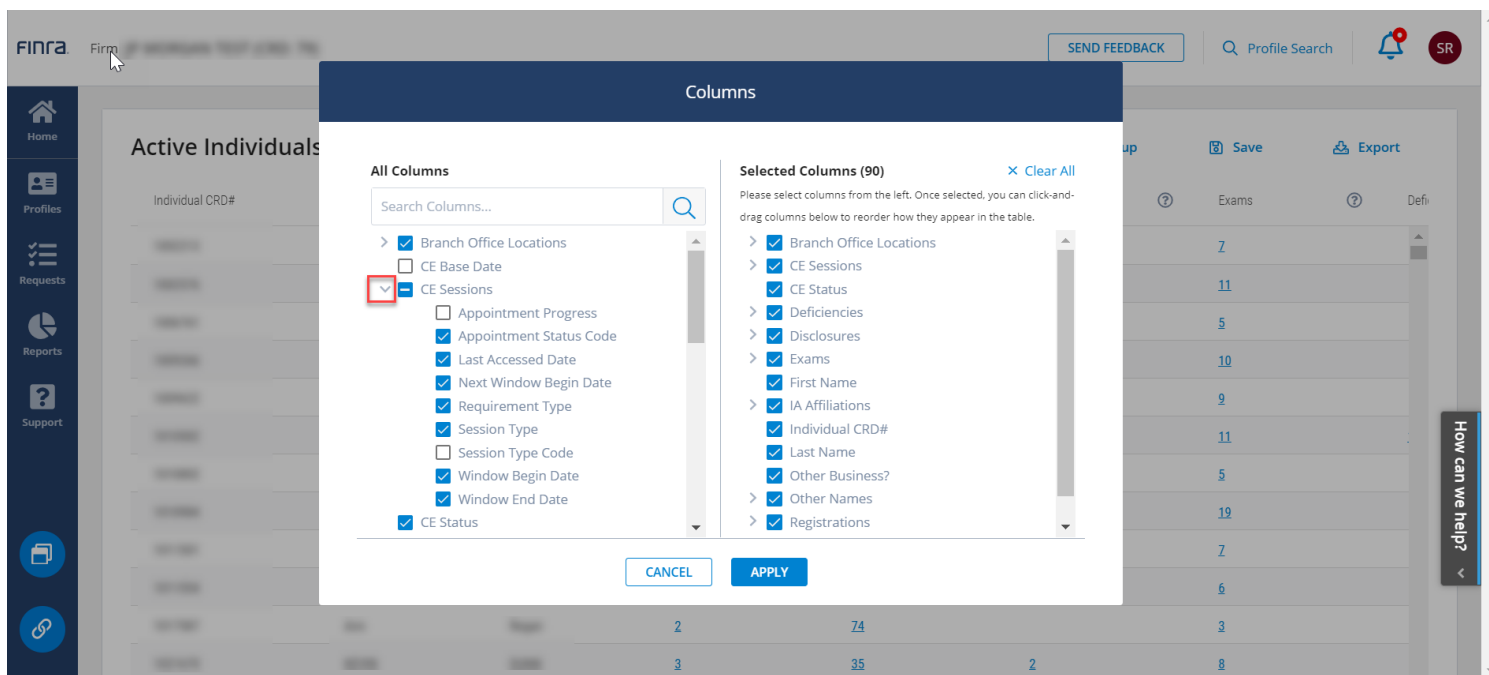
Use the Column tool to add or remove columns from your table. Open the **Columns** tool.

The screenshot shows the 'Active Individuals Roster' interface. At the top right, there are buttons for 'SEND FEEDBACK', 'Profile Search', and a notification bell. Below these is a 'Columns' button highlighted with a red box, along with 'Filter', 'Group', 'Save', and 'Export' buttons. The table below has columns for 'Individual CRD#', 'First Name', 'Last Name', 'Other Names', 'Registrations', 'Disclosures', 'Exams', and 'Defi'. A vertical sidebar on the left contains navigation icons for Home, Profiles, Requests, Reports, and Support. A vertical banner on the right asks 'How can we help?'.

Within the **Column** tool you will see all available columns listed on the left, and all the selected columns listed on the right.



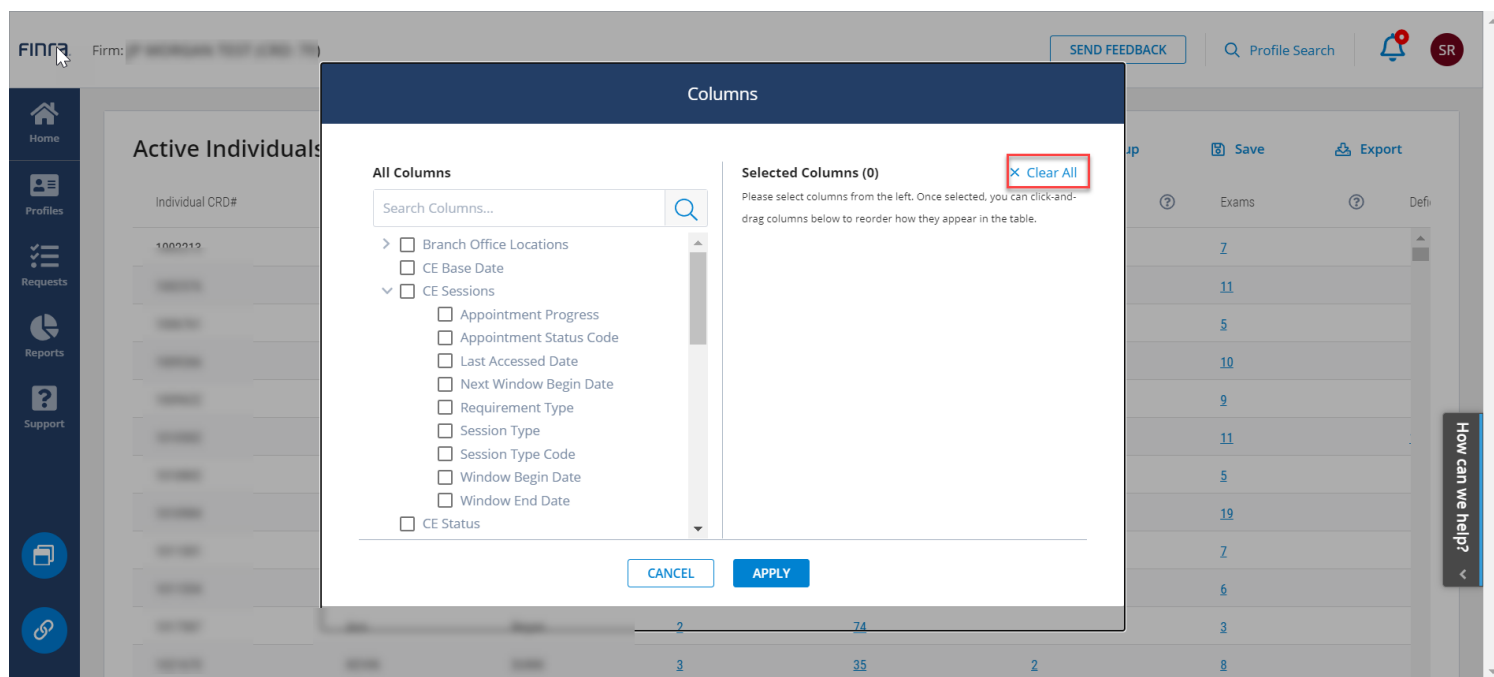
Note there is an indicator for instances where a column has nested columns within it. Click the icon to expand a column value to see the columns that are available for the sub-table for that data point.



You can remove columns by clicking wherever a column is selected to uncheck that column. You can uncheck columns from the left or right side of the Column tool to remove them from your display.

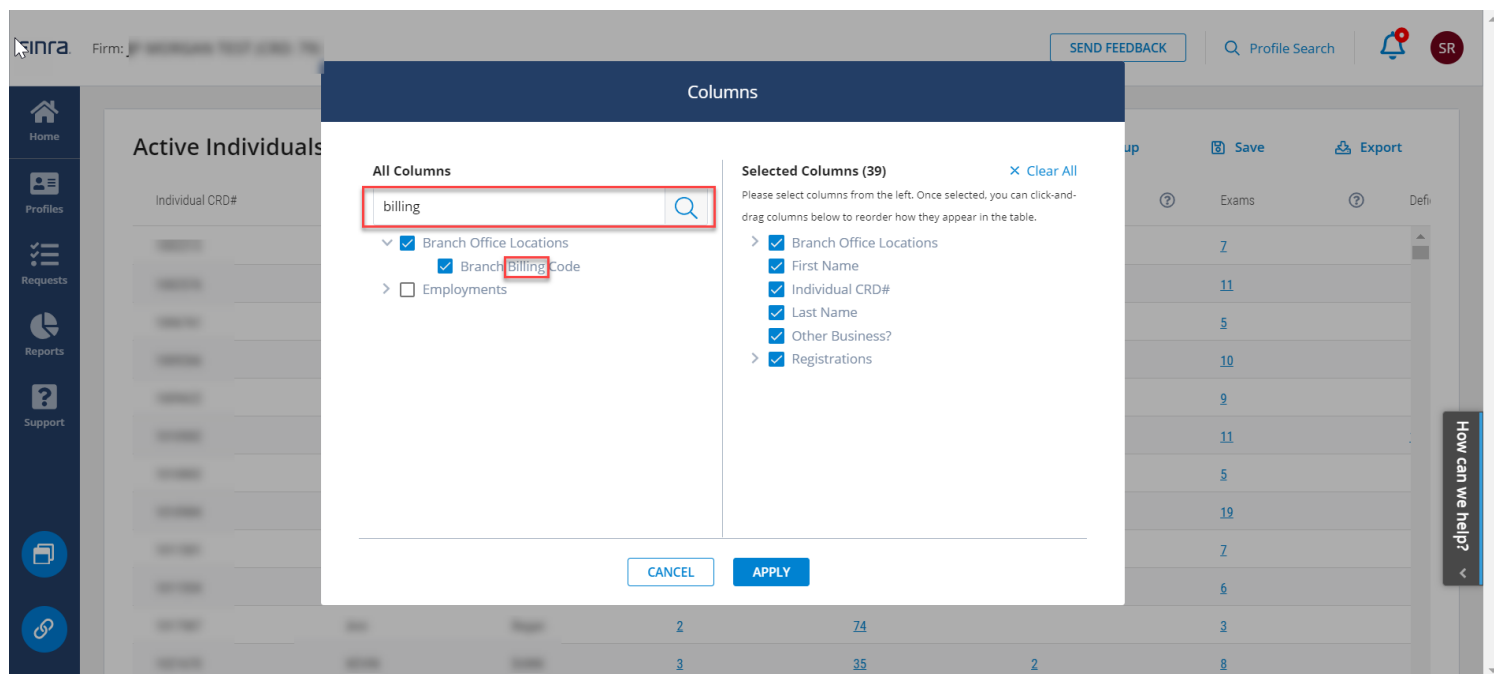


You can unselect all selected columns by using the **Clear All** option at the top of the **Column** tool.



Use search box to search for columns by keyword. Just type a keyword into the search box at the top.

If a column you search for appears nested under a parent column, the parent column will appear in the search result. You can click to expand to verify the nested columns available. You must add the parent column if you want to include a child column.



You can use the **Cancel** button to exit the **Column** tool without applying changes. Click the **Apply** button to apply the column changes you made to the table.

Once you apply the changes, you can click and drag the columns in the table to reorder them the way you'd like.

**Active Individuals Roster**

Individual CRD#	First Name	Last Name ↑	Other Names	Registrations	Disclosures	Exams	Def
			3	2		3	
71			3	4		3	
48			1	108		5	
			2	97		6	
			5	71		3	
			3	12		2	
				12		3	
			1	8		3	
			1	46		5	
				27		4	
			3	41	6	5	

## Grouping

The **Group** tool is a powerful resource for exploring your data. Certain templates are grouped as a default. When you open a template, such as Individuals by Registration Status, you can see the **Group** information at the top of the page. This shows what the data is Grouped By. In the column named **Group** you can see the groupings with counts of records within each group. Grouping by Registration Status gives you a view of all registration statuses within your data set.

