Chapter Eleven: Firm Queues for Individuals

About this Section

This section contains information pertaining to the navigation and management of firm queues for individuals.

Completion Objectives

At the completion of this section the user will be able to:

- Explain queue types
- Manage queues
- Navigate through queues

In this Section

This section contains the following topics:

About Firm Queues for Individuals

CRD notifies firms of events relating to individual registrations through Firm Queues and Alerts. All Firm Queues for Individuals are applicable to the investment adviser representatives (RAs) except the Continuing Education Queues and the Fingerprint Queues.

Notice Queue Types

There are 7 types of Notice Queues for firms to receive notifications about individuals:

1. **Registrations** – Contains 5 different sub-queues:

    Approved Individual Registrations – Displays RA registrations that are Approved, Restricted Approval and Temporary Registration. Individuals remain in queue indefinitely for historical purposes. To view the Approved Individual Registrations Queue, see Steps for Viewing Approved Individual Registrations Notice Queue, page 11-5.

    Current Individual Deficiencies – Displays RA registrations that are deficient due to one or more of the following: Dual, Exam, Firm Suspended, Funds and Pending Firm Approval. Individuals remain in the queue indefinitely for historical purposes. To view the Current Individual Deficiencies Queue, see Steps for Viewing Current Individual Deficiencies Notice Queue, page 11-8.

    Denied Individual Registrations – Displays RA registrations that a regulator has Denied or Rejected. Individuals remain in queue for thirty (30) days. To view the Denied Individual Registrations Queue, see Steps for Viewing Denied Individual Registrations Notice Queue, page 11-11.

    Pending Individual Registrations – Displays RA non-deficient registrations that are waiting (i.e. Pending) for a Jurisdiction approval. Individuals remain in queue until approved. To view the Pending Individual Registrations Queue, see Steps for Viewing Pending Individual Registrations Notice Queue, page 11-14.

    Purged Individual Registrations –Displays RAs' registrations that CRD has purged because the time period to correct the deficiency has been exceeded. Individuals remain in queue for one hundred and twenty (120) days. If a U4 Amendment is not submitted within 120 days, the individual's registration status will be updated from 'Purged' to 'T_NOU5' (termed without submission of a Form U5) and the individual will move from the Purged Individual Registrations Notice Queue to the firm's Termination Queue. To view the Purged Individual Registrations Queue, see Steps for Viewing Purged Individual Registrations Notice Queue, page 11-17.

2. **Disclosure** – Contains 2 different sub-queues:

    Disclosure Review – Displays RAs that have had disclosures submitted to CRD through a Form U4, U5 or U6 filing. Individuals remain in queue indefinitely for historical purposes. To view the Disclosure Review Queue, see Steps for Viewing Disclosure Review Notice Queue, page 11-20.

    Outstanding Disclosure Letters – This queue is not applicable to RAs.

3. **Fingerprint** – Contains 3 different sub-queues:

    Fingerprint Status Received from FBI –RAs are not required to submit fingerprint cards to FINRA®. Contact the appropriate state(s) with which the RA seeks registration for fingerprint card requirements.

    Inactive Registration Due to Missing Fingerprint –RAs are not required to submit fingerprint cards to FINRA. Contact the appropriate state(s) with which the RA seeks registration for fingerprint card requirements.

    Notices of Undelivered Fingerprint Cards – RAs are not required to submit fingerprint cards to FINRA. Contact the appropriate state(s) with which the RA seeks registration for fingerprint card requirements.

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4. **Continuing Education** – Contains 5 different sub-queues:

   Approaching CE Requirement –The Continuing Education program is not applicable to RAs.

   CE 2-Year Termed – The Continuing Education program is not applicable to RAs.

   CE Inactive –The Continuing Education program is not applicable to RAs.

   CE Satisfied – The Continuing Education program is not applicable to RAs.

   Currently CE Required – The Continuing Education program is not applicable to RAs.

5. **Exams** – Contains 2 different sub-queues:

   Completed Exams – Displays list of RA exam results within a specified time frame. Individuals enter queue when the exam grade is posted. To view the Completed Exams Queue, see Steps for Viewing Completed Exams Notice Queue, page 11-23.

   Scheduled Exams – Displays list of RAs that have open exam windows. Individuals remain in queue while the exam is scheduled. To view the Scheduled Exams Queue, see Steps for Viewing Scheduled Exams Notice Queue, page 11-26.

6. **Termination** – Contains 6 different sub-queues:

   Manual Termination – Displays list of RAs for whom a U5 filing has been filed and has been blocked by a regulator. The registration status is Termination Requested. Individuals remain in queue as long as their registration status reflects Termination Requested. To view the Manual Termination Queue, see Steps for Viewing Manual Termination Notice Queue, page 11-30.

   Temporary Registration Cancellation – Displays RAs who have had their temporary registrations revoked. Individuals remain in queue for thirty (30) days. To view the Temporary Registration Cancellation Queue, see Steps for Viewing Temporary Registration Cancellation Notice Queue, page 11-33.

   Termination – Displays list of RAs whose registration(s) have been termed without a U5 filing. Individuals remain in queue for thirty (30) days from the date that an individual's status is administratively terminated. To view the Termination Queue, see Steps for Viewing Termination Notice Queue, page 11-36.

   U5 – Displays list of all Full or Partial U5 filings submitted by a firm. The RAs in this queue have a registration status of Termed or Termination Requested. Individuals remain in queue indefinitely for historical purposes. To view the U5 Queue, see Steps for Viewing U5 Notice Queue, page 11-38.

   U5 Late Fees – This queue is not applicable to RAs.

   U5 Required – Displays list of RAs for whom a firm is required to submit a U5 filing. Individuals remain in queue until the U5 is submitted. If a relicensing filing type is selected by a new firm, it will trigger a U5 Required to the firm that the individual is currently registered with. To view the U5 Required Queue, see Steps for Viewing U5 Required Notice Queue, page 11-41.

   Other Firm U5 Filing – Displays list of RAs for whom a U5 filing was submitted by a previous employer. To view the Other Firm U5 Filing Queue, see Steps for Viewing Other Firm U5 Filing Queue, page 11-44.

7. **Filing** – Contains 1 sub-queue:

   Other Firm U4 Filing – This is a new queue to notify firms when a U4 Form is filed for a RA by another unaffiliated broker-dealer or investment adviser that also employs the individual. The purpose of the queue is to provide notice of the U4 filing to the non-filing firm and allow the firm to review the information that was filed. If the firm agreed that the information was correctly reported, it would submit a Concurrence filing, which would indicate that it concurred with and adopted the filing as its own.

   Concurrence filings are only required when the initial filing updates U4 information that is relevant to both employing firms (e.g., personal information, residential history, employment history, disclosure questions, or DRPs). Firms are not required to submit Concurrence filings when the U4 filing submitted by the other employer firm amends information that is relevant only to the broker-dealer or investment adviser firm that initially filed the U4 (i.e., changes to registration, office of employment address, billing code, etc. that are specific to the firm making the filing). Firms will receive notice of the other employer firm's U4 filings, regardless of whether or not the U4 filing triggers a Concurrence filing requirement.

   The queue displays the RA's name and CRD number, whether the individual is registered in CRD or IARD, and the filing date and filing type of the filing submitted by the other firm, as well as the filing firm's name and CRD number. In addition, the queue displays a form filing link, which will allow firms to create a Concurrence or Amendment filing directly from the queue rather than having to exit the queue in order to access Form Filing. The Concurrence filing link will only display when the U4 filing triggers a Concurrence filing requirement. The Amendment filing link will always be displayed. To view the Other Firm U4 Filing Queue, see Steps for Viewing Other Firm U4 Filing Queue, page 11-47. To view additional information on Material Difference, see page 14-24.

Alerts

The Alerts list the critical registration-related queues and the number of individuals listed in each queue. The Alert Notifications should be checked frequently to ensure that the firm is aware of any critical registration-related notifications.

The Inactive Registrations Due to Missing Fingerprint Cards Queue**,** the CE 2-Year Termed Queue and the CE Inactive Queue item counts will remain at 0 for IA-Only Firms, as these queues are not applicable.

There are 8 types of Alerts for firms to receive notifications about individuals:

1. **Denied Individual Registrations** –Displays Item Count in Denied Individual Registrations Notice Queue.
2. **Inactive Registrations Due to Missing Fingerprint Card**– Displays 0 Item Count for IA-Only Firms, as the queue is not applicable.
3. **CE Inactive** – Displays 0 Item Count for IA-Only Firms, as the queue is not applicable.
4. **CE 2-Year Termed** – Displays 0 Item Count for IA-Only Firms as the queue is not applicable.
5. **Termination** - Displays Item Count in Termination Notice Queue.
6. **U5 Required -** Displays Item Count in U5 Required Notice Queue.
7. **Temporary Registration Cancellation** – Displays Item Count in Temporary Registration Cancellation Notice Queue.
8. **Manual Termination** –Displays Item Count in Manual Termination Notice Queue.

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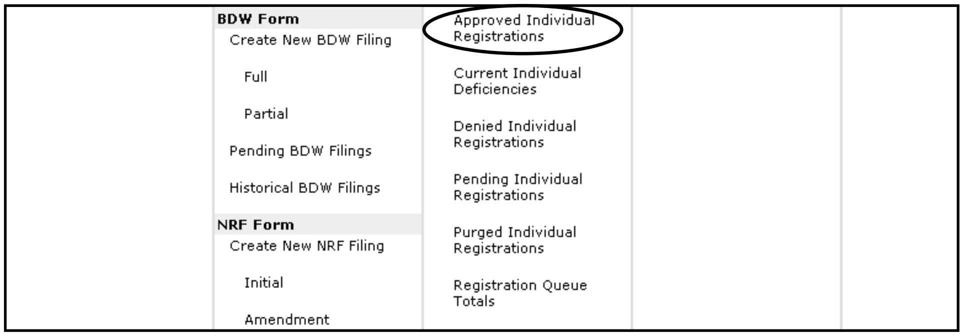
Steps for Viewing Approved Individual Registrations Notice Queue:

Access Approved Individual Registrations Notice Queue

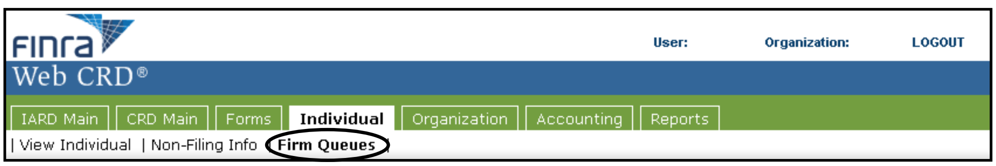
There are two ways to access individuals in the Approved Individual Registrations Notice Queue:

1. From the CRD Site Map, click the **Approved Individual Registrations** hyperlink.



OR

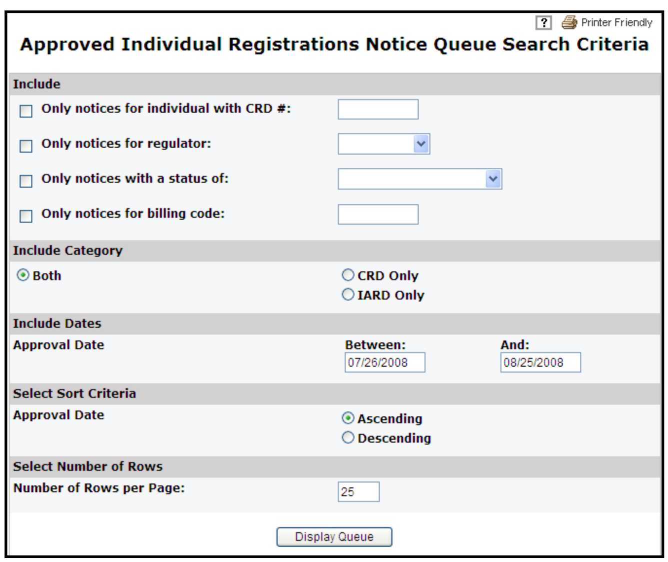
1a. Click the **Individual** Tab from the Tool Bar, choose **Firm Queues** from the Sub-menu and click **Registrations** from the Navigation Bar.



NOTE: To access CRD from IARD, see Steps for Accessing CRD from IARD, page 3-4.

Approved Individual Registrations Notice Queue Search

[Result:] CRD defaults to the *Approved Individual Registrations Notice Queue Search Criteria* screen.



Approved Individual Registrations Notice Queue Search (Continued)	When the Queue screen criteria screen opens, select a combination or one of the following options: 2. If searching for a specific individual, place a check mark in the **Only notices for individual with CRD #** box and type the individual CRD Number in the field. **NOTE:** If a check mark is selected, CRD requires the completion of the corresponding field. 3. If searching by Branch Office, place a check mark in the **Only notices for billing code** box and type the Billing Code in the field. **NOTE:** A Billing Code is a number assigned by a firm to its branch office(s). 4. If searching for individuals in a specific jurisdiction, click the **Only notices for regulator** box and choose the appropriate regulator. 5. If searching for individuals with a specific approval type, click the **Only notices with a status of** box and choose the appropriate approval type. 6. Click the **IARD Only** radio button. **NOTE:** CRD defaults to Both. For IA-Only Firms, clicking the Both radio button will display the same results as clicking the IARD Only radio button. Broker-Dealer/Investment Adviser Firms (Joint Firms) may choose any option. 7. Type an **Approval Date** Range in the **[Between:]** and **[And:]** fields. **NOTE:** CRD defaults to the last thirty (30) days. A maximum of thirty (30) days is allowed. 8. If searching for individuals by the earliest **Approval Date**, click the **Ascending** radio button. If searching for individuals by the most recent **Approval Date**, click the **Descending** radio button. **NOTE:** CRD defaults to Ascending. 9. If searching by a specific number of rows, type the **Number of Rows per Page** in the field. **NOTE:** CRD defaults to twenty-five (25) rows. A maximum of fifty (50) rows is allowed per page. 10. Click the **Display Queue** button.