**Individuals by Registration Status (18)**

Groups: **Registration Status Name**

Group	Individual CRD#	First Name	Last Name	Branch Office Locations	Registrations	Regis
> approved (25179)						
> termed (4205)						
> administrat... (8368)						
> terminated ... (8108)						
> deficient (1132)						
> termed wit... (1555)						
> purged (896)						
> inactive - co... (524)						
> restricted a... (2354)						
> termed.mass (40)						

Imagine you want to see individuals at your firm organized by Employment Type so you know who is a non-registered fingerprinted individual (NRF) versus who is a registered employee. Open the **Active Individuals Roster**. Click on the **Group** tool.

Active Individuals Roster (27548) Columns Filter **Group** Save Export

First Name	Last Name	Individual CRD#	Registrations	Disclosures	Exams	Deficiencies
[Redacted]	[Redacted]	[Redacted]	72		7	
[Redacted]	[Redacted]	[Redacted]	119		10	
[Redacted]	[Redacted]	[Redacted]	42		9	
[Redacted]	[Redacted]	[Redacted]	71	7	11	
[Redacted]	[Redacted]	[Redacted]	74		5	
[Redacted]	[Redacted]	[Redacted]	239		19	
[Redacted]	[Redacted]	[Redacted]	91	11	7	
[Redacted]	[Redacted]	[Redacted]	76		3	
[Redacted]	[Redacted]	[Redacted]	37		8	
[Redacted]	[Redacted]	[Redacted]	134		6	
[Redacted]	[Redacted]	[Redacted]	51		5	

Within the **Group** tool, search for **Employment Type**. Click the arrow icon next to the word Employment to expand the Employment group. Select **Employment Type Code** and click **Apply**.

Group

All Groups

employment x 🔍

Employments

- Employment Active ?
- Employment End Date
- Employment Start Date
- Employment Type Code

Selected Groups (1) x Clear All

Please select groups from the left. Once selected, you can click-and-drag groups below to reorder how they appear in the table.

Employment Type Code x

CANCEL
APPLY

After you click **Apply** to apply the grouping by Employment Type Code to the Active Individuals Roster, you will get a count of individuals within Employment Type.

### Active Individuals Roster (6)

Columns Filter Group Save Export

Groups: Employment Type Code X

Group	First Name	Last Name	Individual CRD#	Registrations	Disclosures
> registered representative/principal (18914)					
> registered representative/principal and in... (7097)					
> non-registered fingerprint individual (1454)					
> investment adviser representative (17)					
> owner/officer (16)					
> _other (50)					

You can click on the group to expand and view details.

### Active Individuals Roster (6)

Columns Filter Group Save Export

Groups: Employment Type Code X

Group	First Name	Last Name	Individual CRD#	Registrations	Disclosures
> registered representative/principal (18914)					
> registered representative/principal and inve... (7097)					
▼ non-registered fingerprint individual (1454)					
				2	
				1	

## Applying Multiple Groups

Imagine you want to know individuals at your firm by their registration category and regulator name. You can use the **Group** tool to organize individuals in your firm by **Regulator Name** and **Registration Category Name**. Note that the group you apply first will be the initial group you see on the result and you will click in to see the next group. That is why the second grouping is slightly indented under the first grouping. You can drag and drop to rearrange the group order.

Active Individuals Roster (27548) Columns Filter Group Save Export

Group

All Groups

Search Groups...

- Registration Approved?
- Registration Begin Date
- Registration Category Code
- Registration Category Name
- Registration End Date
- Registration Status Code
- Registration Status Name

Selected Groups (2) ✕ Clear All

Please select groups from the left. Once selected, you can click-and-drag groups below to reorder how they appear in the table.

Regulator Name ✕

Registration Category Name ✕

CANCEL
APPLY

Group	Count
finra (26151)	6
general ... (14637)	5

When you apply the two groups, the group tag will turn to a rectangle with a count of the number of groups it contains.

## Active Individuals Roster (78)

Columns Filter Group Save Export

Groups: Regulator Name (2) ✕

Group	First Name	Last Name	Individual CRD#	Registrations	Disclosures	Exams
<div style="border: 1px solid #ccc; padding: 2px;"> <span style="font-size: 0.8em;">▼</span> finra (26151)           </div>						
<div style="border: 1px solid #ccc; padding: 2px;"> <span style="font-size: 0.8em;">&gt;</span> general ... (14637)           </div>						
<div style="border: 1px solid #ccc; padding: 2px;"> <span style="font-size: 0.8em;">&gt;</span> invest. c... (12101)           </div>						
<div style="border: 1px solid #ccc; padding: 2px;"> <span style="font-size: 0.8em;">&gt;</span> investme... (2561)           </div>						
<div style="border: 1px solid #ccc; padding: 2px;"> <span style="font-size: 0.8em;">&gt;</span> general s... (1978)           </div>						
<div style="border: 1px solid #ccc; padding: 2px;"> <span style="font-size: 0.8em;">&gt;</span> operation... (1654)           </div>						
<div style="border: 1px solid #ccc; padding: 2px;"> <span style="font-size: 0.8em;">&gt;</span> general s... (1136)           </div>						
<div style="border: 1px solid #ccc; padding: 2px;"> <span style="font-size: 0.8em;">&gt;</span> securities ... (664)           </div>						
<div style="border: 1px solid #ccc; padding: 2px;"> <span style="font-size: 0.8em;">&gt;</span> investmen... (506)           </div>						
<div style="border: 1px solid #ccc; padding: 2px;"> <span style="font-size: 0.8em;">&gt;</span> municipal ... (471)           </div>						
<div style="border: 1px solid #ccc; padding: 2px;"> <span style="font-size: 0.8em;">&gt;</span> registered ... (427)           </div>						

## Modifying Applied Group Settings

Click the **Groups** tag to edit your group settings. You can add or remove groups and drag and drop to rearrange the group order.

### Active Individuals Roster (78)

Columns Filter Group Save Export

Groups: Regulator Name (2) X

Group: Regulator Name X

Registration Category Name X

+ Add Group

CANCEL APPLY

Group	Last Name	Individual CRD#	Registrations	Disclosures	Exams
> fin					
> G					
> i					
> i					
> general s... (1978)					
> operation... (1654)					
> general s... (1136)					
> securities ... (664)					
> investmen... (506)					
> municipal ... (471)					
> ... (427)					

## Removing Groups

If you want to remove applied groups, you can click the "X" on the group tag.

### Active Individuals Roster (6)

Columns Filter Group Save Export

Groups: Employment Type Code X

Group	First Name	Last Name	Individual CRD#	Registrations	Disclosures
> registered representative/principal (18914)					
> registered representative/principal and in... (7097)					
> non-registered fingerprint individual (1454)					
> investment adviser representative (17)					
> owner/officer (16)					
> _other (50)					

## Filtering the Data

The **Filter** tool allows you to refine the data set to include only the records you need. You can filter by any data point you choose.

### Modifying Applied Template Filters

Templates are set up with filters that you can modify to create custom templates. For example, go to the **Templates** tab, click on the **Continuing Education** category and open the **CE Approaching Requirement** template.

The screenshot shows the FINRA Reports interface. On the left sidebar, the 'Continuing Education' category is highlighted with a red box. In the main content area, the 'CE Approaching Requirement' template is highlighted with a red box. The interface includes a search bar at the top, a navigation menu on the left, and a grid of report templates. The 'CE Approaching Requirement' template is described as: 'Replacement of the CRD Classic Firm Queue for Approaching CE Requirement, this template shows individuals who have a requirement window begin date in the next 7 days.'

When you open the **CE Approaching Requirement** template, you will see a blue tag at the top of the page indicating the type of filter that has been applied to create this template.

Filters: Window Begin Date X

Individual CRD#	Last Name	Suffix	First Name	Middle Name	Window Begin Date ↑	Window End Date	Appointment Status Code	Appointment Date	Last Accessed Date
					2021-05-04	2021-08-31			
					2021-05-04	2021-08-31			
					2021-05-04	2021-08-31			
					2021-05-04	2021-08-31			
					2021-05-04	2021-08-31			
					2021-05-04	2021-08-31			
					2021-05-04	2021-08-31			
					2021-05-04	2021-08-31			
					2021-05-04	2021-08-31			
					2021-05-04	2021-08-31			
					2021-05-04	2021-08-31			
					2021-05-04	2021-08-31			
					2021-05-04	2021-08-31			
					2021-05-04	2021-08-31			
					2021-05-04	2021-08-31			
					2021-05-04	2021-08-31			

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Click on the blue filter tag to open the filter details.

Filters: Window Begin Date X

**Filter**

Window Begin Date X

Filter By: Window Begin Date

**In Range** (selected)

2021-05-03 — 2021-05-04

**Relative Range** (05/04/2021 - 05/10/2021)

**Days** | Weeks | Months | Quarters | Years

Yesterday  Past 2 days (Max: 365)

**Next 7 days (Max: 365)**

Today  Tomorrow

**APPLY FILTER**

CANCEL | **DONE**

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By default, this template is showing individuals with CE window begin date happening in the next 7 days. You can change those settings to meet your needs. For example, you can change it to be the window beginning in the next 30 days by changing the number and clicking **Apply Filter** and **Done**.



## Filtering by Predetermined Values

Filter options vary by the type of filter you choose. Some filters include a drop down select list so you can choose from a set of predetermined options. For example, you can filter individuals at your firm by the type of exam they have taken. Choose the **Active Individual Roster** template. Then click on the **Filter** tool.

First Name	Last Name	Individual CRD#	Registrations	Disclosures	Exams	Deficiencies	Branch Office Local...	Other Business?
			20	1	2		3	YES
			33		11		1	YES
			118		5		6	NO
			119		10		109	YES
			41	1	2		2	NO
			69	2	11		1	YES
			73		5		1	NO
			236	4	19		2	YES
			247	12	12	153	1	YES
			21		6		5	NO
			287		17	239	2	YES
			26	2	8		6	NO
			133	2	6		2	YES
			98		8	47	5	NO
			29		6		1	NO
			52	2	8		1	YES
			44	3	11		2	YES

From the Filter tool, you can search on the word **Exam** or scroll to the Exam section from the list that appears. Note you can click the > to expand the option of Exam filters within the subtable. Choose the Exam filter.

The screenshot shows the 'Active Individuals Roster (28648)' interface. A 'Filter' dialog box is open, displaying a list of filter options. The 'Exams' filter is selected, and the 'Exam' option is highlighted in the dropdown menu. The background table shows columns for First Name, Last Name, Individual CRD#, Registrations, Disclosures, Exams, Deficiencies, Branch Office Locati., and Other Business?.

### Filter Operators – Equals or Does Not Equal

When you choose the **Exam** filter, you can choose a filter operator. By default, the **Equals** filter operator will be included. That means the filter will include exams that match the filter you choose. You can change it to **Does not Equal** if you want to exclude an exam type.

The screenshot shows the 'Active Individuals Roster (28648)' interface. A 'Filter' dialog box is open, displaying a list of filter options. The 'Exams-Exam' filter is selected, and the 'Equals' operator is highlighted in the dropdown menu. The background table shows columns for First Name, Last Name, Individual CRD#, Registrations, Disclosures, Exams, Deficiencies, Branch Office Locati., and Other Business?.

In this example, we will keep the filter operator **Equals** and select the exam S7 from the select list of filter options that appears.

The screenshot shows the 'Active Individuals Roster (28648)' interface. A 'Filter' dialog box is open, allowing the user to add a new filter condition. The 'Filter By' dropdown is set to 'Exams-Exam'. The operator is set to 'Equals'. A dropdown menu is open, showing a list of exam codes: S65, S66, S6TO, S7, S72, S79, and S79TO. The 'S7' option is selected and highlighted with a red box. The background shows a table with columns for First Name, Last Name, Individual CRD#, Registrations, Disclosures, Exams, Deficiencies, Branch Office Locati..., and Other Business?.

### Add Filter Condition

If we want to filter by more than one type of exam, we can click the Add Filter Condition link.

This screenshot is similar to the previous one, but the 'Add Filter Condition' link in the filter dialog is highlighted with a red box. The 'S7' option is still selected in the dropdown menu. The 'APPLY FILTER' button is visible at the bottom of the dialog. The background table and interface elements are the same as in the previous screenshot.

Clicking the **Add Filter Condition** option allows us to select another exam type to include. For example, selecting to add a filter for SIE means the filter will include individuals who have taken the Series 7 exam **OR** the SIE exam.

The screenshot shows the 'Active Individuals Roster (28648)' interface. A 'Filter' dialog box is open, allowing the user to add a new filter condition. The 'Filter By' dropdown is set to 'Exams-Exam'. Two conditions are currently listed: 'Equals S7' and 'OR Equals SIE'. The 'OR' operator is highlighted with a red box. The 'Add Filter Condition' button is also highlighted with a red box. The background table shows columns for First Name, Last Name, Individual CRD#, Registrations, Disclosures, Exams, Deficiencies, Branch Office Locati., and Other Business?.

You can add as many filter conditions as you'd like using the **Equals** filter operator and clicking **Add Filter Condition**. However, if you choose the **Does Not Equal** filter operator, you can only choose one filter because the filters function as OR not AND so the only way to fully exclude a result is to limit it to one. When a filter has more than one option applied, the filter tag indicator will be a square instead of a rounded oval in the table view. It will also include a count of the number of options that have been selected for the filter.

The screenshot shows the 'Active Individuals Roster (27433)' interface after applying the filter. The 'Filters' section at the top indicates 'Exams-Exam (2)'. The table below shows the filtered results, with a square filter tag indicator next to the 'Exams' column header. The table columns are First Name, Last Name, Individual CRD#, Registrations, Disclosures, Exams, Deficiencies, Branch Office Locati., and Other Business?.

## Filtering by Date

FINRA Gateway Reports provides several options for filtering by date. If you choose the **Equals** option, you can filter by an exact date. The **Less Than** option lets you filter results that occurred before the date you specify. The **Greater Than** option filters results that occurred after the date you specify. The **Is Null** option lets you filter by a date that is missing. And the **In Range** filter lets you filter by an exact date range using specific dates you provide, or a relative date range, using a time period you want to cover in the filter.

The screenshot shows the FINRA Gateway Reports interface. The main content area displays a table titled "Active Individuals Roster (28648)". The table has columns for First Name, Last Name, Individual CRD#, Registrations, Disclosures, Exams, Deficiencies, Branch Office Locati..., and Other Business?. A "Filter" dialog box is open over the table, showing the "Filter By" dropdown set to "Registrations-Registration Begin Date" and the "Filter" dropdown set to "Equals". The "In Range" option is highlighted in blue. The dialog box also includes an "APPLY FILTER" button, a "CANCEL" button, and a "DONE" button.

## Relative Date Range Example

If you select the **In Range** option, you will have a choice of an exact date range using dates you specify, or a relative date range that can look forward or back in time using time increments of your choice. Relative date ranges are useful in setting up reports because no matter what point in time you open the report, you will get the most up-to-date data.

For example, to set up a report of new hires added in the past quarter, you can set up a relative date range on the Employment Start Date. First, search on employment start date to find and select the appropriate filter.

FINRA Firm: [REDACTED]

SEND FEEDBACK Profile Search [REDACTED] SR

### Active Individuals Roster (28643)

Columns Filter Group Save Export

First Name	Last Name	Individual CRD#	Registrations	Disclosures	Exams	Deficiencies	Branch Office Locati...	Other Business?
[REDACTED]	[REDACTED]	[REDACTED]	20	1	2		3	YES
[REDACTED]	[REDACTED]	[REDACTED]	33		11		1	YES
[REDACTED]	[REDACTED]	[REDACTED]					5	NO
[REDACTED]	[REDACTED]	[REDACTED]					109	YES
[REDACTED]	[REDACTED]	[REDACTED]					2	NO
[REDACTED]	[REDACTED]	[REDACTED]					1	YES
[REDACTED]	[REDACTED]	[REDACTED]					1	NO
[REDACTED]	[REDACTED]	[REDACTED]					2	YES
[REDACTED]	[REDACTED]	[REDACTED]					5	NO
[REDACTED]	[REDACTED]	[REDACTED]					2	YES
[REDACTED]	[REDACTED]	[REDACTED]					6	NO
[REDACTED]	[REDACTED]	[REDACTED]					2	YES
[REDACTED]	[REDACTED]	[REDACTED]	98				5	NO
[REDACTED]	[REDACTED]	[REDACTED]	29				1	NO
[REDACTED]	[REDACTED]	[REDACTED]	52				1	YES
[REDACTED]	[REDACTED]	[REDACTED]	44				2	YES

Filter

Add New Filter

Filter By

Employments-Employment Start Date

- Disclosure Filings
- Employing Firm
- Employments
- Employment Active?
- Employment End Date
- Employment Start Date**
- Employment Type Code
- Professional Designations
- First Filing Employer
- Last Filing Employer

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Next, choose the **In Range** filter operator.

FINRA Firm: [REDACTED]

SEND FEEDBACK Profile Search [REDACTED] SR

### Active Individuals Roster (28643)

Columns Filter Group Save Export

First Name	Last Name	Individual CRD#	Registrations	Disclosures	Exams	Deficiencies	Branch Office Locati...	Other Business?
[REDACTED]	[REDACTED]	[REDACTED]	20	1	2		3	YES
[REDACTED]	[REDACTED]	[REDACTED]	33		11		1	YES
[REDACTED]	[REDACTED]	[REDACTED]					5	NO
[REDACTED]	[REDACTED]	[REDACTED]					109	YES
[REDACTED]	[REDACTED]	[REDACTED]					2	NO
[REDACTED]	[REDACTED]	[REDACTED]					1	YES
[REDACTED]	[REDACTED]	[REDACTED]					1	NO
[REDACTED]	[REDACTED]	[REDACTED]					2	YES
[REDACTED]	[REDACTED]	[REDACTED]					5	NO
[REDACTED]	[REDACTED]	[REDACTED]					2	YES
[REDACTED]	[REDACTED]	[REDACTED]					6	NO
[REDACTED]	[REDACTED]	[REDACTED]					2	YES
[REDACTED]	[REDACTED]	[REDACTED]	98		8	47	5	NO
[REDACTED]	[REDACTED]	[REDACTED]	29		5		1	NO
[REDACTED]	[REDACTED]	[REDACTED]	52	2	8		1	YES
[REDACTED]	[REDACTED]	[REDACTED]	44	3	11		2	YES

Filter

Add New Filter

Filter By

Employments-Employment Start Date

Equals

- Equals
- Less than
- Greater than
- Is null
- In Range**

YYYY-MM-DD

APPLY FILTER

CANCEL DONE

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After choosing the **In Range** filter operator, choose the **Relative Range** option. In this example, the relative range is set up to cover the past quarter.

The screenshot shows the 'Active Individuals Roster (28643)' interface. A 'Filter' dialog box is open, allowing the user to refine the search. The 'Filter By' dropdown is set to 'Employments-Employment Start Date'. Under the 'In Range' operator, the 'Relative Range' option is selected, showing a date range of '(01/01/2021 - 03/31/2021)'. The 'Quarters' unit is selected, and 'Past 1 quarters (Max: 20)' is chosen. The 'APPLY FILTER' button is highlighted with a red box. The background table shows columns for First Name, Last Name, Individual CRD#, and Other Business?.

**Apply Filter** to apply changes. Click **Done**. You can save this report as a custom template using the **Save** tool. Whenever you open the saved report with the relative date range filter applied, it will show you the new hires in the previous quarter.

The screenshot shows the 'Active Individuals Roster (62)' interface after the filter is applied. The 'Filters' section at the top indicates 'Employments-Employment Start Date' is active. The 'Save' button in the top right corner is highlighted with a red box. A 'Save As' dialog box is open, prompting the user to save the table to their 'Custom Reports'. The 'Table Name' field contains 'New Hires Last Quarter', and the 'SAVE' button is highlighted with a red box. The background table shows columns for First Name, Last Name, Individual CRD#, Registrations, Disclosures, Exams, Deficiencies, Branch Office Locati..., and Other Business?.

## Date Is Null Example

The **Is Null** option on dates is helpful for getting a snapshot of a current point in time. For example, to know the current residential addresses and branch locations of individuals at your firm, set a filter on the residence end date and branch location end date to **Is Null**.

Find the filters by searching for “end date.” Select the **branch location end date**.

The screenshot shows the FINRA Active Individuals Roster (28641) interface. A filter dialog box is open, showing the search results for "end date". The "Location End Date" option under "Branch Office Locations" is highlighted with a red box. The background table shows columns for First Name, Last Name, Individual CRD#, Registrations, Disclosures, Exams, Deficiencies, Branch Office Locations, and Other Business?.

First Name	Last Name	Individual CRD#	Registrations	Disclosures	Exams	Deficiencies	Branch Office Locations	Other Business?
[blurred]	[blurred]	[blurred]	20	1	2		3	YES
[blurred]	[blurred]	[blurred]	33		11		1	YES
[blurred]	[blurred]	[blurred]					6	NO
[blurred]	[blurred]	[blurred]	133				103	YES
[blurred]	[blurred]	[blurred]					2	NO
[blurred]	[blurred]	[blurred]					1	YES
[blurred]	[blurred]	[blurred]					1	NO
[blurred]	[blurred]	[blurred]					2	YES
[blurred]	[blurred]	[blurred]					1	YES
[blurred]	[blurred]	[blurred]	5				5	NO
[blurred]	[blurred]	[blurred]					2	YES
[blurred]	[blurred]	[blurred]	6				6	NO
[blurred]	[blurred]	[blurred]					2	YES
[blurred]	[blurred]	[blurred]	98				4	YES
[blurred]	[blurred]	[blurred]					5	NO
[blurred]	[blurred]	[blurred]	79				1	NO
[blurred]	[blurred]	[blurred]	52				1	YES
[blurred]	[blurred]	[blurred]	44				2	YES

With that filter selected, change the filter operator to **Is Null** and **Apply Filter**.



FINRA Firm: [REDACTED] SEND FEEDBACK Profile Search [REDACTED] SR

### Active Individuals Roster (28641)

Columns Filter Group Save Export

First Name	Last Name	Individual CRD#	Registrations	Disclosures	Exams	Deficiencies	Branch Office Locati...	Other Business?
[REDACTED]	[REDACTED]	1002213	70	1	2		3	YES
[REDACTED]	[REDACTED]	1002576	33		11		1	YES
[REDACTED]	[REDACTED]	1006761					6	NO
[REDACTED]	[REDACTED]	1009266					109	YES
[REDACTED]	[REDACTED]	1009622					2	NO
[REDACTED]	[REDACTED]	1010502					1	YES
[REDACTED]	[REDACTED]	1010802					1	NO
[REDACTED]	[REDACTED]	1010984					2	YES
[REDACTED]	[REDACTED]	1011501					1	YES
[REDACTED]	[REDACTED]	1011554					5	NO
[REDACTED]	[REDACTED]	1017587					2	YES
[REDACTED]	[REDACTED]	1021670					6	NO
[REDACTED]	[REDACTED]	1021828					2	YES
[REDACTED]	[REDACTED]	1021922	98		8	47	5	NO
[REDACTED]	[REDACTED]	1026026	29		6		1	NO
[REDACTED]	[REDACTED]	1026284	52	2	8		1	YES
[REDACTED]	[REDACTED]	1031242	44	3	11		2	YES

Filter

Add New Filter

Filter By

- Is null
- Equals
- Less than
- Greater than
- Is null
- In Range

APPLY FILTER
CANCEL
DONE

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Repeat that process to select the **residential address end date** and set to **Is Null** and **Apply Filter**.

FINRA Firm: [REDACTED] SEND FEEDBACK Profile Search [REDACTED] SR

### Active Individuals Roster (28641)

Columns Filter Group Save Export

First Name	Last Name	Individual CRD#	Registrations	Disclosures	Exams	Deficiencies	Branch Office Locati...	Other Business?
[REDACTED]	[REDACTED]	[REDACTED]	70	1	2		3	YES
[REDACTED]	[REDACTED]	[REDACTED]					1	YES
[REDACTED]	[REDACTED]	[REDACTED]					6	NO
[REDACTED]	[REDACTED]	[REDACTED]					109	YES
[REDACTED]	[REDACTED]	[REDACTED]					2	NO
[REDACTED]	[REDACTED]	[REDACTED]					1	YES
[REDACTED]	[REDACTED]	[REDACTED]					1	NO
[REDACTED]	[REDACTED]	[REDACTED]					2	YES
[REDACTED]	[REDACTED]	[REDACTED]					5	NO
[REDACTED]	[REDACTED]	[REDACTED]					2	YES
[REDACTED]	[REDACTED]	[REDACTED]					6	NO
[REDACTED]	[REDACTED]	[REDACTED]					2	YES
[REDACTED]	[REDACTED]	[REDACTED]	98				5	NO
[REDACTED]	[REDACTED]	[REDACTED]	29				1	NO
[REDACTED]	[REDACTED]	[REDACTED]	52	2			1	YES
[REDACTED]	[REDACTED]	[REDACTED]	44	3			2	YES

Filter

Add New Filter

Branch Office Locations-Location End Date X

Filter By

- Location End Date
- CE Sessions
- Window End Date
- Employments
- Employment End Date
- Exams
- Window End Date
- Registrations
- Registration End Date
- Residential Locations
- Address End Date

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With the **Is Null** date filter applied, the report will only contain the current residential addresses and branch locations since current locations will have no end date specified.