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View Approved Individual Registrations Notice Queue

[Result:] The *Approved Individual Registrations Notice Queue* screen opens.

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Approved Individual Registrations Notice Queue

<<Previous Next>>
Rows 1 to 1

Individual				Billing Code	Regulator	Reg Cat	Filing Date	Status	Approval Date
CRD	Name	CRD Regs	IARD Regs						
1111111	DOE, JOHN A	N	Y		CA	RA	08/18/2008	APPROVED	08/21/2008

To view additional information on an individual's record, select one of the following options:

11. To view an individual's Composite Information, click the appropriate **CRD** hyperlink.

12. To view an individual's Form Filing History in View Individual, click the **Filing Date** hyperlink.

13. To view individual registration status definitions, click the **Status** hyperlink.

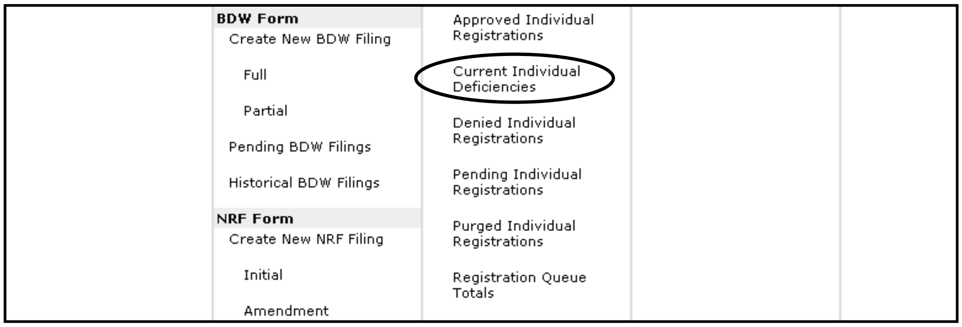
NOTE: An individual's name may be listed multiple times in the queue based on the number of jurisdictions in which he or she is approved, restricted approval and temporary registration. The CRD Regs and IARD Regs columns indicate whether an individual is a broker-dealer agent (AG) or a RA. The CRD Regs column will have an "N" for IA-Only Firms.

Steps for Viewing Current Individual Deficiencies Notice Queue:

Access Current Individual Deficiencies Notice Queue

There are two ways to access individuals in the Current Individual Deficiencies Notice Queue:

1. From the CRD Site Map, click the **Current Individual Deficiencies** hyperlink.



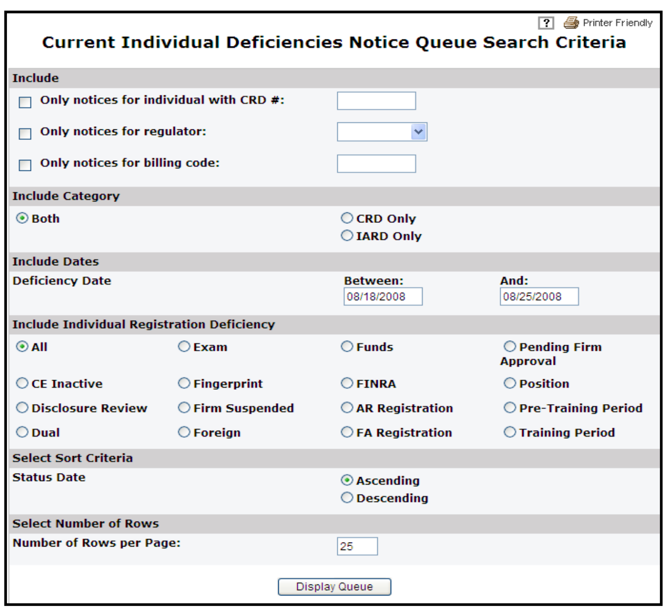
<u>OR</u>

1a. Click the **Individual** Tab from the Tool Bar, choose **Firm Queues** from the Sub-menu, click **Registrations** from the Navigation Bar and choose **Current Individual Deficiencies**.

NOTE: To access CRD from IARD, see Steps for Accessing CRD from IARD, page 3-3.

Current Individual Deficiencies Notice Queue Search

[Result:] The *Current Individual Deficiencies Notice Queue Search Criteria* screen opens.



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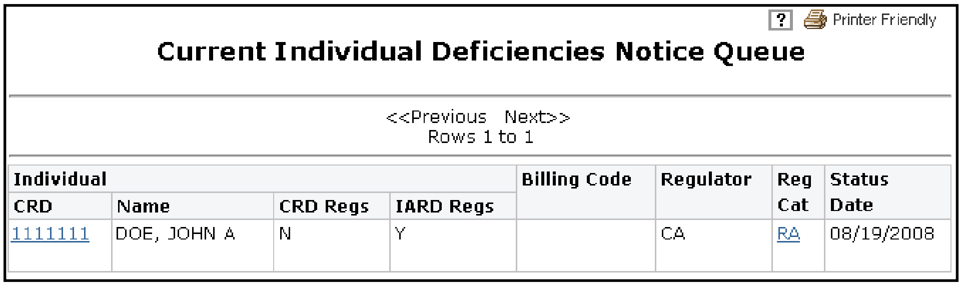
Current Individual Deficiencies Notice Queue Search (Continued)	When the Queue screen criteria screen opens, select a combination or one of the following options: 2. If searching for a specific individual, place a check mark in the **Only notices for individual with CRD #** box and type the individual CRD Number in the field. **NOTE:** If a check mark is selected, CRD requires the completion of the corresponding field. 3. If searching for individuals in a specific jurisdiction, click the **Only notices for regulator** box and choose the appropriate regulator. 4. If searching by Branch Office, place a check mark in the **Only notices for billing code** box and type the Billing Code in the field. **NOTE:** A Billing Code is a number assigned by a firm to its branch office(s). 5. Click the **IARD Only** radio button. **NOTE:** CRD defaults to Both. For IA-Only Firms, clicking the Both radio button will display the same results as clicking the IARD Only radio button. Broker-Dealer/Investment Adviser Firms (Joint Firms) may choose any option. 6. Type a **Deficiency Date** Range in the **[Between:]** and **[And:]** fields. CRD defaults to the last seven (7) days. A maximum of thirty (30) days is allowed. 7. If searching for a specific Deficiency type, click the appropriate **Include Individual Registration Deficiency** radio button. (Only one radio button may be checked.) **<u>OR</u>** 7a. Click the **ALL** button for a comprehensive list of deficiencies. 8. If searching for individuals by the earliest **Filing Date**, click the **Ascending** radio button. If searching for individuals by the most recent **Filing Date**, click the **Descending** radio button. **NOTE:** CRD defaults to Ascending. 9. If searching by a specific number of rows, type the **Number of Rows per Page** in the field. **NOTE:** CRD defaults to twenty-five (25) rows. A maximum of fifty (50) rows is allowed per page. 10. Click the **Display Queue** button.

View Current Individual Deficiencies Notice Queue

[Result]: The *Current Individual Deficiencies Notice Queue* screen opens.



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Current Individual Deficiencies Notice Queue

<<Previous Next>>
Rows 1 to 1

Individual				Billing Code	Regulator	Reg Cat	Status Date
CRD	Name	CRD Regs	IARD Regs				
1111111	DOE, JOHN A	N	Y		CA	RA	08/19/2008

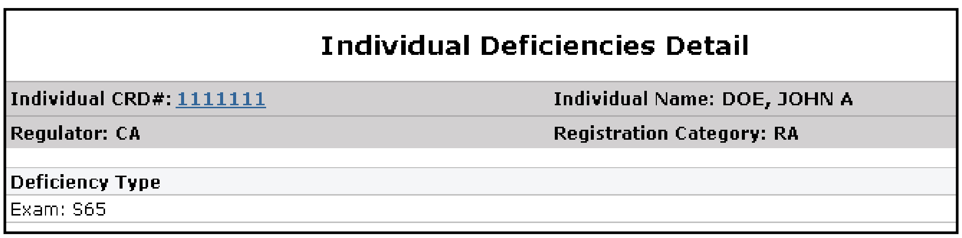
To view additional information on an individual's record, select one of the following options:

11. To view an individual's deficiencies, click the appropriate individual **CRD** number hyperlink, click **Deficiencies** from the Navigation Bar and click the **Firm Name** hyperlink.

OR

11a. To view a specific deficiency detail, click the specific position hyperlink in the **Reg Cat** column.

[Result]: The *Individual Deficiencies Detail* screen opens



Individual Deficiencies Detail

Individual CRD#: 1111111	**Individual Name:** DOE, JOHN A
Regulator: CA	**Registration Category:** RA

Deficiency Type
Exam: S65

NOTE: An individual's name may be listed multiple times in the queue based on the number of jurisdictions in which he or she is deficient. The CRD Regs and IARD Regs columns indicate whether an individual is an AG or an RA. The CRD Regs column will have an "N" for IA-Only Firms.

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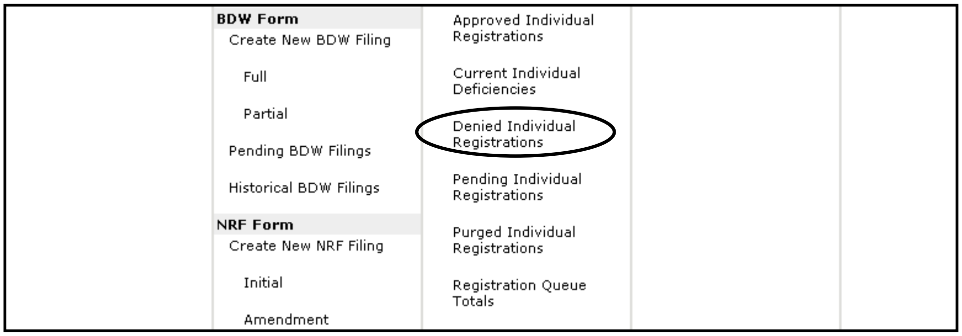
Steps for Viewing Denied Individual Registrations Notice Queue:

Access Denied Individual Registrations Notice Queue

There are two ways to access individuals in the Denied Individual Registrations Notice Queue:

1. From the CRD Site Map, click the **Denied Individual Registrations** hyperlink.



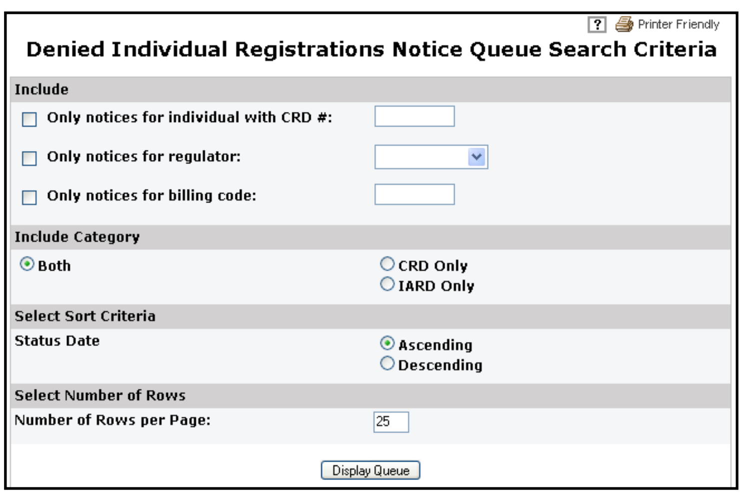
OR

1a. Click the **Individual** Tab from the Tool Bar, choose **Firm Queues** from the Sub-menu, click **Registrations** from the Navigation Bar and choose **Denied Individual Registrations**.

NOTE: To access CRD from IARD, see Steps for Accessing CRD from IARD, page 3-4

Denied Individual Registrations Notice Queue Search

[Result:] The *Denied Individual Registration Notice Queue Search Criteria* screen opens.



Denied Individual Registrations Notice Queue Search (Continued)	When the Queue screen criteria screen opens, select a combination or one of the following options: 2. If searching for a specific individual, place a check mark in the **Only notices for individual with CRD #** box and type the individual CRD Number in the field. **NOTE:** If a check mark is selected, CRD requires the completion of the corresponding field. 3. If searching for individuals in a specific jurisdiction, click the **Only notices for regulator** box and choose the appropriate regulator. 4. If searching by Branch Office, place a check mark in the **Only notices for billing code** box and type the Billing Code in the field. **NOTE:** A Billing Code is a number assigned by a firm to its branch office(s). 5. Click the **IARD Only** radio button. **NOTE:** CRD defaults to Both. For IA-Only Firms, clicking the Both radio button will display the same results as clicking the IARD Only radio button. Broker-Dealer/Investment Adviser Firms (Joint Firms) may choose any option. 6. If searching for individuals by the earliest **Status Date**, click the **Ascending** radio button. If searching for individuals by the most recent **Status Date**, click the **Descending** radio button. **NOTE:** CRD defaults to Ascending. 7. If searching by a specific number of rows, type the **Number of Rows per Page** in the field. **NOTE:** CRD defaults to twenty-five (25) rows. A maximum of fifty (50) rows is allowed per page. 8. Click the **Display Queue** button.

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View Denied Individual Registrations Notice Queue

[Result:] The *Denied Individual Registrations Notice Queue* screen opens.