## Save a Custom Report

Use the **Save** tool to save your settings.

The screenshot shows the 'Active Individuals Roster (62)' page in the FINRA system. The 'Save' button is highlighted with a red box. The table below shows the data for the roster.

First Name	Last Name	Individual CRD#	Registrations	Disclosures	Exams	Deficiencies	Branch Office Locati...	Other Business?
[Redacted]	[Redacted]	[Redacted]	3		10		1	YES
[Redacted]	[Redacted]	[Redacted]	29		5		1	NO
[Redacted]	[Redacted]	[Redacted]			12		1	NO
[Redacted]	[Redacted]	[Redacted]	196	1	2		2	YES
[Redacted]	[Redacted]	[Redacted]	47		3	26	2	NO
[Redacted]	[Redacted]	[Redacted]	31	1	4		1	NO
[Redacted]	[Redacted]	[Redacted]	28		3	149	2	NO
[Redacted]	[Redacted]	[Redacted]	30		6		3	NO
[Redacted]	[Redacted]	[Redacted]	2		1		1	NO
[Redacted]	[Redacted]	[Redacted]	31		4		1	NO
[Redacted]	[Redacted]	[Redacted]	31		5		2	NO
[Redacted]	[Redacted]	[Redacted]	22		4		1	NO
[Redacted]	[Redacted]	[Redacted]	55		6		2	NO
[Redacted]	[Redacted]	[Redacted]	2		3		1	NO
[Redacted]	[Redacted]	[Redacted]	30	2	3		2	NO
[Redacted]	[Redacted]	[Redacted]	28		5		1	NO

Within the **Save** tool, you can specify a name for your report. You can use letters, numbers and hyphens when creating a report name. Pick a name to reflect the type of report you created. Once you have named your report, click **Save**.

The screenshot shows the 'Active Individuals Roster (62)' page with the 'Save As' dialog box open. The dialog box contains the following text:

Save table to your "Custom Reports"

Table Name

New Hires Last Quarter

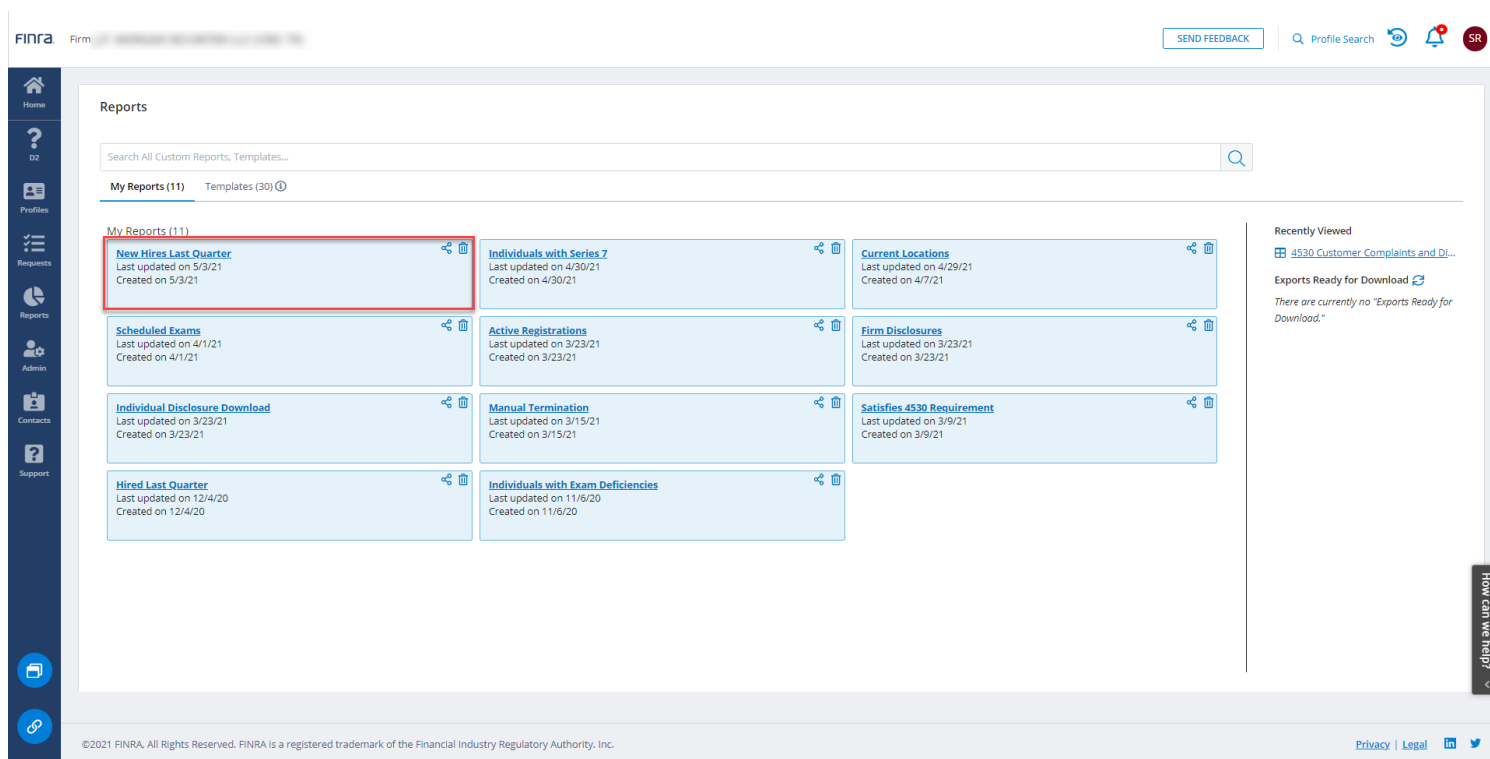
CANCEL SAVE

After you save the template, the title of the template will change to the name you specified when you saved it and the **Share** icon will appear next to the custom template name.

The screenshot shows the FINRA dashboard interface. At the top right, there is a 'SEND FEEDBACK' button, a search bar for 'Profile Search', and notification icons for a bell and a red 'SR' badge. The main content area features a table titled 'New Hires Last Quarter (62)' with a red box around the title. Below the title, there are filter options: 'Columns', 'Filter', 'Group', 'Save', and 'Export'. A filter is applied: 'Employments-Employment Start Date'. The table has the following columns: First Name, Last Name, Individual CRD#, Registrations, Disclosures, Exams, Deficiencies, Branch Office Locations, and Other Business?. The table contains 12 rows of data. A vertical sidebar on the left contains navigation icons for Home, Profiles, Requests, Reports, Admin, Contacts, and Support. A vertical help bar on the right says 'How can we help?'. At the bottom, there is a copyright notice: '©2021 FINRA. All Rights Reserved. FINRA is a registered trademark of the Financial Industry Regulatory Authority, Inc.' and links for 'Privacy | Legal' along with social media icons for LinkedIn and Twitter.

First Name	Last Name	Individual CRD#	Registrations	Disclosures	Exams	Deficiencies	Branch Office Locations	Other Business?
[Redacted]	[Redacted]	[Redacted]	3		10		1	YES
[Redacted]	[Redacted]	[Redacted]	29		5		1	NO
[Redacted]	[Redacted]	[Redacted]			12		1	NO
[Redacted]	[Redacted]	[Redacted]	196	1	9		2	YES
[Redacted]	[Redacted]	[Redacted]	47		3	26	2	NO
[Redacted]	[Redacted]	[Redacted]	31	1	4		1	NO
[Redacted]	[Redacted]	[Redacted]	78		3	149	2	NO
[Redacted]	[Redacted]	[Redacted]	30		5		3	NO
[Redacted]	[Redacted]	[Redacted]	2		1		1	NO
[Redacted]	[Redacted]	[Redacted]	31		4		1	NO
[Redacted]	[Redacted]	[Redacted]	31		5		2	NO
[Redacted]	[Redacted]	[Redacted]	22		4		1	NO
[Redacted]	[Redacted]	[Redacted]	55		5		2	NO
[Redacted]	[Redacted]	[Redacted]	2		3		1	NO
[Redacted]	[Redacted]	[Redacted]	39	2	3		2	NO
[Redacted]	[Redacted]	[Redacted]	28		5		1	NO

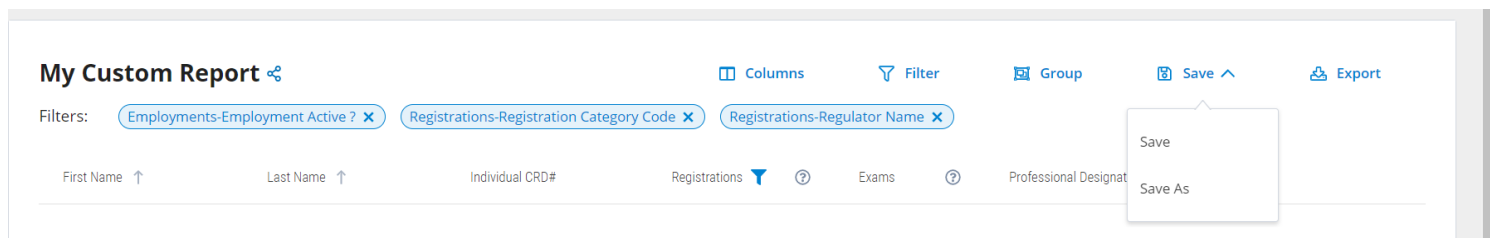
Next time you log into **Reports**, you will see your saved template in the **My Reports** section.



When you open the saved template, it will contain the most up-to-date data available. If you applied a relative date range filter, the filter will calculate based on the current date.

### Save As

The **Save As** feature is helpful when you want to make iterations of a custom report. When you open a custom report and click on **Save** you will have an option to **Save** or **Save As**. If you choose the **Save** option, it will save any changes you made to the existing custom report. If you choose **Save As** you will be prompted to enter a new report name and will not overwrite the current custom report.



### Share a Custom Report

You can share any custom report you create with other FINRA Gateway Report users by using the **Share** feature. The **Share** feature can be accessed next to any custom report in the My Custom Reports section or next to the report title when viewing a custom report.

Home

D2

Profiles

Requests

Reports

Admin

## Reports

Search All Custom Reports, Templates...

My Reports (11)    Templates (30) ⓘ

### My Reports (11)

**New Hires Last Quarter**

Last updated on 5/3/21

Created on 5/3/21



**Scheduled Exams**

Last updated on 4/1/21

Created on 4/1/21



### My Custom Report ⓘ

Columns

Filter

Group

Save ▾

Export

Filters: Employments-Employment Active ? ✕ Registrations-Registration Category Code ✕ Registrations-Regulator Name ✕

First Name ↑

Last Name ↑

Individual CRD#

Registrations ▼ ⓘ

Exams ⓘ

Professional Designations ⓘ

When you click on the **Share** icon, you will have an option to copy a link.

Share Reports ✕

ⓘ Sharing the link below will enable recipients to recreate the shared custom template but, only using data to which they are entitled. Subsequent changes to the template will not be automatically reflected.

Report:  
[My Custom Report](#) ↗

Get Link

[Copy Link](#)

DONE

Once you have copied the link, you can paste that link into an email message. When the recipient of the message clicks that link, they will load the custom report settings you shared with them using their data. They can then save the settings as their own custom report. Only settings are shared, not data, so you can share custom reports with people outside of your firm.

If you make changes to a custom report that you shared with others, the recipient of the shared report will have to re-click the link you shared previously to load the new settings and save the custom report.

## Delete a Custom Report

To delete a custom report, click the **trash bin icon** on the report you wish to delete. You will be asked to confirm that you want to delete that report.

The screenshot shows the FINRA Reports interface. A confirmation dialog box titled "Delete Custom Report?" is centered on the screen. The dialog contains the text: "Deleting this report will permanently remove it from your list." Below the text are two buttons: "CANCEL" and "YES, DELETE REPORT". The "YES, DELETE REPORT" button is highlighted with a red border. In the background, a grid of report cards is visible, including "New Hires Last Quarter", "Individuals with Series 7", "Current Locations", "Scheduled Exams", "Active Registration", "Manual Termination", "Individual Disclosure Download", "4530 Requirement", "Hired Last Quarter", and "Individuals with Exam Deficiencies". Each report card includes a trash bin icon in the top right corner. The interface also features a search bar, a sidebar with navigation icons, and a footer with copyright information and social media links.

## Exporting the Report

Use the Export tool to download report data into a zip archive containing one or more CSV files.

We recommend you filter down the data to include only the records you need prior to exporting. The smaller the data set you export for download, the quicker the processing time. For example, to speed download time you can remove any unnecessary columns from your view.

To get started with export, open a template and click the **Export** tool.

The screenshot shows the FINRA user interface for the 'Active Individuals Roster (28641)'. The 'Export' button is highlighted with a red box. The table below shows the data columns and values for several rows.

First Name	Last Name	Individual CRD#	Registrations	Disclosures	Branch Office Locati...
[Redacted]	[Redacted]	[Redacted]	70	1	3
[Redacted]	[Redacted]	[Redacted]	33		1
[Redacted]	[Redacted]	[Redacted]	118		6
[Redacted]	[Redacted]	[Redacted]	119		109
[Redacted]	[Redacted]	[Redacted]	41	1	2
[Redacted]	[Redacted]	[Redacted]	69	7	1
[Redacted]	[Redacted]	[Redacted]	73		1
[Redacted]	[Redacted]	[Redacted]	236	4	2
[Redacted]	[Redacted]	[Redacted]	247	12	1
[Redacted]	[Redacted]	[Redacted]	71		5
[Redacted]	[Redacted]	[Redacted]	287		2

### Quick Export

By default, the option **Quick Export** will be selected. **Quick Export** will export the table as it appears on the screen. It will not include the data in subtables in the file export. Click **Export** to continue with **Quick Export**.

**Active Individuals Roster (28641)**

Columns Filter Group Save Export

First Name Last Name Individual CRD# Registrations Disclosures Branch Office Locati...

Please select what you would like to export:

- Quick Export (default)**  
Export table with no sub-tables.
- Advanced Export**  
Export table with the subtable(s) of your choice.

CANCEL EXPORT

After clicking **Export**, a confirmation message will appear at the top right of the screen letting you know the export is being prepared. Click the **View Downloads** link to go to the main Report tab to download the zip archive of the exported file. Click the **X** to close the confirmation message.

**Active Individuals Roster (28641)**

Columns Filter Group

File is being prepared for download... View Downloads X

First Name Last Name Individual CRD# Registrations Disclosures Branch Office Locati...

70 1 3

33 1

118 6

119 109

41 1 2

69 7 1

73 1

236 4 2

247 12 1

71 5

287 2

On the main **Reports** page, there is a section for **Exports Ready for Download** in the right margin. Files that are being prepared for export will appear in grey text. When the file is ready to download, it will appear as a blue hyperlink.



**FINRA** Firm: [Firm Name] SEND FEEDBACK | Profile Search | [Refresh] | [Bell] | SR

**Reports**

Search All Custom Reports, Templates...

**My Reports (11)** | Templates (30) ⓘ

My Reports (11)

<b>New Hires Last Quarter</b> Last updated on 5/3/21 Created on 5/3/21	<b>Individuals with Series 7</b> Last updated on 4/30/21 Created on 4/30/21	<b>Current Locations</b> Last updated on 4/29/21 Created on 4/7/21
<b>Scheduled Exams</b> Last updated on 4/1/21 Created on 4/1/21	<b>Active Registrations</b> Last updated on 3/23/21 Created on 3/23/21	<b>Firm Disclosures</b> Last updated on 3/23/21 Created on 3/23/21

**Recently Viewed**

There are currently no "Recently Viewed" reports.

**Exports Ready for Download**

[activeindividualsroster\\_2021\\_05\\_0...](#)

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Large files may take several minutes to appear ready for download. Use the **refresh icon** by the **Exports Ready for Download** title or on your browser to refresh your view to see if the link is ready. You have up to 24 hours to come back and pick up an exported file. Click the link to download the file once ready.

**FINRA** Firm: [Firm Name] SEND FEEDBACK | Profile Search | [Refresh] | [Bell] | SR

**Reports**

Search All Custom Reports, Templates...

**My Reports (11)** | Templates (30) ⓘ

My Reports (11)

<b>New Hires Last Quarter</b> Last updated on 5/3/21 Created on 5/3/21	<b>Individuals with Series 7</b> Last updated on 4/30/21 Created on 4/30/21	<b>Current Locations</b> Last updated on 4/29/21 Created on 4/7/21
<b>Scheduled Exams</b> Last updated on 4/1/21 Created on 4/1/21	<b>Active Registrations</b> Last updated on 3/23/21 Created on 3/23/21	<b>Firm Disclosures</b> Last updated on 3/23/21 Created on 3/23/21

**Recently Viewed**

There are currently no "Recently Viewed" reports.

**Exports Ready for Download**

[activeindividualsroster\\_2021\\_05\\_0...](#)

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The file will download as a zip archive. Click to unzip the file. If more than one file is ready for download, the files will be sorted by descending order with the newest file at the top of the list.

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The zip archive will contain a single file. The following is an example of an unzipped file.

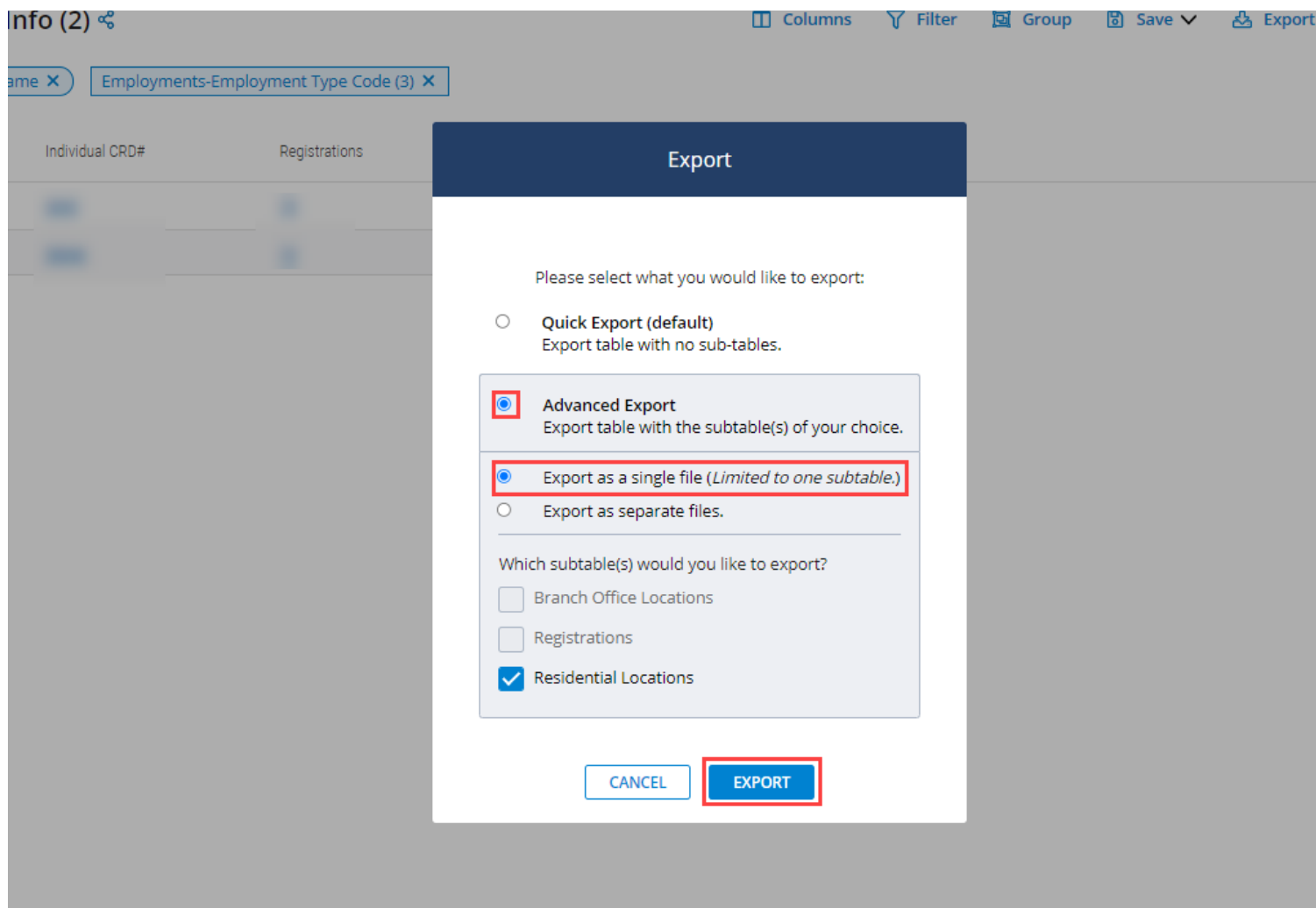
	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S	T	U
1	First Name	Last Name	Individual Registration	Disclosure	Branch	Office Locations															
2				70	1	3															
3				33		1															
4				118		6															
5				119		109															
6				41	1	2															
7				69	7	1															
8				73		1															
9				236	4	2															
10				247	12	1															
11				71		5															
12				287		2															
13				36	2	6															
14				133	2	2															
15				98		5															
16				79		1															
17				52	2	1															
18				44	3	2															
19				50	5	3															
20				8		1															
21				121		4															

### Advanced Export

Choose the **Advanced Export** option to select one or more subtables to include in your export. You can export the main table and one additional table using a single file export option. If you want to export more than the main table and one subtable, use the separate files export option.

## Single File Export

After clicking on the **Export** tool, choose the **Advanced Export** option. Within the Advanced Export tool, choose Export as a single file.



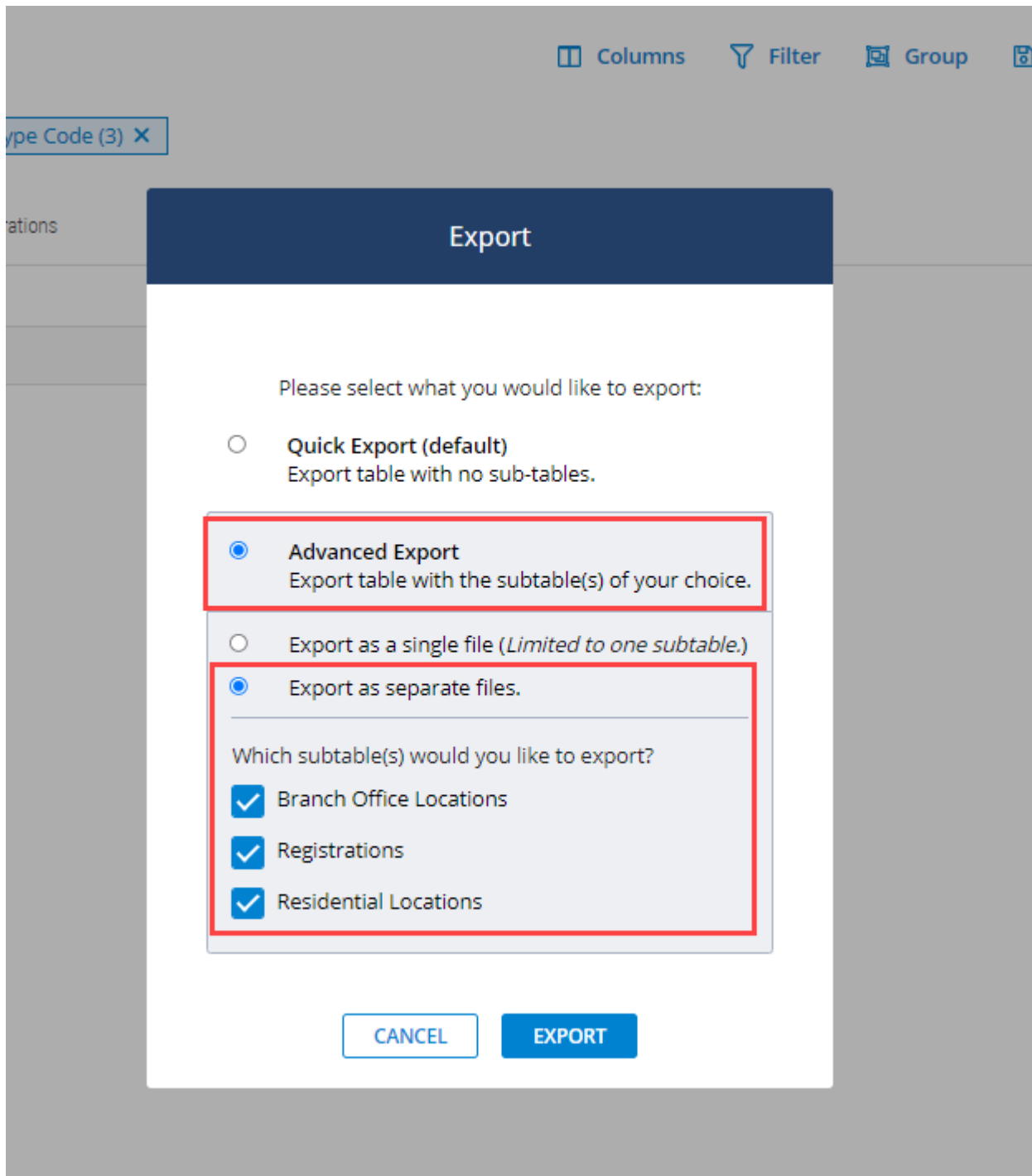
If you choose the option to export as a single file, you can select one subtable to include in your export. Once you choose one subtable, the other subtable options will not be selectable. Once you have selected the subtable you want to include, click the **Export** button to start the file download. The export process is the same for **Advanced Export** as it was in **Quick Export** in that a confirmation message will appear, the file will be prepared for download, and you have 24 hours to pick up the exported file for download from the **Exports Ready for Download** area of the **Reports** home page.