? Printer Friendly

Denied Individual Registrations Notice Queue

<<Previous Next>>
Rows 1 to 1

Individual				Billing Code	Regulator	Reg Cat	Status	Status Date
CRD	Name	CRD Regs	IARD Regs					
1111111	DOE, JOHN A	N	Y		MD	RA	DENIED	08/26/2008

To view additional information on an individual's record, select one of the following options:

9. To view an individual's Composite Information, click the appropriate **CRD** hyperlink.

10. To view individual registration status definitions, click the **Status** hyperlink.

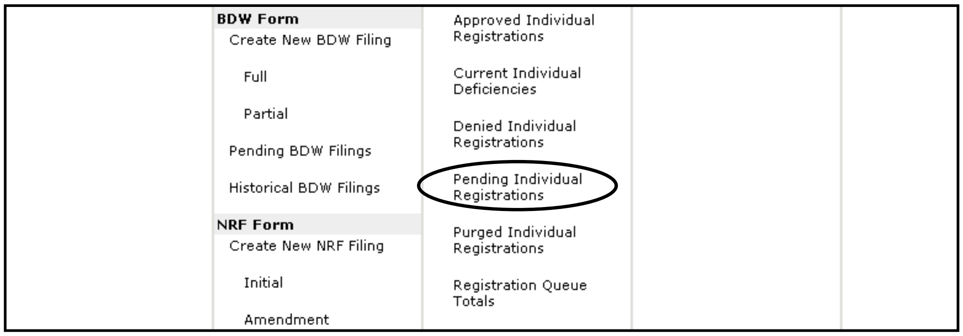
NOTE: An individual's name may be listed multiple times in the queue based on the number of jurisdictions in which he or she has been denied or rejected. The CRD Regs and IARD Regs columns indicate whether an individual is an AG or an RA. The CRD Regs column will have an “N” for IA-Only Firms.

Steps for Viewing Pending Individual Registrations Notice Queue:

Access Pending Individual Registrations Notice Queue

There are two ways to access individuals in the Pending Individual Registrations Notice Queue:

1. From the CRD Site Map, click the **Pending Individual Registrations** hyperlink.

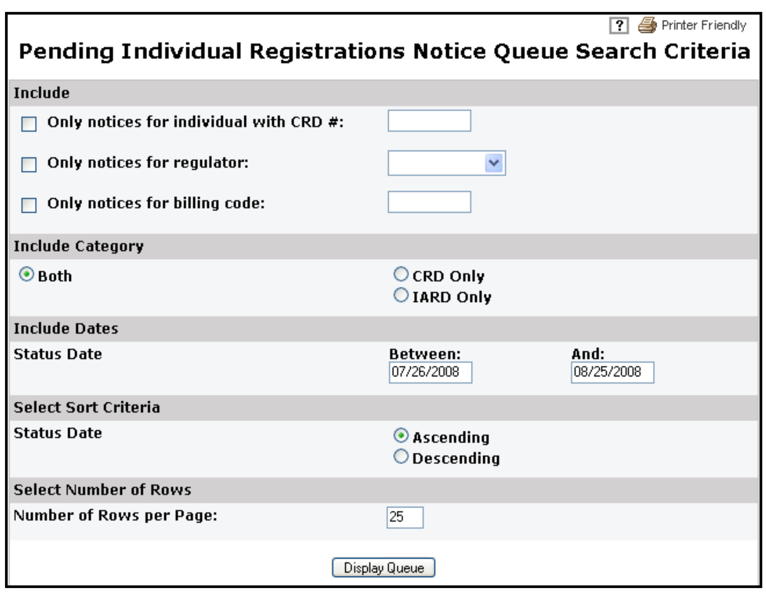


OR

1a. Click the **Individual** Tab from the Tool Bar, choose **Firm Queues** from the Sub-menu, click **Registrations** from the Navigation Bar and choose **Pending Individual Registrations**.

Pending Individual Registrations Notice Queue Search

[Result:] The *Pending Individual Registration Notice Queue Search Criteria* screen opens.



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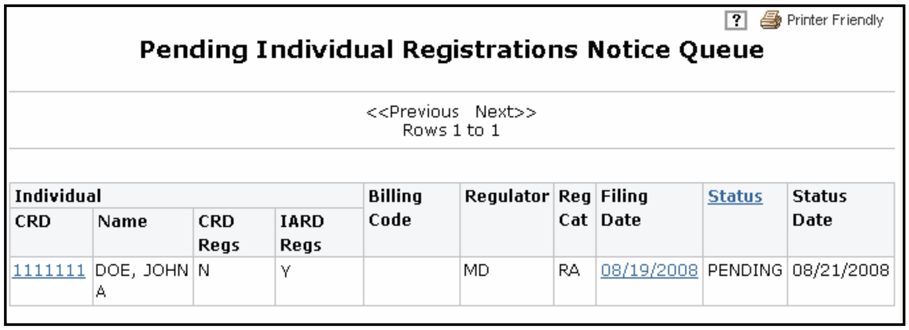
Pending Individual Registrations Notice Queue Search (Continued)	When the Queue screen criteria screen opens, select a combination or one of the following options: 2. If searching for a specific individual, place a check mark in the **Only notices for individual with CRD #** box and type the individual CRD Number in the field. **NOTE:** If a check mark is selected, CRD requires the completion of the corresponding field. 3. If searching by Branch Office, place a check mark in the **Only notices for billing code** box and type the Billing Code in the field. **NOTE:** A Billing Code is a number assigned by a firm to its branch office(s). 4. If searching for individuals in a specific jurisdiction click the **Only notices for regulator** box and choose the appropriate regulator. 5. Click the **IARD Only** radio button. **NOTE:** CRD defaults to Both. For IA-Only Firms, clicking the Both radio button will display the same results as clicking the IARD Only radio button. Broker-Dealer/Investment Adviser Firms (Joint Firms) may choose any option 6. Type a **Status Date** Range in the **[Between:]** and **[And:]** fields. **NOTE:** CRD defaults to the last thirty (30) days. A maximum of thirty (30) days is allowed. 7. If searching for individuals by the earliest **Status Date**, click the **Ascending** radio button. If searching for individuals by the most recent **Status Date**, click the **Descending** radio button. **NOTE:** CRD defaults to Ascending. 8. If searching by a specific number of rows, type the **Number of Rows per Page** in the field. **NOTE:** CRD defaults to twenty-five (25) rows. A maximum of fifty (50) rows is allowed per page. 9. Click the **Display Queue** button.

View Pending Individual Registrations Notice Queue

[Result:] The *Pending Individual Registrations Notice Queue* screen opens.


? Printer Friendly

Pending Individual Registrations Notice Queue

<<Previous Next>>
Rows 1 to 1

Individual				Billing Code	Regulator	Reg Cat	Filing Date	Status	Status Date
CRD	Name	CRD Regs	IARD Regs						
1111111	DOE, JOHN A	N	Y		MD	RA	08/19/2008	PENDING	08/21/2008

To view additional information on an individual's record, select one of the following options:

10. To view an individual's Composite Information, click the appropriate **CRD** hyperlink.

11. To view an individual's Form Filing History in View Individual, click the **Filing Date** hyperlink.

12. To view individual registration status definitions, click the **Status** hyperlink.

NOTE: An individual's name may be listed multiple times in the queue based on the number of jurisdictions in which he or she is waiting (Pending) for a jurisdiction approval. The CRD Regs and IARD Regs columns indicate whether an individual is an AG or an RA. The CRD Regs column will have an ”N” for IA-Only Firms.

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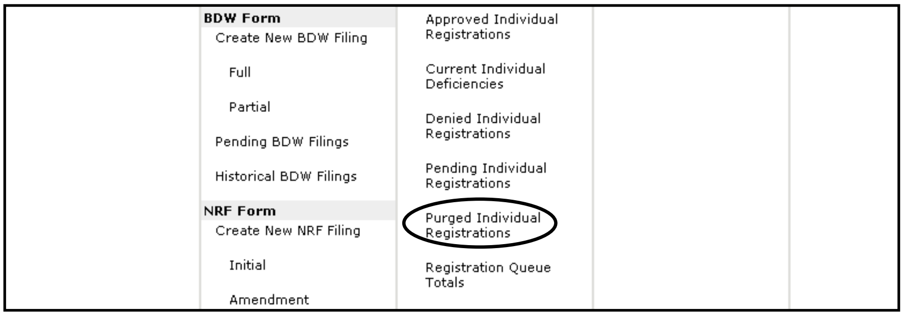
Steps for Viewing Purged Individual Registrations Notice Queue:

Access Purged Individual Registrations Notice Queue

There are two ways to access individuals in the Purged Individual Registrations Notice Queue:

1. From the CRD Site Map, click the **Purged Individual Registrations** hyperlink.



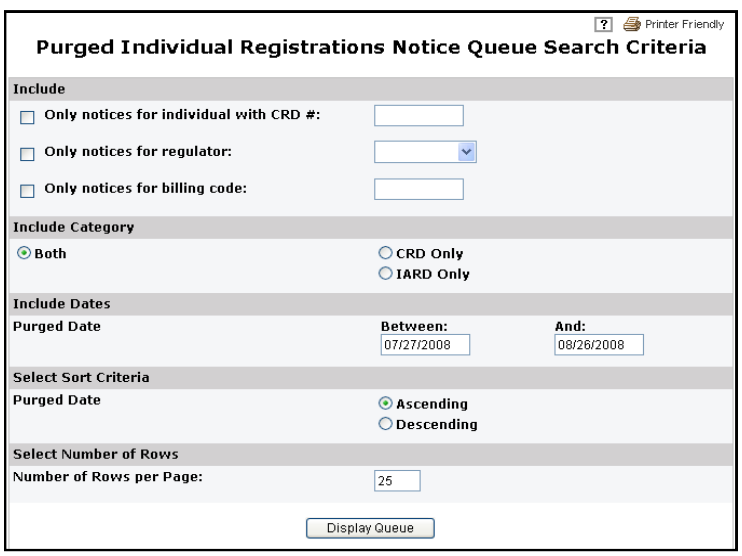
OR

1a. Click the **Individual** Tab from the Tool Bar, choose **Firm Queues** from the Sub-menu, click **Registrations** from the Navigation Bar and choose **Purged Individual Registrations**.

NOTE: To access CRD from IARD, see Steps for Accessing CRD from IARD, page 3-4.

Purged Individual Registrations Notice Queue Search

[Result:] The *Purged Individual Registration Notice Queue Search Criteria* screen opens.



Purged Individual Registrations Notice Queue Search (Continued)	When the Queue screen criteria screen opens, select a combination or one of the following options: 2. If searching for a specific individual, place a check mark in the **Only notices for individual with CRD #** box and type the individual CRD Number in the field. **NOTE:** If a check mark is selected, CRD requires the completion of the corresponding field. 3. If searching for individuals in a specific jurisdiction click the **Only notices for regulator** box and choose the appropriate regulator. 4. If searching by Branch Office, place a check mark in the **Only notices for billing code** box and type the Billing Code in the field. **NOTE:** A Billing Code is a number assigned by a firm to its branch office(s). 5. Click the **IARD Only** radio button. **NOTE:** CRD defaults to Both. For IA-Only Firms, clicking the Both radio button will display the same results as clicking the IARD Only radio button. Broker-Dealer/Investment Adviser Firms (Joint Firms) may choose any option 6. Type a **Purge Date** Range in the **[Between:]** and **[And:]** fields. **NOTE:** CRD defaults to the last thirty (30) days. A maximum of thirty (30) days is allowed. 7. If searching for individuals by the earliest **Purge Date**, click the **Ascending** radio button. If searching for individuals by the most recent **Purge Date**, click the **Descending** radio button. **NOTE:** CRD defaults to Ascending. 8. If searching by a specific number of rows, type the **Number of Rows per Page** in the field. **NOTE:** CRD defaults to twenty-five (25) rows. A maximum of fifty (50) rows is allowed per page. 9. Click the **Display Queue** button.

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View Purged Individual Registrations Notice Queue

[Result:] The *Purged Individual Registrations Notice Queue* screen opens.

Purged Individual Registrations Notice Queue

? Printer Friendly

<<Previous Next>>
Rows 1 to 6

Individual				Billing Code	Regulator	Reg Cat	Purged Date
CRD	Name	CRD Regs	IARD Regs				
1111111	DOE, JOHN A	N	N		FINRA	GP	08/01/2008
2222222	DOE, JOHN B	N	N		FINRA	GS	08/16/2008

10. To view an individual's Composite Information, click the appropriate **CRD** hyperlink.

11. To view the deficiency detail prior to the purge, click the position hyperlink in the **Reg Cat** column.

[Result]: The *Individual Deficiencies Detail* screen opens

Individual Deficiencies Detail

Individual CRD#: 1111111	**Individual Name:** DOE, JOHN A
Regulator: FINRA	**Registration Category:** GS

Deficiency Type
Exam: S7

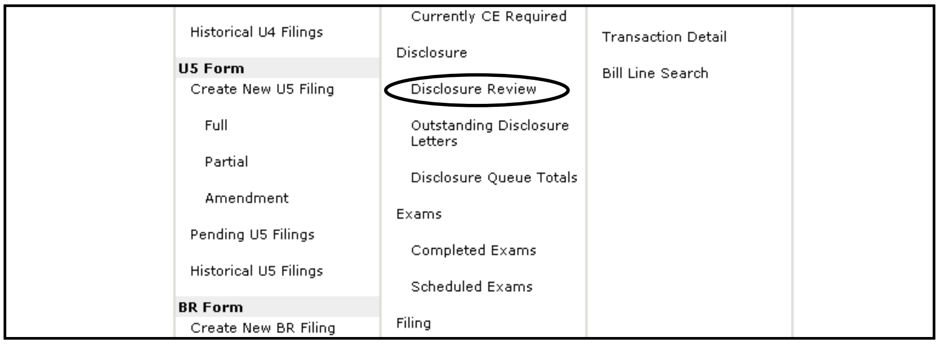
NOTE: An individual's name may be listed multiple times in the queue based on the number of jurisdictions in which he or she is Purged. The CRD Regs and IARD Regs columns indicate whether an individual is an AG or an RA. The CRD Regs column will have an "N" for IA-Only Firms.