When more than one file is on the Reports home page, the newest download will appear at the top of the list.

## Separate Files Export

If you want to export the main table and more than one additional subtable, choose the **Export as separate files** option within **Advanced Export**.

Choose the subtables you want to include. You will be able to choose as many subtables as you like.



Click **Export**.

The export process is the same for **Advanced Export** as it was in **Quick Export** in that a confirmation message will appear, the file will be prepared for download, and you have 24 hours to pick up the exported file for download from the **Exports Ready for Download** area of the **Reports** home page.

When more than one file is on the Reports home page, the newest download will appear at the top of the list.

FINRA Firm: [REDACTED]

SEND FEEDBACK Profile Search [REDACTED] SR

### Reports

Search All Custom Reports, Templates...

**My Reports (13)** Templates (30) ⓘ

**My Reports (13)**

- Tennessee RR and IAs - Contact Info**  
Last updated on 5/3/21  
Created on 5/3/21
- Tennessee Individual Locations**  
Last updated on 5/3/21  
Created on 5/3/21
- New Hires Last Quarter**  
Last updated on 5/3/21  
Created on 5/3/21
- Individuals with Series 7**  
Last updated on 4/30/21  
Created on 4/30/21
- Current Locations**  
Last updated on 4/29/21  
Created on 4/7/21
- Scheduled Exams**  
Last updated on 4/1/21  
Created on 4/1/21

**Recently Viewed**

- 4530 Customer Complaints and Di...

**Exports Ready for Download**

- tennesseerrandiascontactinfo\_20...
- activeindividualsroster\_2021\_05\_0...
- activeindividualsroster\_2021\_05\_0...

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The zip archive will contain one CSV file for each table included in the export. Create a new directory to unzip the archive to keep the files organized.

Unzip - tennesseeerrandiascontactinfo\_2021\_05\_03\_17\_40\_02.zip

My PC > This PC > [REDACTED]

New folder

Downloads  
K24720

ActiveIndividual Roster

TN-RRs-May

2020-snapshot... activeindividua... activeindividua... activeindividua... activeindividua... activeindividua... activeindividua... activeindividua... activeindividua... activeindividua... activeindividua...

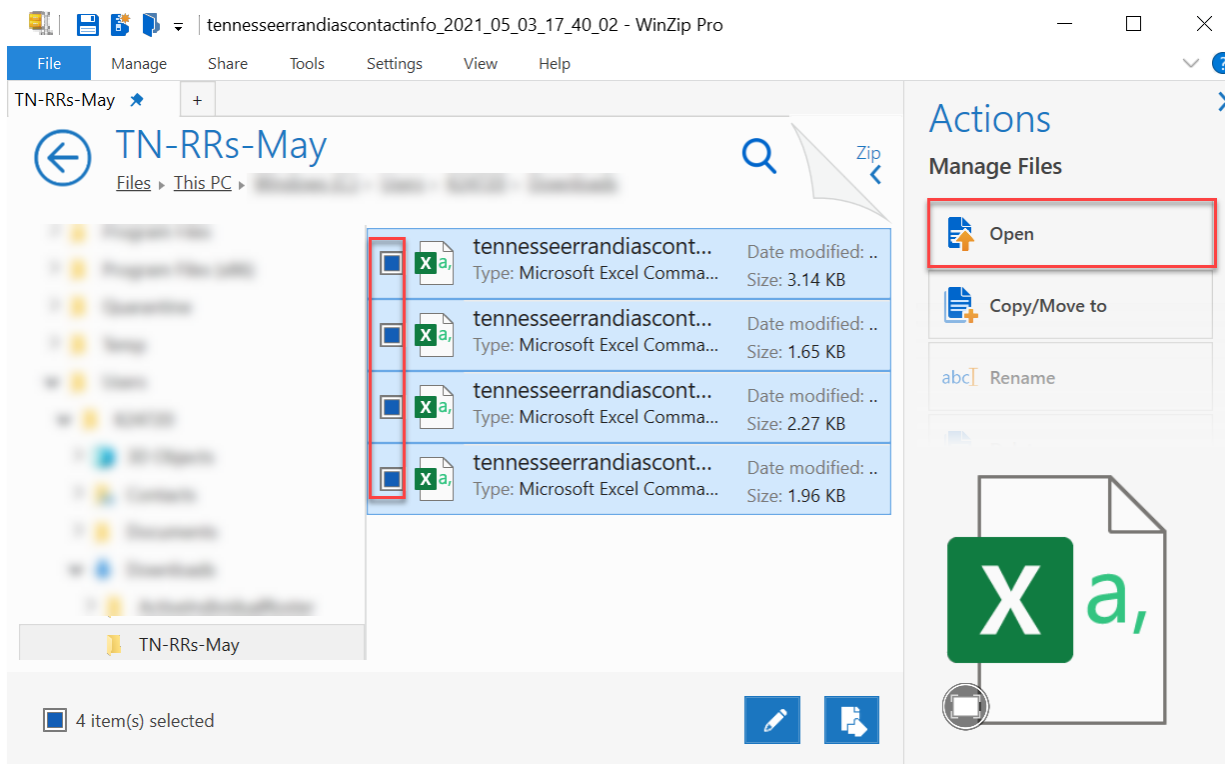
activeindividua... activeindividua... activeindividua... activeindividua... activeindividua... activeindividua... activeindividua... activeindividua... activeindividua... AttestationTim... (3) (4) (1) (1) (1) (2)

BRANCH\_-\_AS... Case 2174091 dynamic\_repor... dynamic\_repor... EXAM\_AND\_C... FGExport FGReportsUpd... FINGERPRINT\_... FINGERPRINT\_... FINRA Registration (1) FINRA Registration

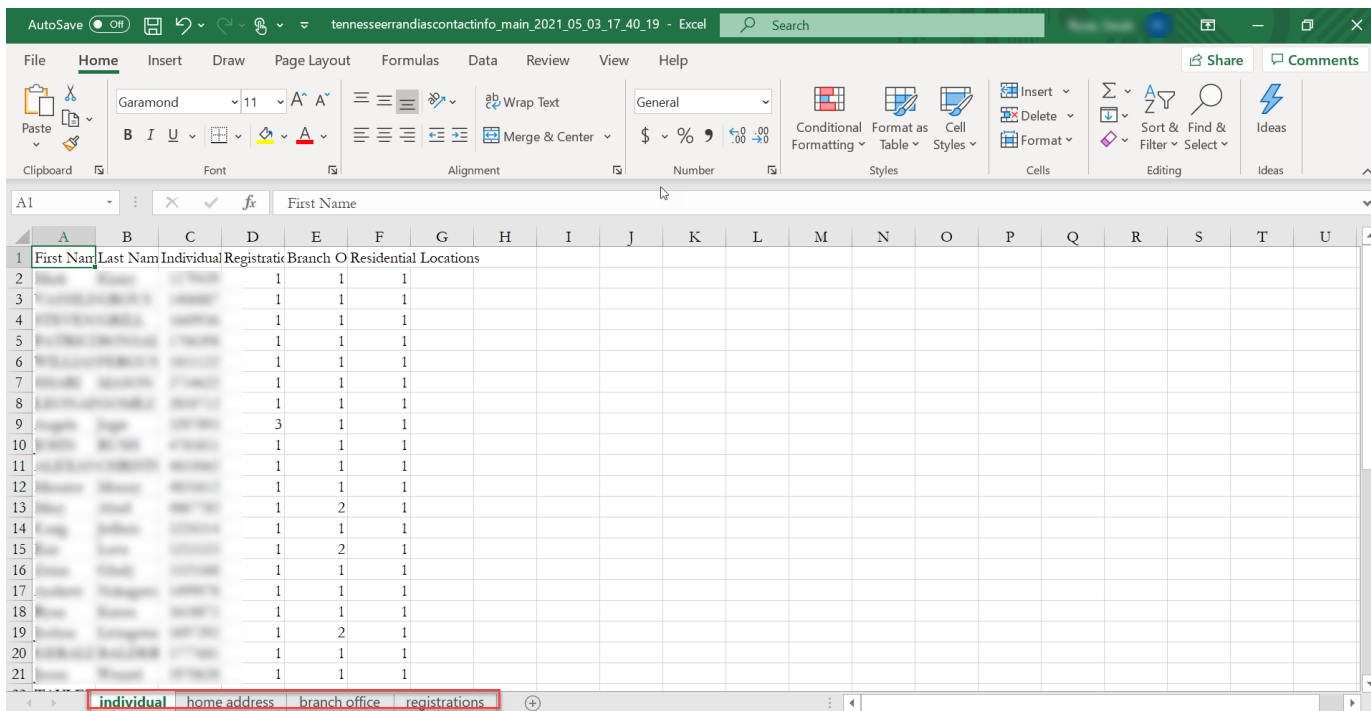
Unzip Cancel

### Combining Separate Files in One Workbook in Excel

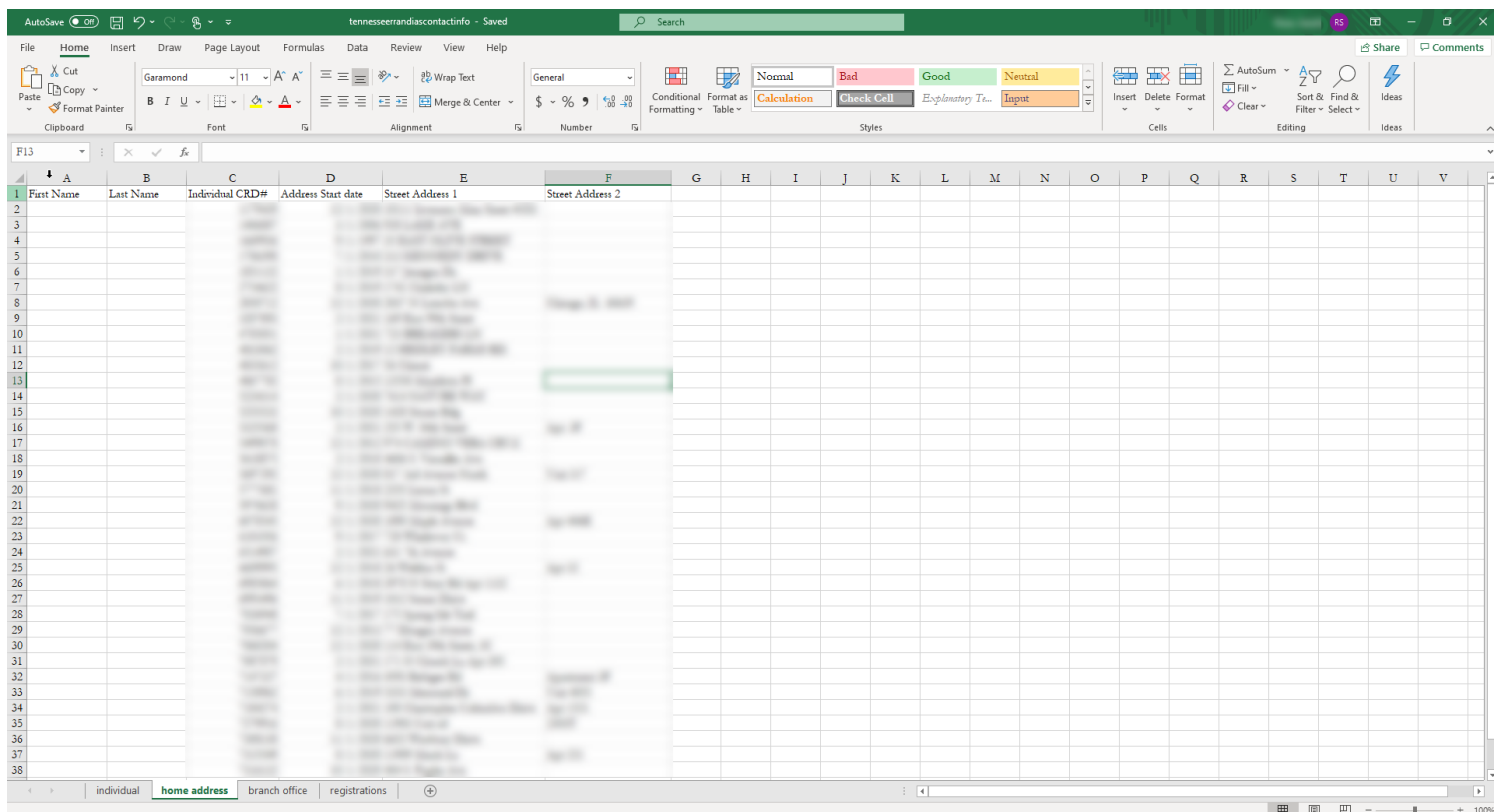
Open the extracted files in Excel.



Copy the files as new tables into a single file. The new file you create will have the main table in one tab and all the subtables you exported in subsequent tabs.



Use the individual CRD number to create a [VLOOKUP in Excel](#) add the individual name to all the subtables you exported. To get started creating a VLOOKUP, insert two new columns for first name and last name on the table where you want to add them.



The data point we know (individual CRD ID) must be in a column that appears before the data we do not know (the individual's name) in the area we want to search (individual name and CRD ID on main table). You may need to reorder the Individual CRD ID column to come before first name and last name on the main table for the VLOOKUP function to work.

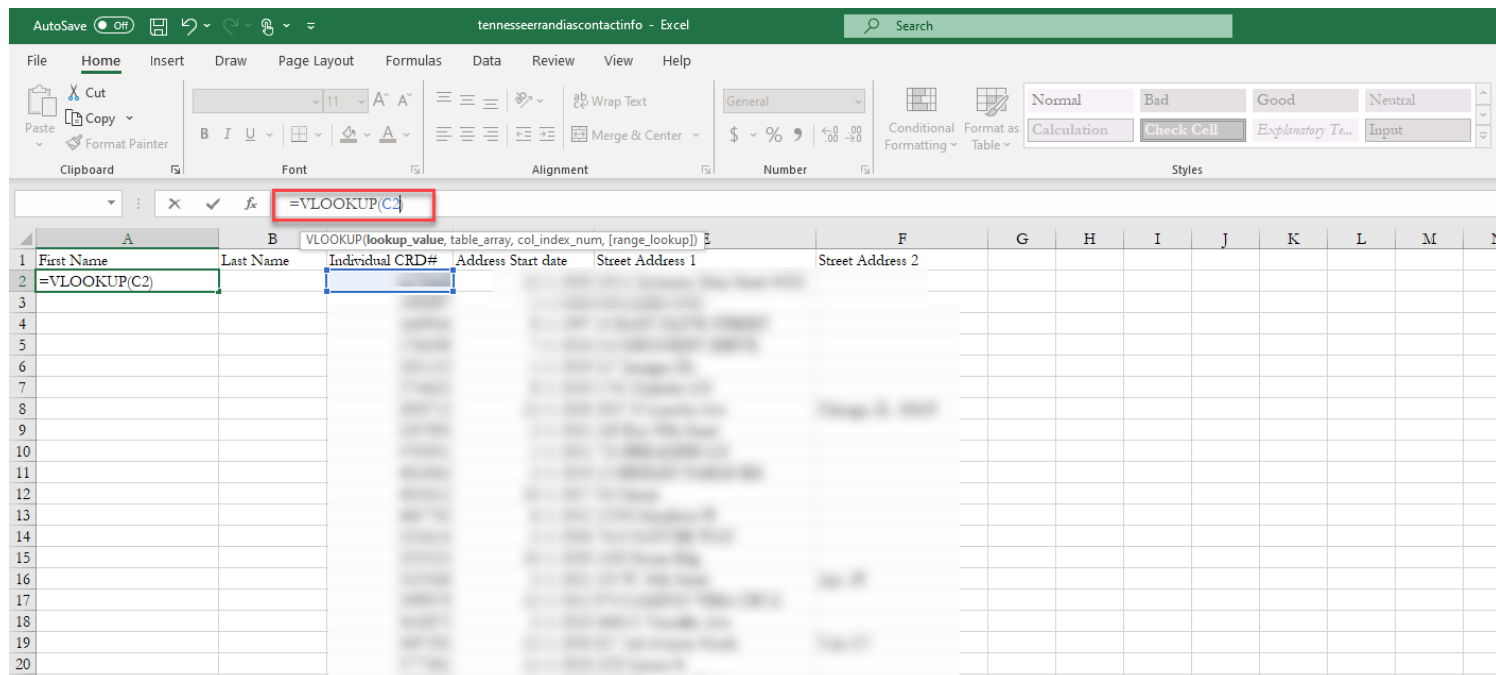
Individual CRD#	First Name	Last Name	Registrations	Branch Office Locations	Residential Locations
			1		1
			1		1
			1		1
			1		1
			1		1
			1		1
			1		1
			3		1
			1		1
			1		1
			1		2
			1		1
			1		2
			1		1
			1		1
			1		1
			1		1
			1		2
			1		1
			1		1
			1		1
			1		1
			1		1
			1		2
			1		1
			1		1
			1		1
			1		1
			1		1
			1		1
			1		1

With your columns set up, put your cursor on the tab and cell where you want to add the first name. With that cell selected, type =VLOOKUP() in the function bar.

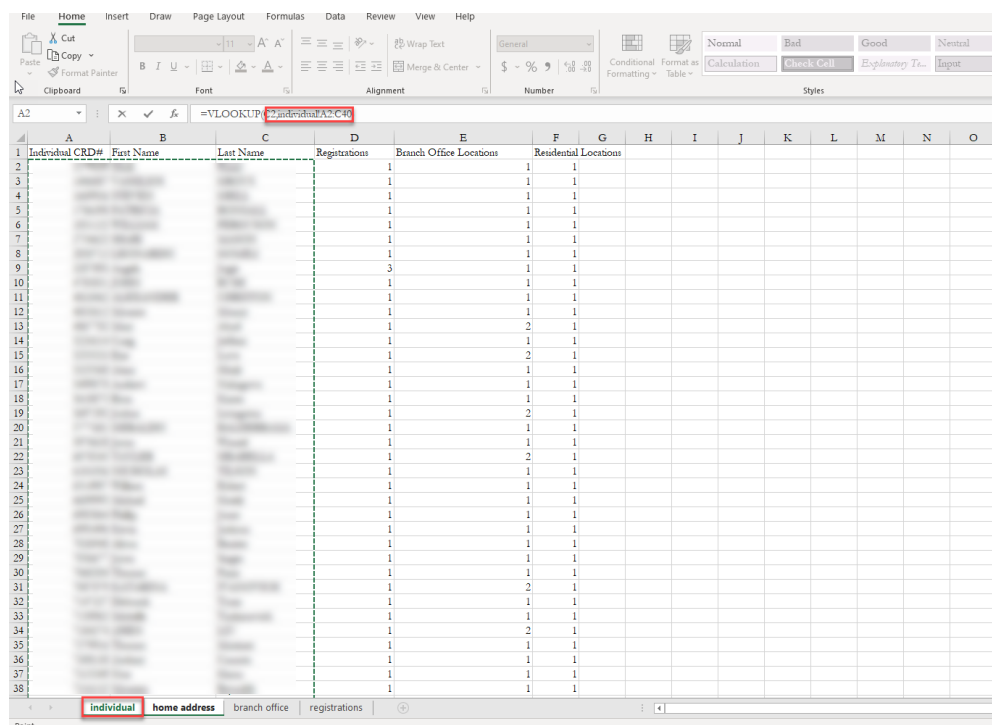
Within the parentheses we will type the formula.



The first piece of the formula is the cell location of the value we know. In this example, we know the individual's CRD ID, located in cell C2 on the tab where we want to add the individual's first name and last name.

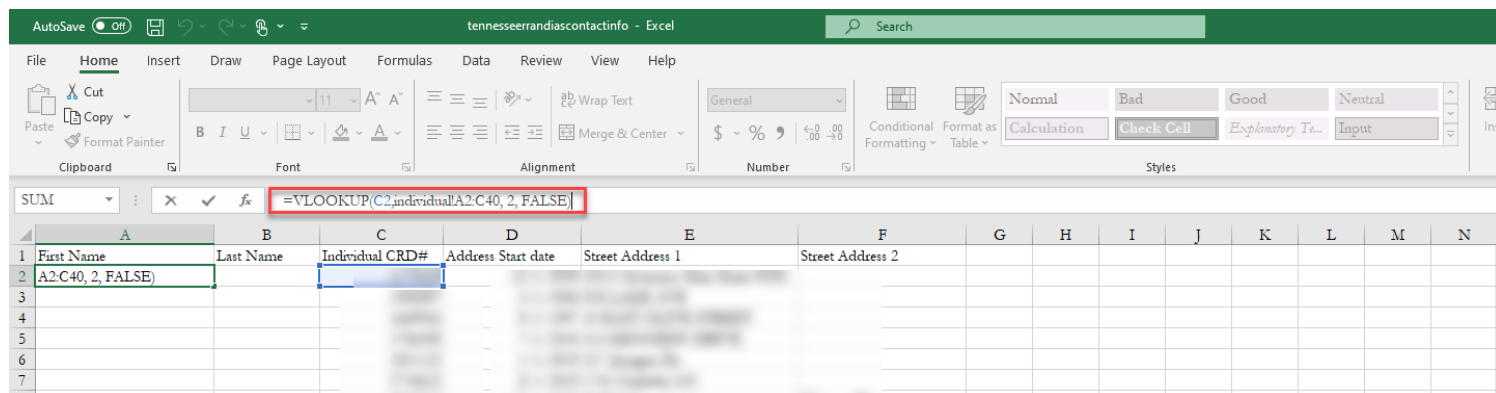


Next, we will add an apostrophe and enter the range of cells we want to search for the value we want to add. In this case, we want to search the CRD ID, first name and last name on the Individual tab, or main table. Add that information by navigating to the tab and selecting the cells you want to add.



Next, add a comma and the order number of the column in the search area that you want to get the value from. In this example, we want to get the value for first name. The column that holds the value for first name is the second column in the search area we specified. So, we add a comma and the number 2 to our formula

To finish the formula we need to indicate if we want a partial or exact match. We want an exact match, which we indicated in Excel by adding a comma and the word FALSE to the end of our formula.