Steps for Viewing Disclosure Review Notice Queue:

Access Disclosure Review Notice Queue

There are two ways to access individuals in the Disclosure Review Notice Queue:

1. From the CRD Site Map, click the **Disclosure Review** hyperlink.



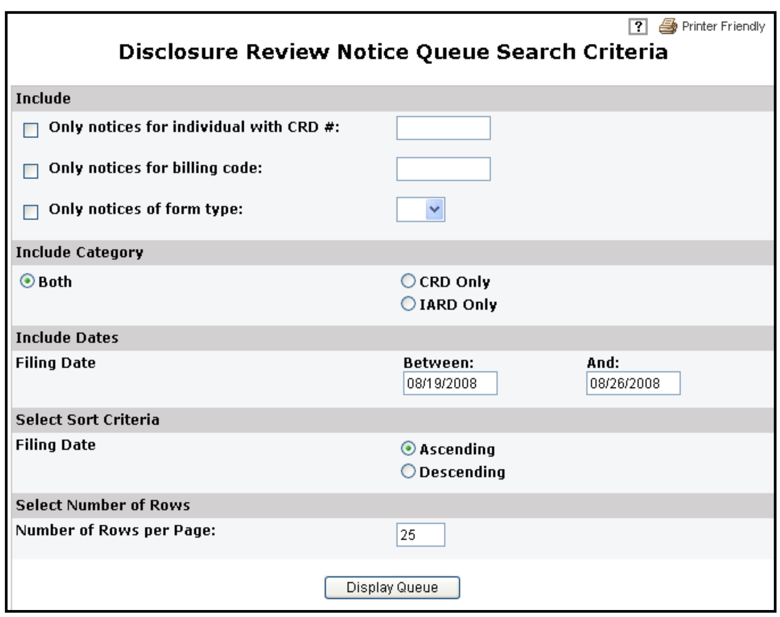
OR

1a. Click the **Individual** Tab from the Tool Bar, choose **Firm Queues** from the Sub-menu, and click **Disclosure** from the Navigation Bar.

NOTE: To access CRD from IARD, see Steps for Accessing CRD from IARD, page 3-4.

Disclosure Review Notice Queue Search

[Result:] CRD defaults to the *Disclosure Review Notice Queue Search Criteria* Screen



Disclosure Review Notice Queue Search (Continued)	When the Queue screen criteria screen opens, select a combination or one of the following options: 2. If searching for a specific individual, place a check mark in the **Only notices for individual with CRD #** box and type the individual CRD Number in the field. **NOTE:** If a check mark is selected, CRD requires the completion of the corresponding field. 3. If searching by Branch Office, place a check mark in the **Only notices for billing code** box and type the Billing Code in the field. **NOTE:** A Billing Code is a number assigned by a firm to its branch office(s). 4. If searching for individuals with disclosure on a specific form filing type, click the **Only notices of form type** box and choose the appropriate form filing type. 5. Click the **IARD Only** radio button. **NOTE:** CRD defaults to Both. For IA-Only Firms, clicking the Both radio button will display the same results as clicking the IARD Only radio button. Broker-Dealer/Investment Adviser Firms (Joint Firms) may choose any option 6. Type a **Filing Date** Range in the **[Between:]** and **[And:]** fields. **NOTE:** CRD defaults to the last seven (7) days. A maximum of thirty (30) days is allowed. 7. If searching for individuals by the earliest **Filing Date**, click the **Ascending** radio button. If searching for individuals by the most recent **Filing Date**, click the **Descending** radio button. **NOTE:** CRD defaults to Ascending. 8. If searching by a specific number of rows, type the **Number of Rows per Page** in the field. **NOTE:** CRD defaults to twenty-five (25) rows. A maximum of fifty (50) rows is allowed per page. 9. Click the **Display Queue** button.

View Disclosure Review Notice Queue

[Result:] The *Disclosure Review Notice Queue* display screen opens.

Printer Friendly

Disclosure Review Notice Queue

<<Previous Next>>
Rows 1 to 1

Individual				Billing Code	Filing
CRD	Name	CRD Regs	IARD Regs		
1111111	DOE, JOHN A	Y	Y		U4 - INITIAL Customer Complaint* 08/26/2008 SECURITIES FIRM (0000)

To view additional information on an individual's record, select one of the following options:

10. To view an individual's Composite Information, click the appropriate **CRD** hyperlink.

11. To view an individual's Form Filing, click the **Filing Type** hyperlink.

12. To view an individual's Disclosure, click the **Disclosure Type** hyperlink.

13. To view individual's Amendment filings on a particular disclosure, click the **Filing Date** hyperlink.

14. To view the organization information, click the **Organization CRD Number** hyperlink.

NOTE: The CRD Regs and IARD Regs columns indicate whether an individual is an AG or an RA. The CRD Regs column will have an "N" for IA-Only Firms.

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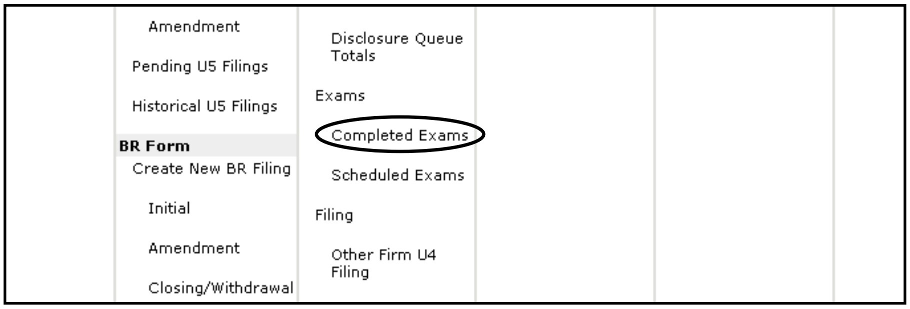
Steps for Viewing Completed Exams Notice Queue:

Access Completed Exams Notice Queue

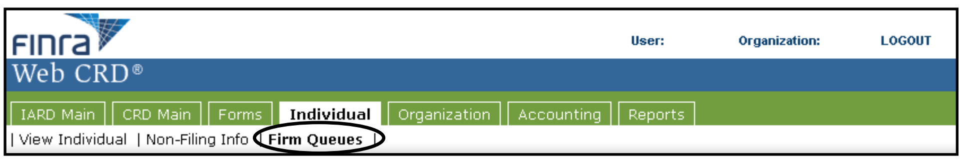
There are two ways to access individuals in the Completed Exams Notice Queue:

1. From the CRD Site Map, click the **Completed Exams** hyperlink.



OR

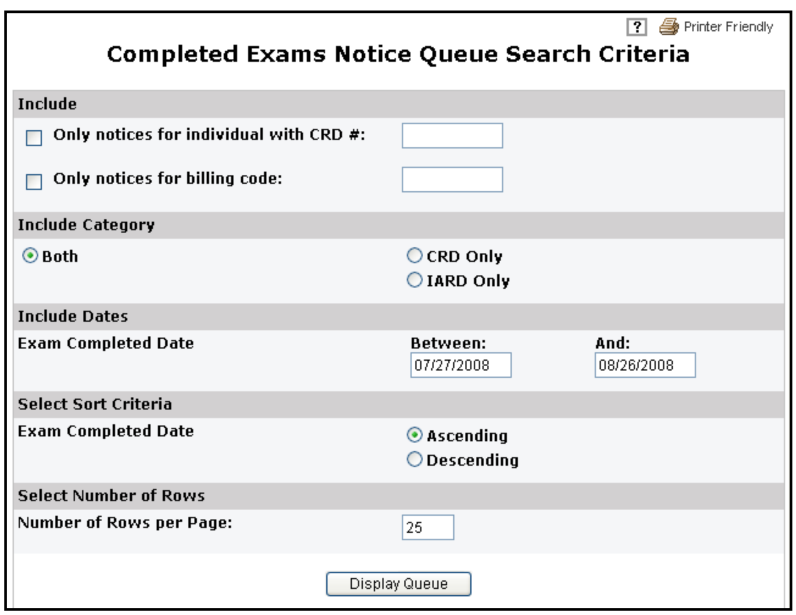
1a. Click the **Individual** Tab from the Tool Bar, choose **Firm Queues** from the Sub-menu and click **Exams** from the Navigation Bar.



NOTE: To access CRD from IARD, see Steps for Accessing CRD from IARD, page 3-4.

Completed Exams Notice Queue Search

[Result:] CRD defaults to the *Completed Exams Notice Queue Search Criteria* screen.



Completed Exams Notice Queue Search (Continued)	When the Queue screen criteria screen opens, select a combination or one of the following options: 2. If searching for a specific individual, place a check mark in the **Only notices for individual with CRD #** box and type the individual CRD Number in the field. **NOTE:** If a check mark is selected, CRD requires the completion of the corresponding field. 3. If searching by Branch Office, place a check mark in the **Only notices for billing code** box and type the Billing Code in the field. **NOTE:** A Billing Code is a number assigned by a firm to its branch office(s). 4. Click the **IARD Only** radio button. **NOTE:** CRD defaults to Both. For IA-Only Firms, clicking the Both radio button will display the same results as clicking the IARD Only radio button. Broker-Dealer/Investment Adviser ("Joint") firms may choose any option 5. Type an **Exam Completed Date** Range in the **[Between:]** and **[And:]** fields. **NOTE:** CRD defaults to the last thirty (30) days. A maximum of thirty (30) days is allowed. 6. If searching for individuals by the earliest **Exam Completed Date**, click the **Ascending** radio button. If searching for individuals by the most recent **Exam Completed Date**, click the **Descending** radio button. **NOTE:** CRD defaults to Ascending. 7. If searching by a specific number of rows, type the **Number of Rows per Page** in the field. **NOTE:** CRD defaults to twenty-five (25) rows. A maximum of fifty (50) rows is allowed per page. 8. Click the **Display Queue** button.

View Completed Exams Notice Queue

[Result:] The *Completed Exams Notice Queue* display screen opens.

? Printer Friendly

Completed Exams Notice Queue

<<Previous Next>>
Rows 1 to 2

Individual				Billing Code	Exam	Grade	Score	Completion Date
CRD	Name	CRD Regs	IARD Regs					
1111111	DOE, JOHN A	Y	Y		S63	PASSED	89	09/02/2008
2222222	DOE, JOHN B	Y	Y		S65	PASSED	90	09/05/2008

9. To view an individual's Composite Information, click the appropriate **CRD** hyperlink.

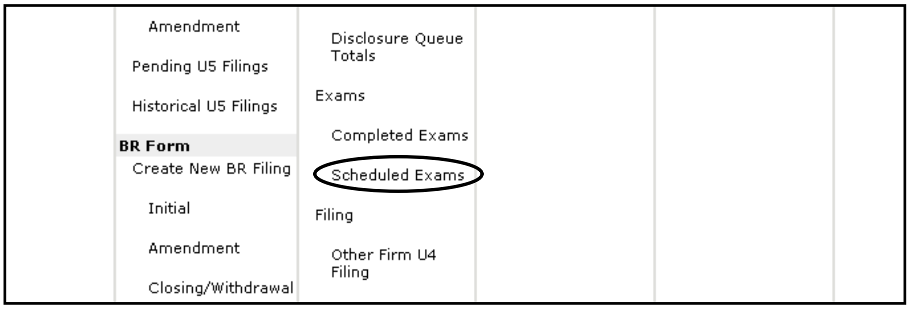
NOTE: The CRD Regs and IARD Regs columns indicate whether an individual is an AG or an RA. The CRD Regs column will have an "N" for IA-Only Firms.

Steps for Viewing Scheduled Exams Notice Queue:

Access Scheduled Exams Notice Queue

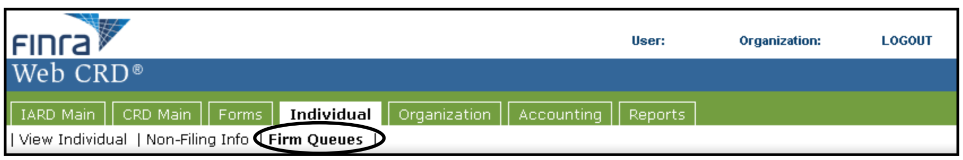
There are two ways to access individuals in the Scheduled Exams Notice Queue:

1. From the CRD Site Map, click the **Scheduled Exams** hyperlink.



OR

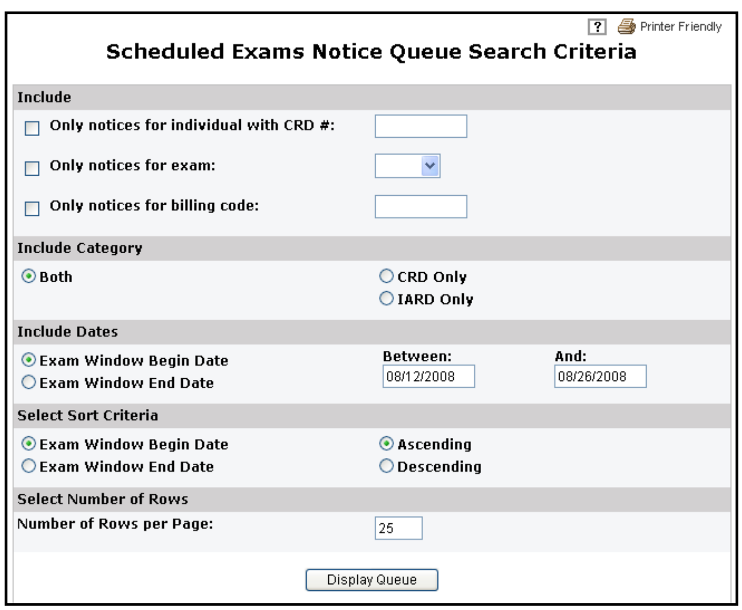
1a. Click the **Individual** Tab from the Tool Bar, choose **Firm Queues** from the Sub-menu, click **Exams** from the Navigation Bar and choose **Scheduled Exams**.



NOTE: To access CRD from IARD, see Steps for Accessing CRD from IARD, page 3-4.

Scheduled Exams Notice Queue Search

[Result:] The *Scheduled Exams Notice Queue Search Criteria* screen opens



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Scheduled Exams Notice Queue Search
(Continued)

When the Queue screen criteria screen opens, select a combination or one of the following options:

2. If searching for a specific individual, place a check mark in the **Only notices for individual with CRD #** box and type the individual CRD Number in the field.

   NOTE: If a check mark is selected, CRD requires the completion of the corresponding field.

3. If searching for individuals with specific exam types, click the **Only notices for exam** box and choose the appropriate exam.

4. If searching by Branch Office, place a check mark in the **Only notices for billing code** box and type the Billing Code in the field.

   NOTE: A Billing Code is a number assigned by a firm to its branch office(s).

5. Click the **IARD Only** radio button.

   NOTE: CRD defaults to Both. For IA-Only Firms, clicking the Both radio button will display the same results as clicking the IARD Only radio button. Broker-Dealer/Investment Adviser Firms (Joint Firms) may choose any option

6. If searching for individuals by the window begin date, click the **Exam Window Begin Date** radio button and type an Exam window begin date Range in the **[Between:]** and **[And:]** fields.

6a. If searching for individuals by the window end date, click the **Exam Window End Date** radio button and type an Exam window end date Range in the **[Between:]** and **[And:]** fields. **NOTE:** CRD defaults to the last fourteen (14) days. A maximum of thirty (30) days is allowed.

7. If searching for individuals by the earliest **Exam Window Begin Date,** click the **Ascending** radio button. If searching for individuals by the latest **Exam Window Begin Date**, click the **Descending** radio button. (CRD defaults to Ascending).

7b. If searching for individuals by the earliest **Exam Window End Date**, click the **Ascending** radio button.If searching for individuals by the latest **Exam Window End Date**, click the **Descending** radio button. (CRD defaults to Ascending).

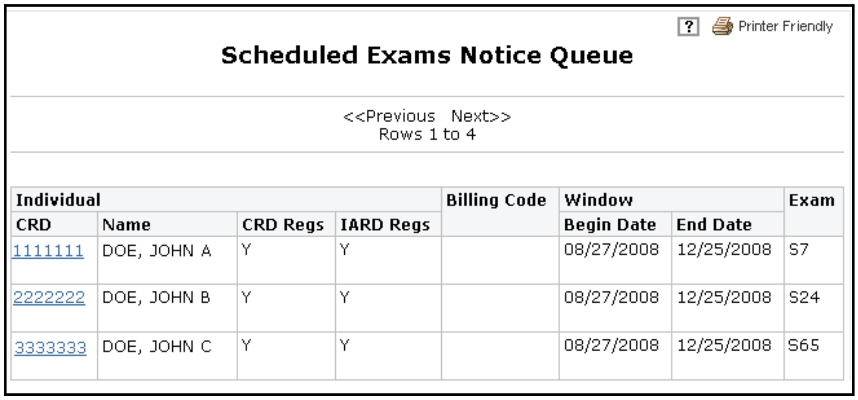
8. If searching by a specific number of rows, type the **Number of Rows per Page** in the field.

9. Click the **Display Queue** button.

   NOTE: CRD defaults to twenty-five (25) rows. A maximum of fifty (50) rows is allowed per page.

View Scheduled Exams Notice Queue

[Result:] The *Scheduled Exams Notice Queue* screen opens.



? Printer Friendly

Scheduled Exams Notice Queue

<<Previous Next>>
Rows 1 to 4

Individual				Billing Code	Window		Exam
CRD	Name	CRD Regs	IARD Regs		Begin Date	End Date	
1111111	DOE, JOHN A	Y	Y		08/27/2008	12/25/2008	S7
2222222	DOE, JOHN B	Y	Y		08/27/2008	12/25/2008	S24
3333333	DOE, JOHN C	Y	Y		08/27/2008	12/25/2008	S65

11. To view an individual's Composite Information, click the appropriate **CRD** hyperlink.

NOTE: The CRD Regs and IARD Regs columns indicate whether an individual is an AG or an RA. The CRD Regs column will have an "N" for IA-Only Firms.

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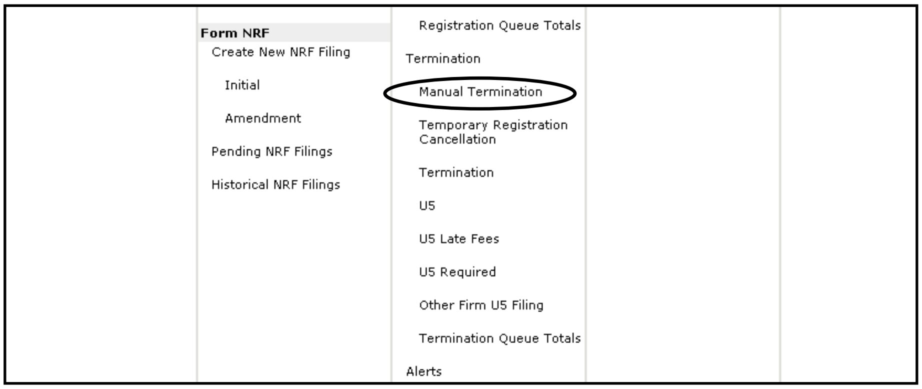
Steps for Viewing Manual Termination Notice Queue:

Access Manual Termination Notice Queue

There are two ways to access individuals in the Manual Termination Notice Queue:

1. From the CRD Site Map, click the **Manual Termination** hyperlink.



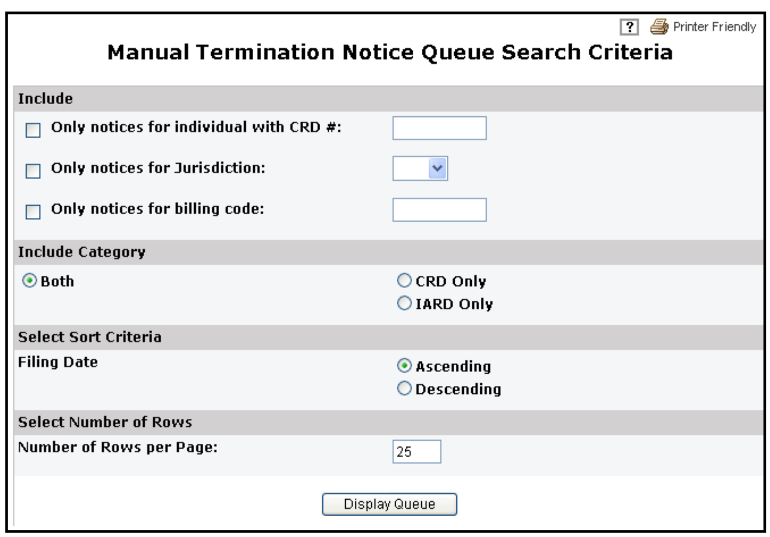
OR

1a. Click the **Individual** Tab from the Tool Bar, choose **Firm Queues** from the Sub-menu and click **Termination** from the Navigation Bar.

NOTE: To access CRD from IARD, see Steps for Accessing CRD from IARD, page 3-4.

Manual Termination Notice Queue Search

[Result:] CRD defaults to the *Manual Termination Notice Queue Search Criteria* screen.



NOTE: Termination Queue Totals section lists total number of items in termination queues.

Manual Termination Notice Queue Search (Continued)	When the Queue screen criteria screen opens, select a combination or one of the following options: 2. If searching for a specific individual, place a check mark in the **Only notices for individual with CRD #** box and type the individual CRD Number in the field. **NOTE:** If a check mark is selected, CRD requires the completion of the corresponding field. 3. If searching for individuals in a specific jurisdiction click the **Only notices for jurisdictions** box and choose the appropriate jurisdiction. 4. If searching by Branch Office, place a check mark in the **Only notices for billing code** box and type the Billing Code in the field. **NOTE:** A Billing Code is a number assigned by a firm to its branch office(s). 5. Click the **IARD Only** radio button. **NOTE:** CRD defaults to Both. For IA-Only Firms, clicking the Both radio button will display the same results as clicking the IARD Only radio button. Broker-Dealer/Investment Adviser Firms (Joint Firms) may choose any option. 6. If searching for individuals by the earliest **Filing Date**, click the **Ascending** radio button. **<u>OR</u>** 6a. If searching for individuals by the most recent **Filing Date**, click the **Descending** radio button. **NOTE:** CRD defaults to Ascending. 7. If searching by a specific number of rows, type the **Number of Rows per Page** in the field. **NOTE:** CRD defaults to twenty-five (25) rows. A maximum of fifty (50) rows is allowed per page. 8. Click the **Display Queue** button.

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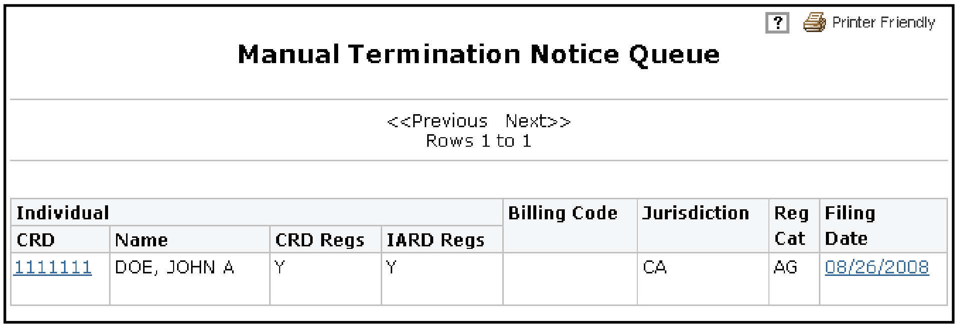
View Manual Termination Notice Queue

[Result:] The *Manual Termination Notice Queue* screen opens.


Manual Termination Notice Queue

Printer Friendly

<<Previous Next>>
Rows 1 to 1

Individual				Billing Code	Jurisdiction	Reg Cat	Filing Date
CRD	Name	CRD Regs	IARD Regs				
1111111	DOE, JOHN A	Y	Y		CA	AG	08/26/2008

To view additional information on an individual's record, select one of the following options:

9. To view an individual's Composite Information, click the appropriate **CRD** hyperlink.

10. To view an individual's Form Filing History in View Individual, click the **Filing Date** hyperlink.

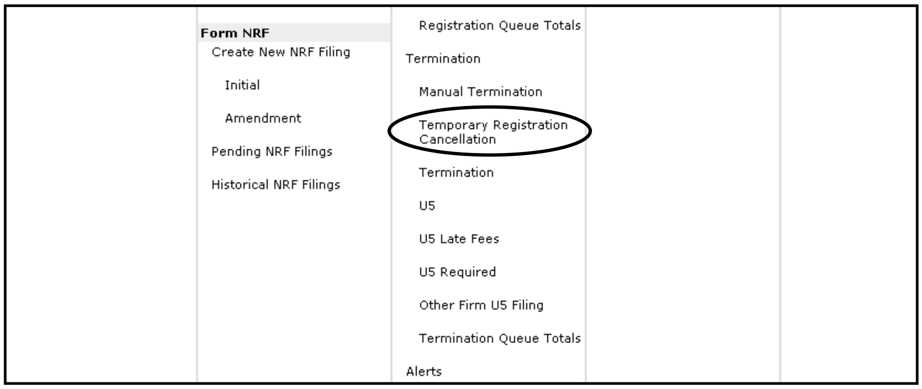
NOTE: An individual's name may be listed multiple times in the queue based on the number of jurisdictions in which he or she is blocked in. The CRD Regs and IARD Regs columns indicate whether an individual is an AG or an RA. The CRD Regs column will have an ”N” for IA-Only Firms.

Steps for Viewing Temporary Registration Cancellation Notice Queue:

Access Temporary Registration Cancellation Notice Queue

There are two ways to access individuals in the Temporary Registration Cancellation Notice Queue:

1. From the CRD Site Map, click the **Temporary Registration Cancellation** hyperlink.



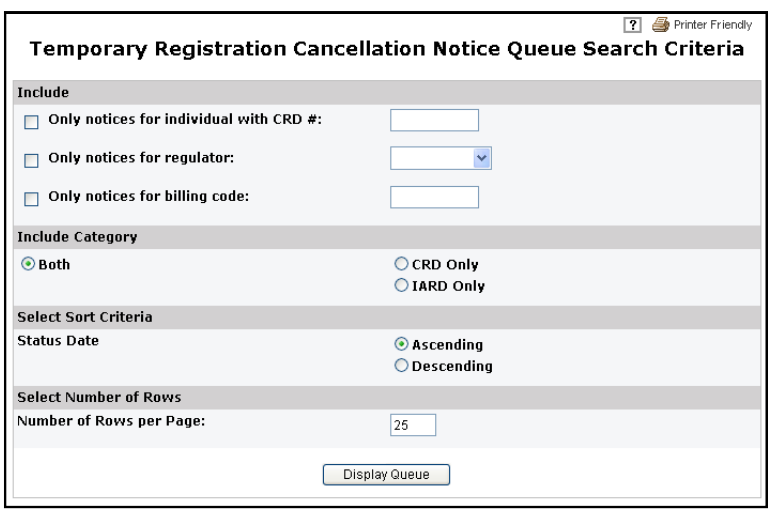
<u>OR</u>

1a. Click the **Individual** Tab from the Tool Bar, choose **Firm Queues** from the Sub-menu, click **Termination** from the Navigation Bar and choose **Temporary Registration Cancellation**.