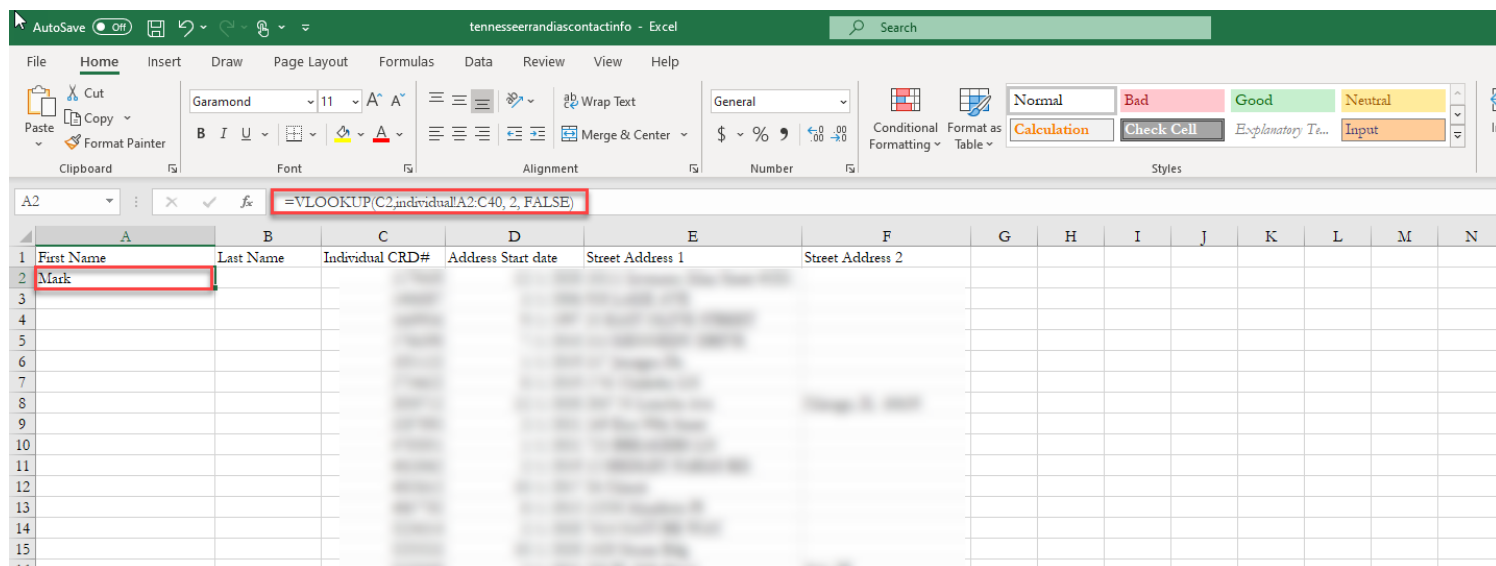


The final formula in this example is =VLOOKUP (C2,individual!A2:C40, 2, FALSE).

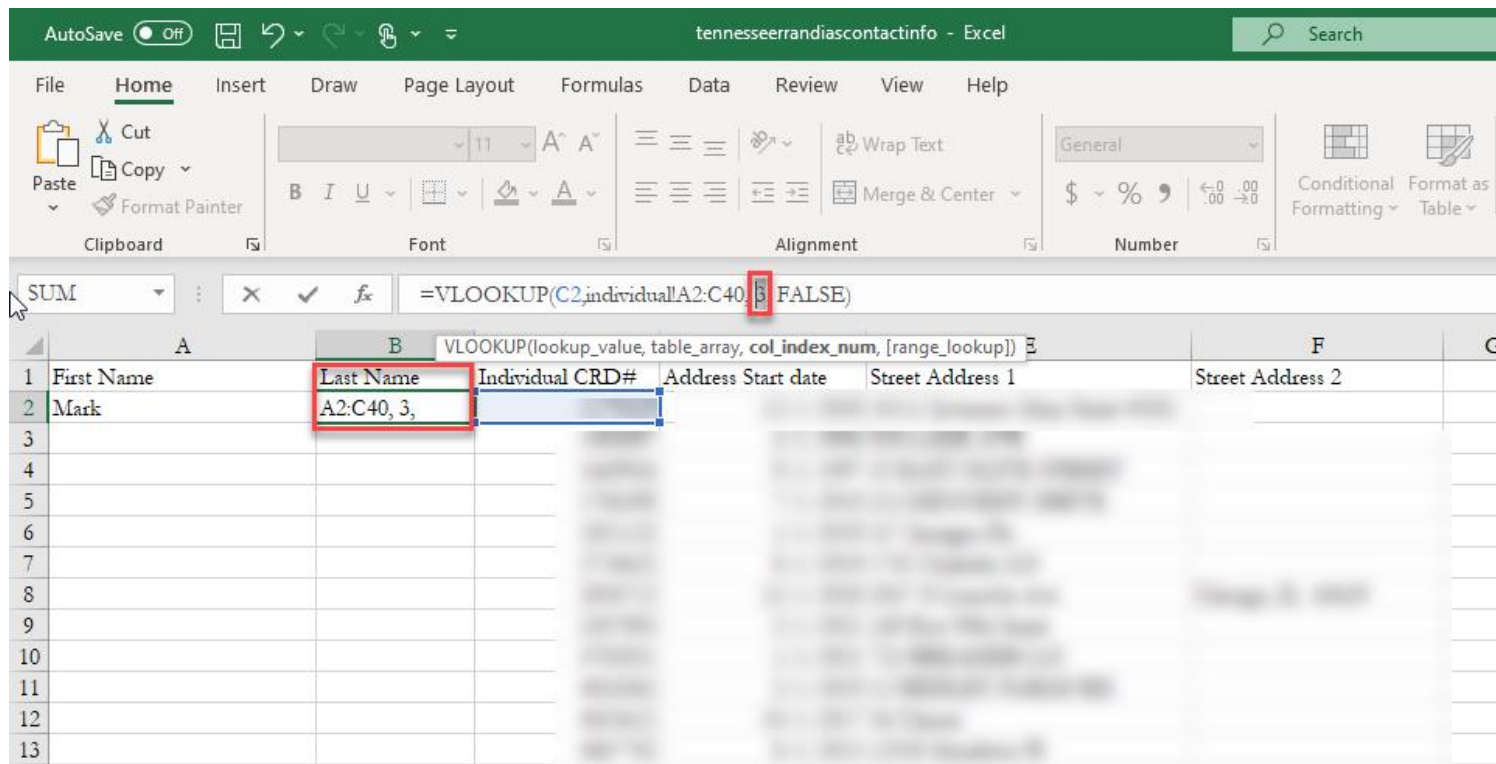
Let's review the pieces of this formula.

- =VLOOKUP – let's excel know we are entering a formula
- () – container for the formula
- C2 – location of the data we know, such as individual CRD ID
- Individual! – name of the tab that contains the area we want to search
- A2:C40 – range of cells we want to search
- 2 – order of the column in the search area that we want the value from (the thing we want to know)
- FALSE – we want an exact match to the CRD ID

When I hit enter, I will get the first name of the individual for the CRD ID on that row.



Now that we have a working formula, we can copy it from cell A2 into cell B2. To pull in the individual's last name, we change the column order from 2 to 3. Remember that number indicates the order of the column in the search area for the value you want.



To fill in first name and last name for all rows, I can copy the formula. First, I want to anchor the array so it always looks for the data I want in the search area I specified, no matter where I paste the formula. I anchor the array by putting a dollar sign \$ before the column and row locations in the search array. So I change this:

=VLOOKUP (C2,individual!A2:C40, 2, FALSE).

to this:

=VLOOKUP (C2,individual!\$A\$2:\$C\$40, 2, FALSE).

After anchoring the array, put the cursor on the first name (A2) cell, select control + C or use the copy function from the menu, then select the range of rows where I want to paste the formula, and lastly hit control + P or paste from the menu to paste the formula into the remaining rows.

AutoSave Off | tennesseeerrandiascontactinfo - Excel | Search

File Home Insert Draw Page Layout Formulas Data Review View Help

Clipboard: Paste, Cut, Copy, Format Painter | Font: Garamond, 11, Bold, Italic, Underline, Color, Background Color | Alignment: Wrap Text, Merge & Center | Number: General, Currency, Percentage, Decimals | Conditional Formatting, Format Table

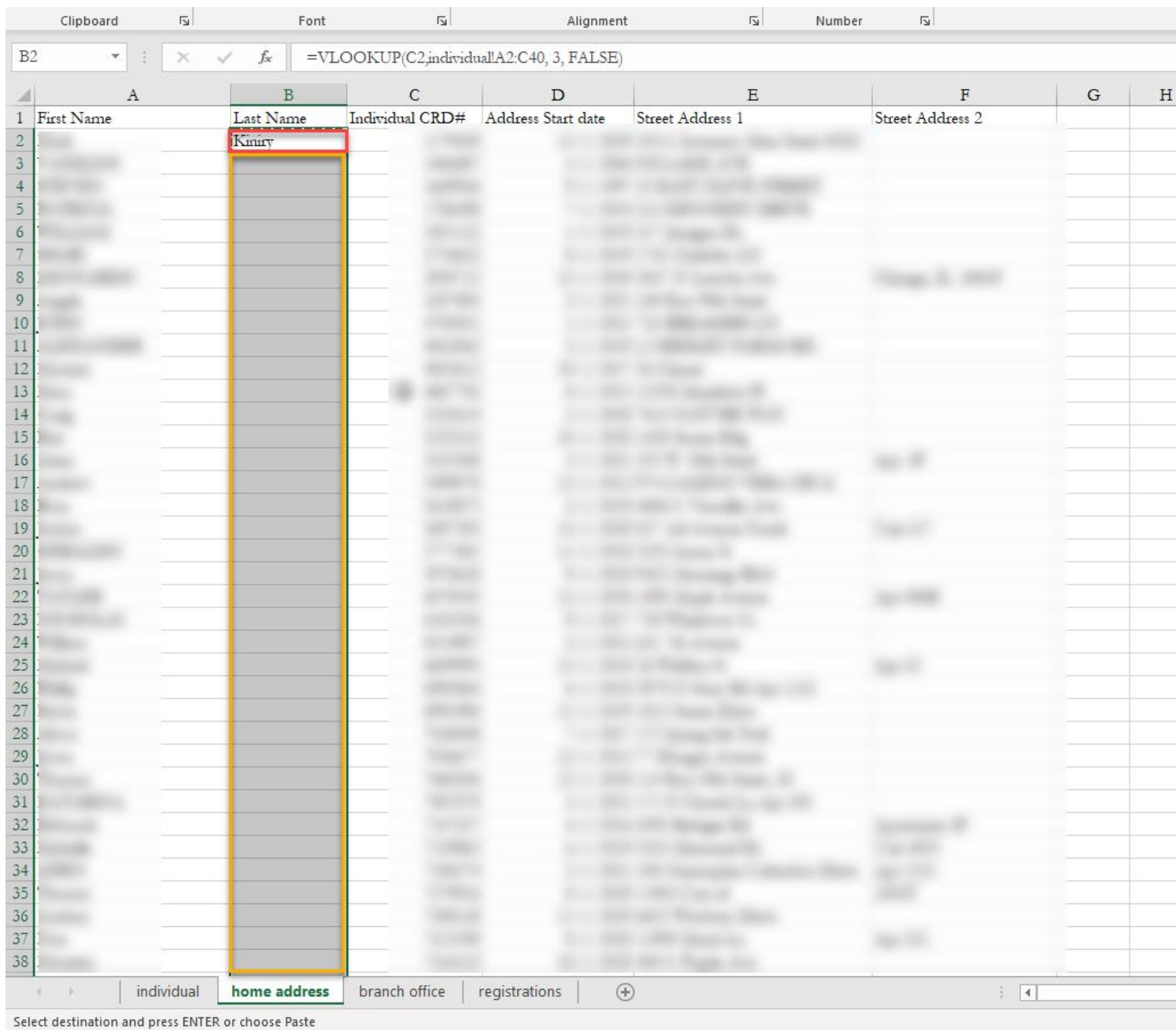
Formula Bar: A2 | =VLOOKUP(C2,individual!A2:C40, 2, FALSE)

	A	B	C	D	E	F
1	First Name	Last Name	Individual CRD#	Address Start date	Street Address 1	Street Address 2
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individual | **home address** | branch office | registrations

Select destination and press ENTER or choose Paste

I can repeat the copy and paste process for the last name.



I can repeat the process to add the individual name to all tabs by inserting columns for first and last name and copying and pasting the formula in the subsequent rows.

### VLOOKUP Trouble-Shooting Tips:

- Make sure your column order is correct. The value you know (in this case, the CRD ID) must come before the value you want to find in your search area.
- Keep the order of first name, last name and CRD ID consistent across the tabs to make copying and pasting the formula simple.
- Anchor your search area by putting a dollar sign \$ before the column (\$A) and row (\$2) of the search area array you specify.
- When you copy and paste the formula into multiple rows, start by copying from the cell where the value is printed (A2), not from the formula window.

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## Printing your Report

To print a report, click Ctrl+P (Windows) or Command+P (Mac) on your keyboard. Print screen will pop-up in your browser. Choose your settings and click Print using system dialog and click Print button.