NOTE: To access CRD from IARD, see Steps for Accessing CRD from IARD, page 3-4.

Temporary Registration Cancellation Notice Queue Search

[Result:] The *Temporary Registration Cancellation Notice Queue Search Criteria* screen opens.



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Temporary Registration Cancellation Notice Queue Search (Continued)	When the Queue screen criteria screen opens, select a combination or one of the following options: 2. If searching for a specific individual, place a check mark in the **Only notices for individual with CRD #** box and type the individual CRD Number in the field. **NOTE:** If a check mark is selected, CRD requires the completion of the corresponding field. 3. If searching for individuals in a specific jurisdiction, click the **Only notices for regulator** box and choose the appropriate regulator. 4. If searching by Branch Office, place a check mark in the **Only notices for billing code** box and type the Billing Code in the field. **NOTE:** A Billing Code is a number assigned by a firm to its branch office(s). 5. Click the **IARD Only** radio button. **NOTE:** CRD defaults to Both. For IA-Only Firms, clicking the Both radio button will display the same results as clicking the IARD Only radio button. Broker-Dealer/Investment Adviser Firms (Joint Firms) may choose any option. 6. If searching for individuals by the earliest **Status Date**, click the **Ascending** radio button. If searching for individuals by the most recent **Status Date**, click the **Descending** radio button. **NOTE:** CRD defaults to Ascending. 7. If searching by a specific number of rows, type the **Number of Rows per Page** in the field. **NOTE:** CRD defaults to twenty-five (25) rows. A maximum of fifty (50) rows is allowed per page. 8. Click the **Display Queue** button.

View Temporary Registration Cancellation Notice Queue

[Result:] The *Temporary Registration Cancellation Notice Queue* screen opens.

Temporary Registration Cancellation Notice Queue

[?] Printer Friendly

<<Previous Next>>
Rows 1 to 1

Individual				Billing Code	Regulator	Reg Cat	Status	Status Date
CRD	Name	CRD Regs	IARD Regs					
1111111	DOE, JOHN A	N	Y		TX	RA	DENIED	08/26/2008

To view additional information on an individual's record, select one of the following options:

9. To view an individual's Composite Information, click the appropriate **CRD** hyperlink.

10. To view individual registration status definitions, click the **Status** hyperlink.

NOTE: An individual's name may be listed multiple times in the queue based on the number of jurisdictions in which he or she had their temporary registration revoked. The CRD Regs and IARD Regs columns indicate whether an individual is an AG or an RA. The CRD Regs column will have an ”N” for IA-Only Firms.

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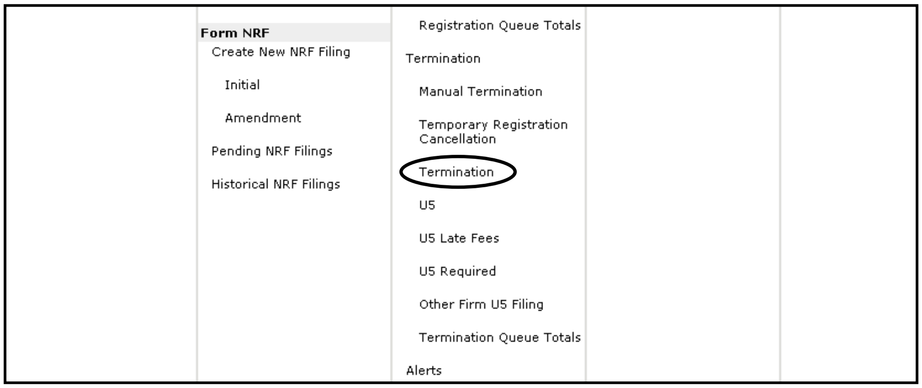
Steps for Viewing Termination Notice Queue:

Access Termination Notice Queue

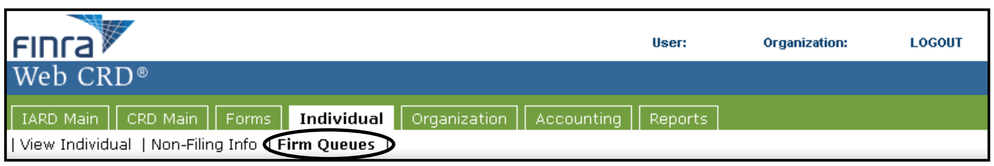
There are two ways to access individuals in the Termination Notice Queue:

1. From the CRD Site Map, click the **Termination** hyperlink.



<u>OR</u>

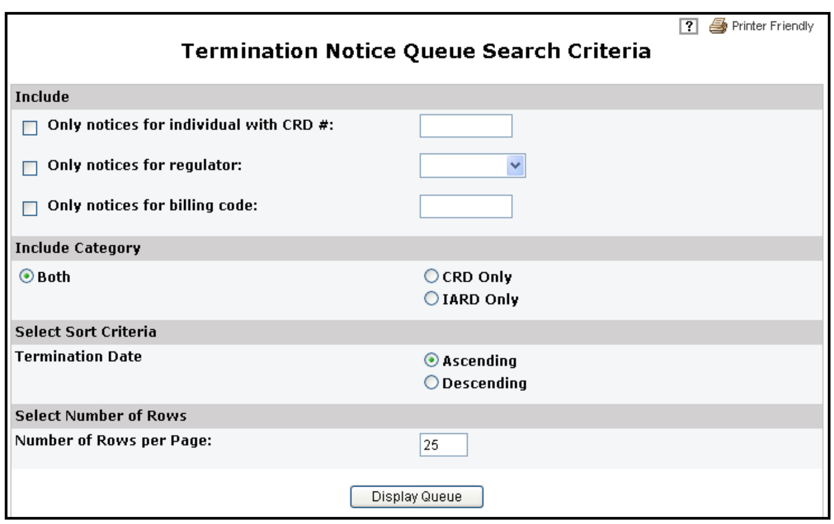
1a. Click the **Individual** Tab from the Tool Bar, choose **Firm Queues** from the Sub-menu and click **Termination** from the Navigation Bar.



NOTE: To access CRD from IARD, see Steps for Accessing CRD from IARD, page 3-4.

Termination Notice Queue Search

[Result:] The *Termination Notice Queue Search Criteria* screen opens.



Termination Notice Queue Search (Continued)	When the Queue screen criteria screen opens, select a combination or one of the following options: 2. If searching for a specific individual, place a check mark in the **Only notices for individual with CRD #** box and type the individual CRD Number in the field. **NOTE:** If a check mark is selected, CRD requires the completion of the corresponding field. 3. If searching for individuals in a specific jurisdiction, click the **Only notices for regulator** box and choose the appropriate regulator. 4. If searching by Branch Office, place a check mark in the **Only notices for billing code** box and type the Billing Code in the field. **NOTE:** A Billing Code is a number assigned by a firm to its branch office(s). 5. Click the **IARD Only** radio button. **NOTE:** CRD defaults to Both. For IA-Only Firms, clicking the Both radio button will display the same results as clicking the IARD Only radio button. Broker-Dealer/Investment Adviser ("Joint") firms may choose any option. 6. If searching for individuals by the earliest **Termination Date**, click the **Ascending** radio button. If searching for individuals by the most recent **Termination Date**, click the **Descending** radio button. **NOTE:** CRD defaults to Ascending. 7. If searching by a specific number of rows, type the **Number of Rows per Page** in the field. **NOTE:** CRD defaults to twenty-five (25) rows. A maximum of fifty (50) rows is allowed per page. 8. Click the **Display Queue** button.

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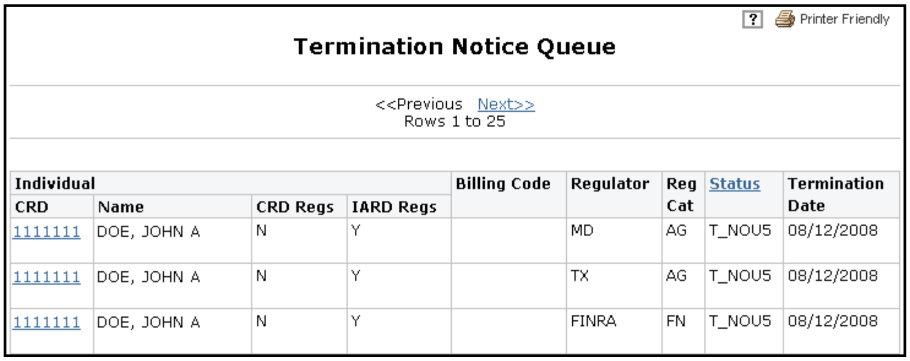
View Termination Notice Queue

[Result:] The *Termination Notice Queue* screen opens.


? Printer Friendly

Termination Notice Queue

<<Previous Next>>
Rows 1 to 25

Individual				Billing Code	Regulator	Reg Cat	Status	Termination Date
CRD	Name	CRD Regs	IARD Regs					
1111111	DOE, JOHN A	N	Y		MD	AG	T_NOU5	08/12/2008
1111111	DOE, JOHN A	N	Y		TX	AG	T_NOU5	08/12/2008
1111111	DOE, JOHN A	N	Y		FINRA	FN	T_NOU5	08/12/2008

9. To view an individual's Composite Information, click the appropriate **CRD** hyperlink.

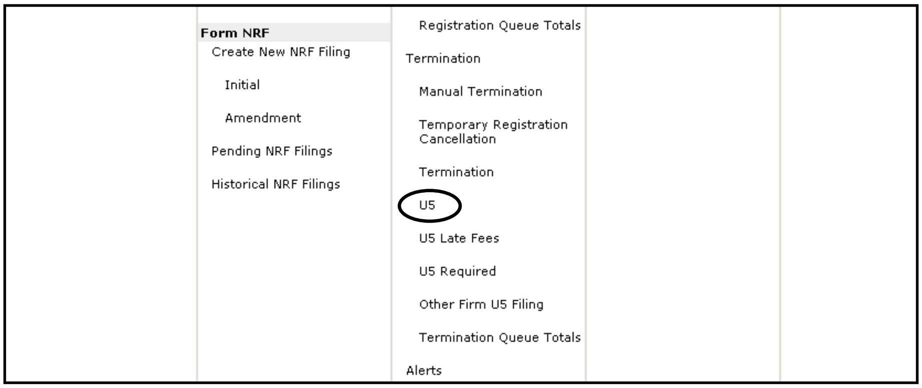
NOTE: An individual's name may be listed multiple times in the queue based on the number of jurisdictions in which he or she is terminated without a U5 filing. The CRD Regs and IARD Regs columns indicate whether an individual is an AG or an RA. The CRD Regs column will have an “N” for IA-Only Firms.

Steps for Viewing U5 Notice Queue:

Access U5 Notice Queue

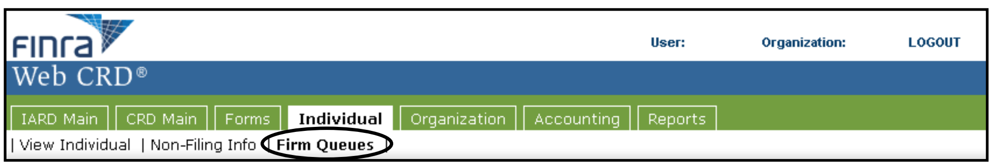
There are two ways to access individuals in the U5 Notice Queue:

1. From the CRD Site Map, click the **U5** hyperlink.



OR

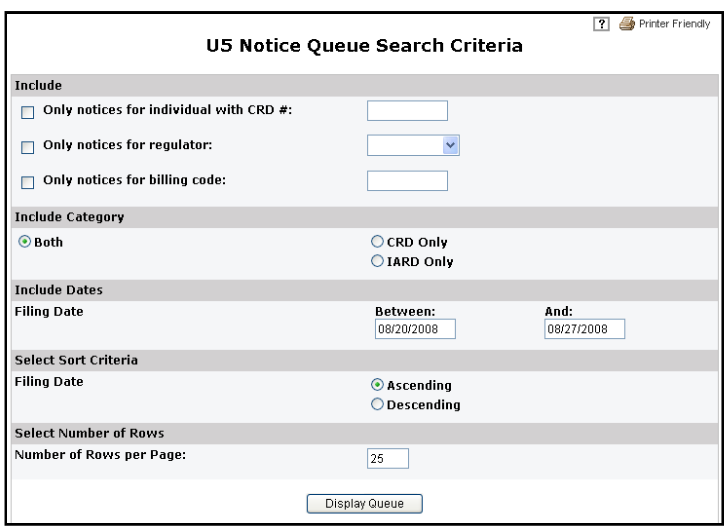
1a. Click the **Individual** Tab from the Tool Bar, choose **Firm Queues** from the Sub-menu, click **Termination** from the Navigation Bar and choose **U5**.



NOTE: To access CRD from IARD, see Steps for Accessing CRD from IARD, page 3-4.

U5 Notice Queue Search

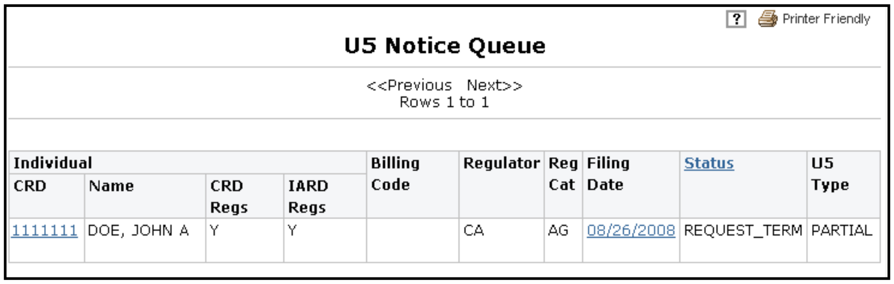
[Result:] The *U5 Notice Queue Search Criteria* screen opens.



U5 Notice Queue Search (Continued)	When the Queue screen criteria screen opens, select a combination or one of the following options: 2. If searching for a specific individual, place a check mark in the **Only notices for individual with CRD #** box and type the individual CRD Number in the field. **NOTE:** If a check mark is selected, CRD requires the completion of the corresponding field. 3. If searching for individuals in a specific jurisdiction click the **Only notices for regulator** box and choose the appropriate regulator. 4. If searching by Branch Office, place a check mark in the **Only notices for billing code** box and type the Billing Code in the field. **NOTE:** A Billing Code is a number assigned by a firm to its branch office(s). 5. Click the **IARD Only** radio button. **NOTE:** CRD defaults to Both. For IA-Only Firms, clicking the Both radio button will display the same results as clicking the IARD Only radio button. Broker-Dealer/Investment Adviser ("Joint") firms may choose any option. 6. Type a **Filing** Range in the **[Between:]** and **[And:]** fields. **NOTE:** CRD defaults to 7days. A maximum of thirty (30) days is allowed. 7. If searching for individuals by the earliest **Filing Date**, click the **Ascending** radio button. If searching for individuals by the most recent **Filing Date**, click the **Descending** radio button. **NOTE:** CRD defaults to Ascending. 8. If searching by a specific number of rows, type the **Number of Rows per Page** in the field. **NOTE:** CRD defaults to twenty-five (25) rows. A maximum of fifty (50) rows is allowed per page. 9. Click the **Display Queue** button.

View U5 Notice Queue

[Result:] The *U5 Notice Queue* screen opens.


Printer Friendly

U5 Notice Queue

<<Previous Next>>
Rows 1 to 1

Individual				Billing Code	Regulator	Reg Cat	Filing Date	Status	U5 Type
CRD	Name	CRD Regs	IARD Regs						
1111111	DOE, JOHN A	Y	Y		CA	AG	08/26/2008	REQUEST_TERM	PARTIAL

To view additional information on an individual's record, select one of the following options:

10. To view an individual's Composite Information, click the appropriate **CRD** hyperlink.

11. To view an individual's Form Filing History in View Individual, click the **Filing Date** hyperlink.

12. To view individual registration status definitions, click the **Status** hyperlink.

NOTE: An individual's name may be listed multiple times in the queue based on the number of jurisdictions in which he or she has been terminated. The CRD Regs and IARD Regs columns indicate whether an individual is an AG or an RA. The CRD Regs column will have an “N” for IA-Only Firms.

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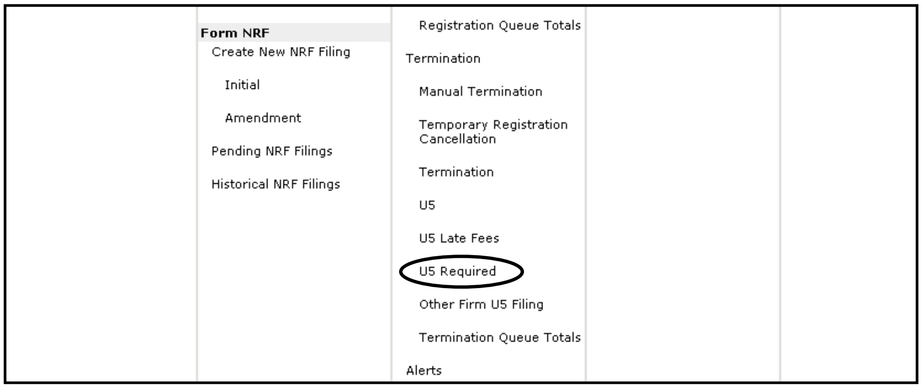
Steps for Viewing U5 Required Notice Queue:

Access U5 Required Notice Queue

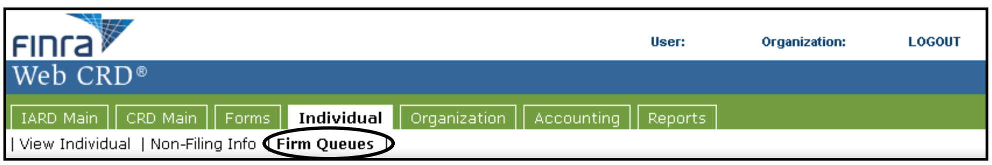
There are two ways to access individuals in the U5 Required Notice Queue:

1. From the CRD Site Map, click the **U5 Required** hyperlink.



OR

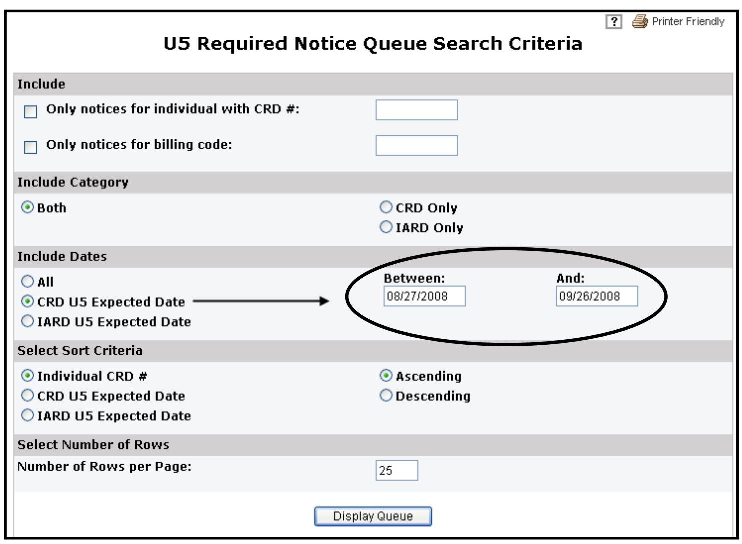
1a. Click the **Individual** Tab from the Tool Bar, choose **Firm Queues** from the Sub-menu, click **Termination** from the Navigation Bar and choose **U5 Required**.



NOTE: To access CRD from IARD, see Steps for Accessing CRD from IARD page 3-3.

U5 Required Notice Queue Search

[Result:] The *U5 Required Notice Queue Search Criteria* screen opens.



NOTE: The date range field only displays if a "CRD U5 Expected Date" option is selected is selected. The date range option will not display if "ALL" is selected in the "Include Dates" section.

U5 Required Notice Queue Search (Continued)	When the Queue screen criteria screen opens, select a combination or one of the following options: 2. If searching for a specific individual, place a check mark in the **Only notices for individual with CRD #** box and type the individual CRD Number in the field. **NOTE:** If a check mark is selected, CRD requires the completion of the corresponding field. 3. If searching by Branch Office, place a check mark in the **Only notices for billing code** box and type the Billing Code in the field. **NOTE:** A Billing Code is a number assigned by a firm to its branch office(s). 4. Click the **IARD Only** radio button. **NOTE:** CRD defaults to Both. For IA-Only Firms, clicking the Both radio button will display the same results as clicking the IARD Only radio button. Broker-Dealer/Investment Adviser ("Joint") firms may choose any option. 5. If searching for individuals by the earliest **IARD U5 Expected Date**, click the **Ascending** radio button and type a future date range in the **[Between]** and **[And]** field **<u>OR</u>** 5a. If searching for individuals by the most recent **IARD U5 Expected Date**, click the **Descending** radio button and type a future date range in the **[Between]** and **[And]** field **NOTE: The date range field only displays if the "CRD U5 Expected Date" option is selected. The date range option will not display if "ALL" is selected in the "Include Dates" section.** CRD defaults to a future 30 days (30). A maximum of thirty (30) days is allowed. 6. If searching for individuals by the lowest **Individual CRD #,** click the **Ascending** radio button. If searching for individuals by the highest **Individual CRD #**, click the **Descending** radio button **NOTE:** CRD defaults to Individual CRD# in Ascending order. 7. If searching by a specific number of rows, type the **Number of Rows per Page** in the field. **NOTE:** CRD defaults to twenty-five (25) rows. A maximum of fifty (50) rows is allowed per page. 8. Click the **Display Queue** button.

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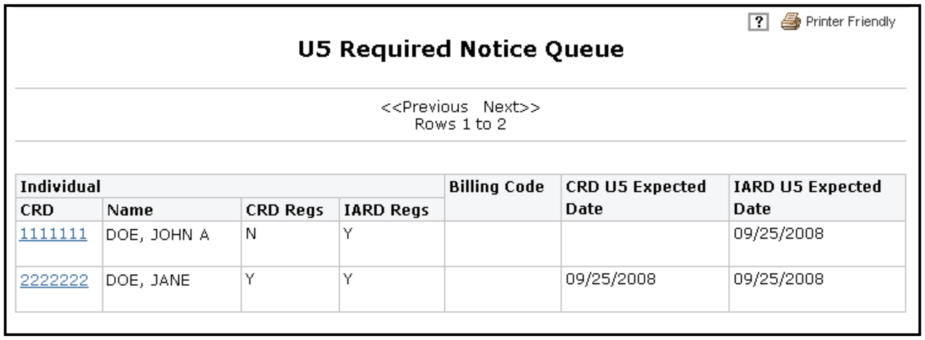
View U5 Required Notice Queue

[Result:] The *U5 Required Notice Queue* screen opens.


Printer Friendly

U5 Required Notice Queue

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Rows 1 to 2

Individual				Billing Code	CRD U5 Expected Date	IARD U5 Expected Date
CRD	Name	CRD Regs	IARD Regs			
1111111	DOE, JOHN A	N	Y			09/25/2008
2222222	DOE, JANE	Y	Y		09/25/2008	09/25/2008

8. To view an individual's Composite Information, click the appropriate **CRD** hyperlink.

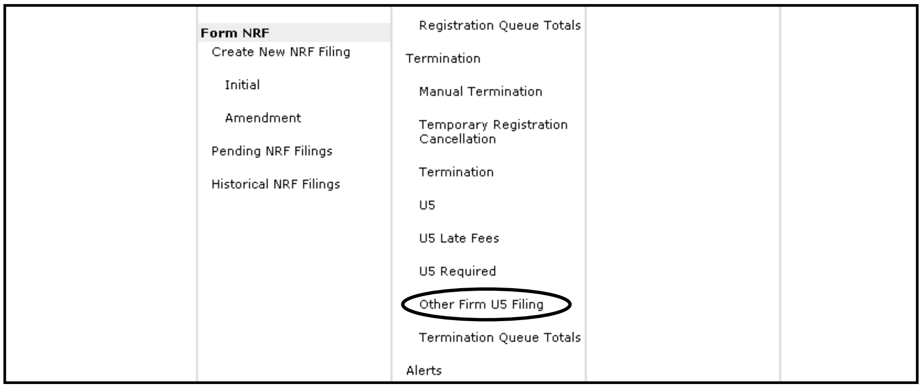
NOTE: The CRD Regs and IARD Regs columns indicate whether an individual is an AG or an RA. The CRD Regs column will have an “N” for IA-Only Firms.

Steps for Viewing Other Firm U5 Filing Notice Queue:

Access Other Firm U5 Filing Notice Queue

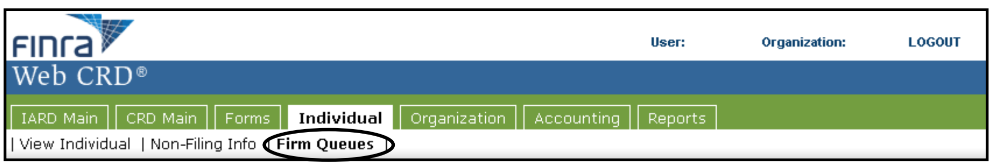
There are two ways to access individuals in the Other Firm U5 Filing Notice Queue:

1. From the CRD Site Map, click the **Other Firm U5 Filing** hyperlink.



OR

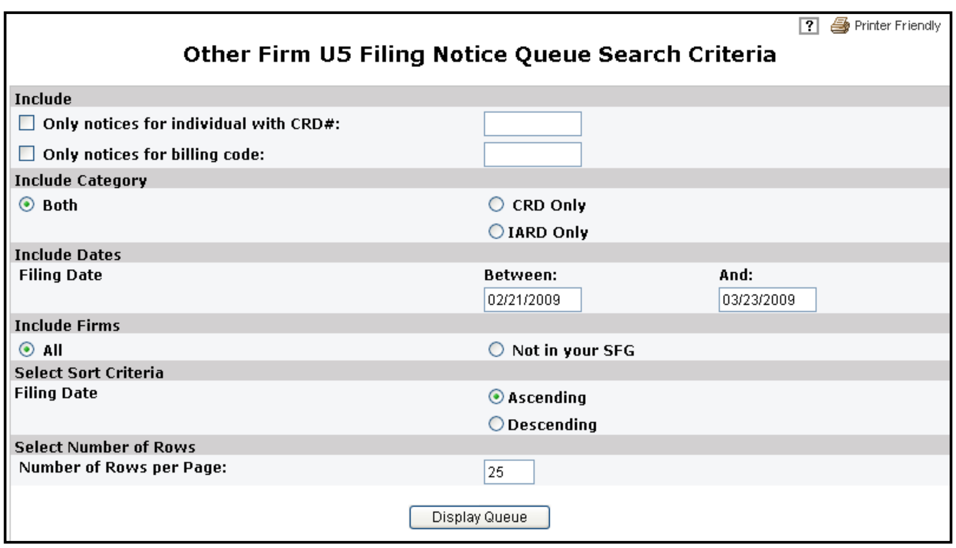
1a. Click the **Individual** Tab from the Tool Bar, choose **Firm Queues** from the Sub-menu, click **Termination** from the Navigation Bar and choose **Other Firm U5 Filing**.



NOTE: To access CRD from IARD, see Steps for Accessing CRD from IARD page 3-3.

Other Firm U5 Filing Notice Queue Search

[Result:] The *Other Firm U5 Filing Notice Queue Search Criteria* screen opens.



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Other Firm U5 Filing Notice Queue Search (Continued)	When the Queue screen criteria screen opens, select a combination or one of the following options: 2. If searching for a specific individual, place a check mark in the **Only notices for individual with CRD #** box and type the individual CRD Number in the field. **NOTE:** If a check box is selected, CRD requires the completion of the corresponding field. 3. If searching by Branch Office, place a check mark in the **Only notices for billing code** box and type the Billing Code in the field. **NOTE:** A Billing Code is a number assigned by a firm to its branch office(s). 4. Click the **IARD Only** radio button. **NOTE:** CRD defaults to Both. For IA-Only Firms, clicking the Both radio button will display the same results as clicking the IARD Only radio button. Broker-Dealer/Investment Adviser ("Joint") firms may choose any option. 5. If searching for individuals by the U5 **Filing Date**, type a date range in the **[Between]** and **[And]** field. **NOTE:** CRD defaults to the last thirty (30) days. A maximum of thirty (30) days is allowed. 6. Click the **All r**adio button if searching for filings submitted by all firms. Click the **Not in your SFG** radio button to only include firms that are not a part of your firm's Simultaneous Filing Group. 7. Click the **Ascending** radio button to sort the results starting with the earliest filings to most recent filings. Click the **Descending** radio button to sort the results starting with the most recent filings to the earliest filings. **NOTE:** CRD defaults to Individual CRD# in Ascending order. 8. If searching by a specific number of rows, type the **Number of Rows per Page** in the field. **NOTE:** CRD defaults to twenty-five (25) rows. A maximum of fifty (50) rows is allowed per page. 9. Click the **Display Queue** button.

View U5 Required Notice Queue

[Result:] The *Other Firm U5 Filing Notice Queue* screen opens.

Other Firm U5 Filing Notice Queue

[?] Printer Friendly

<< Previous Next >>
Rows 1 to 1

Individual CRD	Individual Name	CRD Regs	IARD Regs	Billing Code	Filing	Other Firm Name	Amended		
							Date/Reason for Termination	Disclosure	Residential Address
1111111	DOE, JOHN A	Y	Y		U5 - FULL 03/23/2009	Other Securities Firm (1111)	Y	Y	N

<< Previous Next >>
Rows 1 to 1

10. To view an individual's Composite Information, click the appropriate **CRD** hyperlink.

NOTE: The CRD Regs and IARD Regs columns indicate whether an individual is an AG or an RA. The CRD Regs column will have an "N" for IA-Only Firms

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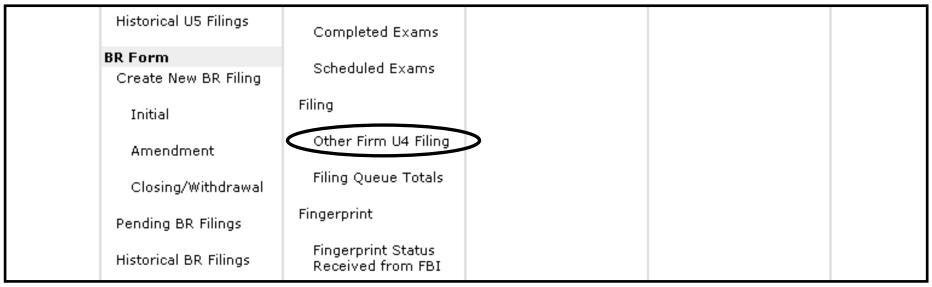
Steps for Viewing Other Firm U4 Filing Notice Queue:

Access Other Firm U4 Filing Notice Queue

There are two ways to access individuals in the Other Firm U4 Filing Notice Queue:

1. From the CRD Site Map, click the **Other Firm U4 Filing** hyperlink.



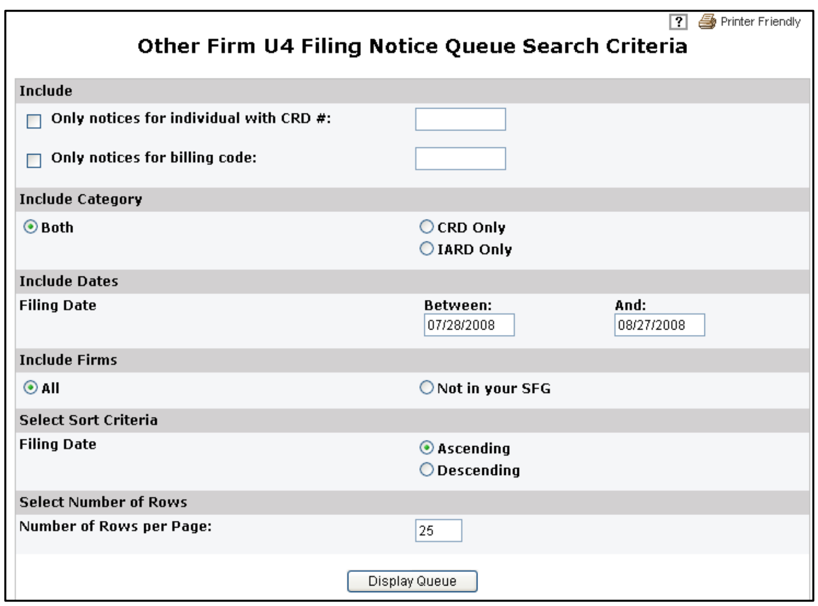
OR

7. Click the **Individual** Tab from the Tool Bar, choose **Firm Queues** from the Sub-menu and click **Filing** from the Navigation Bar.

NOTE: To access CRD from IARD, see Steps for Accessing CRD from IARD, page 3-4.

Other Firm U4 Filing Notice Queue Search

[Result:] CRD Defaults to the *Other Firm U4 Filing Notice Queue Search Criteria* screen.



Other Firm U4 Filing Notice Queue Search (Continued)	When the Queue screen criteria screen opens, select a combination or one of the following options: 2. If searching for a specific individual, place a check mark in the **Only notices for individual with CRD #** box and type the individual CRD Number in the field. **NOTE:** If a check mark is selected, CRD requires the completion of the corresponding field. 3. If searching by Branch Office, place a check mark in the **Only notices for billing code** box and type the Billing Code in the field. **NOTE:** A Billing Code is a number assigned by a firm to its branch office(s). 4. Click the **IARD Only** radio button. **NOTE:** CRD defaults to Both. For IA-Only Firms, clicking the Both radio button will display the same results as clicking the IARD Only radio button. Broker-Dealer/Investment Adviser Firms (Joint Firms) may choose any option. 5. Type a **Filing Date** Range in the **[Between:]** and **[And:]** fields. **NOTE:** CRD defaults to the current day. A maximum of thirty (30) days is allowed. The search criteria specific to SFGs and individuals registered with other firms is not applicable to Registered Advisers. 6. If searching for individuals by the earliest **Filing Date**, click the **Ascending** radio button. If searching for individuals by the most recent **Filing Date**, click the **Descending** radio button. **NOTE:** CRD defaults to Ascending. 7. If searching by a specific number of rows, type the **Number of Rows per Page** in the field. **NOTE:** CRD defaults to twenty-five (25) rows. A maximum of fifty (50) rows is allowed per page. 8. Click the **Display Queue** button.

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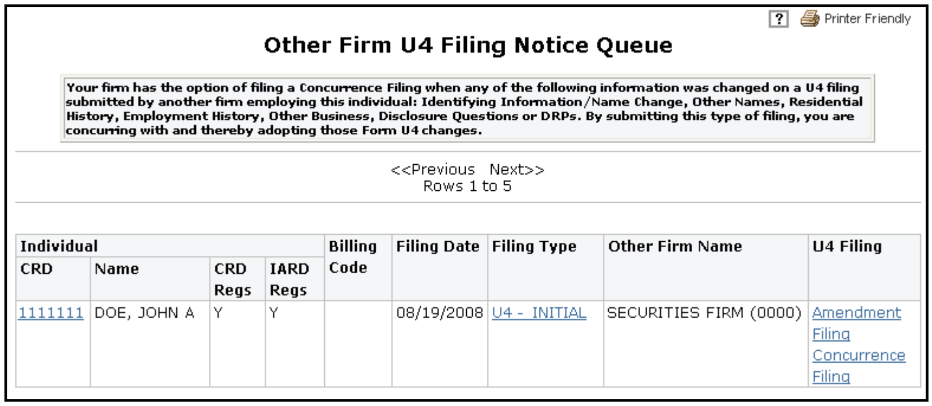
Other Firm U4 Filing Notice Queue

[Result:] The *Other Firm U4 Filing Notice Queue* screen opens.



Printer Friendly

Other Firm U4 Filing Notice Queue

Your firm has the option of filing a Concurrence Filing when any of the following information was changed on a U4 filing submitted by another firm employing this individual: Identifying Information/Name Change, Other Names, Residential History, Employment History, Other Business, Disclosure Questions or DRPs. By submitting this type of filing, you are concurring with and thereby adopting those Form U4 changes.

<<Previous Next>>
Rows 1 to 5

Individual				Billing Code	Filing Date	Filing Type	Other Firm Name	U4 Filing
CRD	Name	CRD Regs	IARD Regs					
1111111	DOE, JOHN A	Y	Y		08/19/2008	U4 - INITIAL	SECURITIES FIRM (0000)	Amendment Filing Concurrence Filing

To view additional information on an individual's record, select one of the following options:

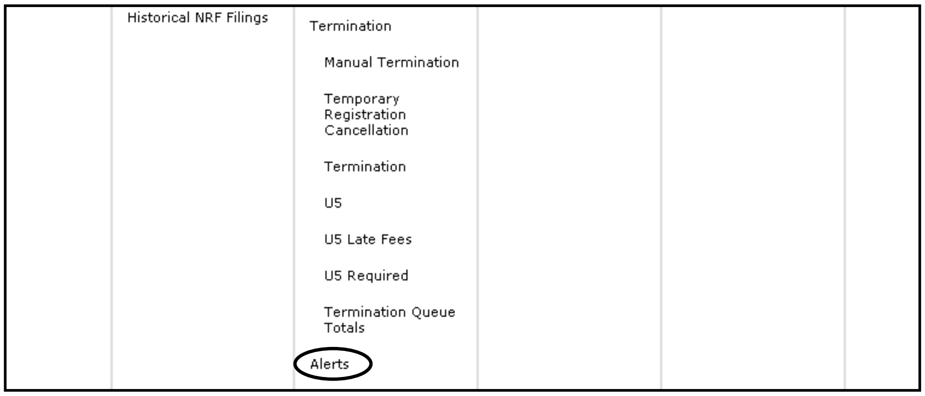
10. To view an individual's Composite Information, click the appropriate **CRD** hyperlink.
11. To view an Individual's U4 filing submitted by the other firm, click the **Filing Type** hyperlink.
12. To link directly to an Amendment Filing, click the **Amendment Form Filing** hyperlink.
13. To link directly to the Concurrence Filing, click the **Concurrence Filing** hyperlink

Steps for Viewing Individual Alerts:

Access Alerts

There are two ways to access the individual Alerts**:**

1. From the CRD Site Map, click the **Alerts** hyperlink.



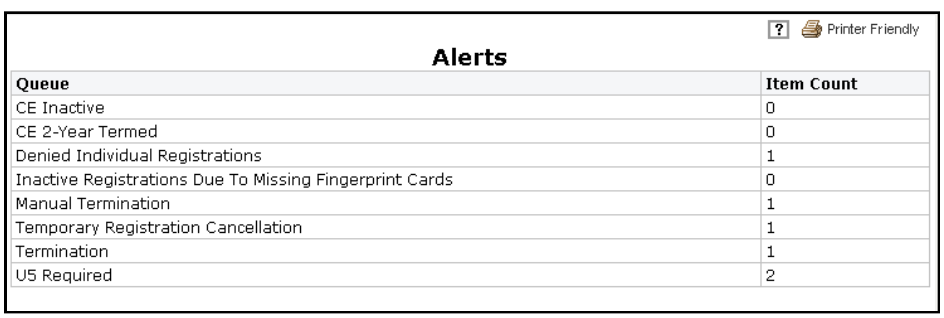
OR

8. Click the **Individual** Tab from the Tool Bar, choose **Firm Queues** from the Sub-menu and click **Alerts** from the Navigation Bar.

NOTE: To access CRD from IARD, see Steps for Accessing CRD from IARD, page 3-4.

View Alerts

[Result:] CRD defaults to the *Alerts* screen.



Alerts

Queue	Item Count
CE Inactive	0
CE 2-Year Termed	0
Denied Individual Registrations	1
Inactive Registrations Due To Missing Fingerprint Cards	0
Manual Termination	1
Temporary Registration Cancellation	1
Termination	1
U5 Required	2

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Tips for Navigating through Queues:

- Check the queues on a regular basis because the information in CRD is constantly updated.
- Use sort and filter parameters to enhance your search (e.g., Individual CRD #, Billing Code, etc.)
- Frequently check the Alerts Queue to ensure that you are aware of any critical registration-related notifications.
- Use Queue Totals to determine if there are any existing notifications available and to determine the number of items that are in a particular queue.
- Maximum number of rows that can display on a screen is fifty (50).
- To display the queue, click the Display Queue button or use Enter on your keyboard.

Date Range:

- Most Queues have date ranges that default to one (1) week. Change the default range as needed up to a date range of thirty (30) day increments.
- Changing the date range on the search criteria will allow the user to see notices outside of the defaulted date range.
- Maximum increment is thirty (30) days.
- Any queue that has a date range is a "historical" queue. Information is never deleted and remains in the queue for historical purposes.
- Be sure not to use overlapping dates.

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