Chapter Twelve: Reports

About this Section

This section contains information on requesting and viewing reports.

Completion Objectives

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

- Explain report formats.
- Request reports.
- View reports.

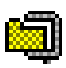
In this Section

This section contains the following topics:

About Reports

IARD and Web CRD enable IA Firms to request and view reports. Reports are sent to IA Firms electronically for viewing. A complete list of Report Definitions and Report Names is available on the *View Reports* screen on the IARD and CRD systems. IA-only firms can request all reports listed on IARD and some reports from CRD.

<u>Report Formats</u>

Symbol	Format	Description
	**PDF Format**	Portable Document Format (PDF) file, keeps its original appearance preserved, and can be distributed for viewing and printing.
	**Download**	The layout is in a data download format and can be manipulated by the firm and imported to a database such as Microsoft Excel or Access.
	**HTML**	The HTML symbol will display when no data was generated based on the report parameters entered. Click the HTML symbol to view the parameters entered for the report requested, which resulted in a Completed - No Data report status.

<u>Ad Hoc Reports</u>

An **Ad Hoc** report is a report that is not listed on the *View Reports* screen or a report that is in another format other than the standard arrangement of report items.

To request an Ad Hoc report, send an email request to **IAReports@finra.org** or contact the IARD Hotline at **240-386-4848**. Describe the information that you want included in the report as well as the format to receive the report (e.g., email, CD or floppy disk).

Generally, there is a fee assessed to firms that request Ad Hoc reports. The charge for Ad Hoc reports depends on the complexity and time it takes to generate the report. (Refer to Ad Hoc Fee Schedule)

Ad Hoc Fee Schedule

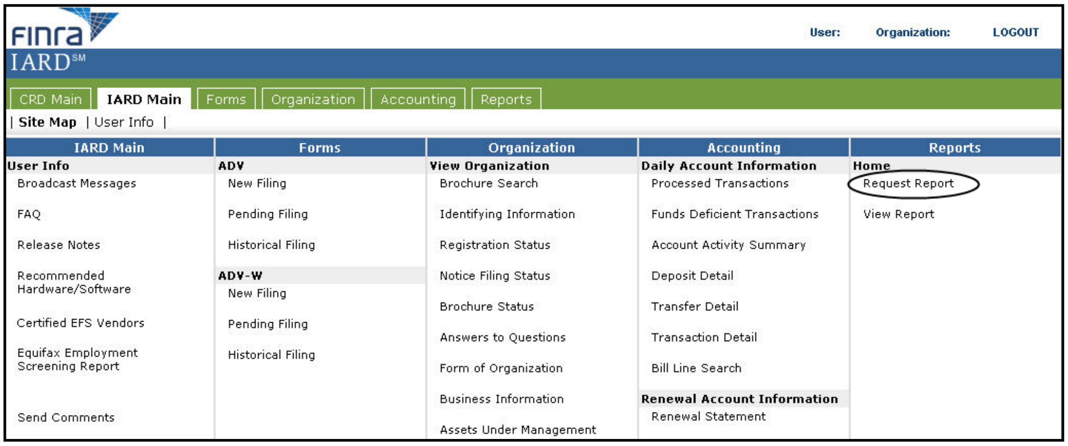
Type of Ad Hoc Report	Description	Fee
Existing	Ad Hoc Report already exists and will be rerun using new BD Number.	$240
Basic	New Ad Hoc Report must be written and will take up to 3 hours to complete.	$360
Intermediate	New Ad Hoc Report must be written and will take up to 4 hours to complete.	$480
Advanced	New Ad Hoc Report must be written and will take up to 5 hours to complete.	$600
Complex	New Ad Hoc Report must be written and will take more than 5 hours to complete.	$120/hour

Steps for Requesting a Report:

Access Request Report

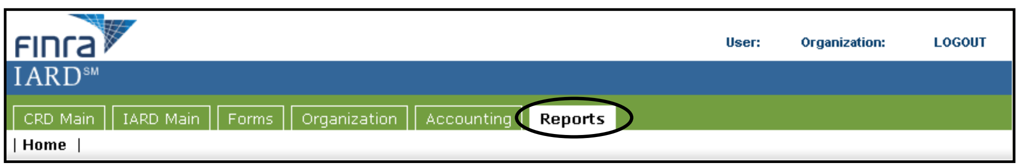
There are two ways to access Request Report:

1. From the IARD or CRD Site Map, click the **Request Report** hyperlink.

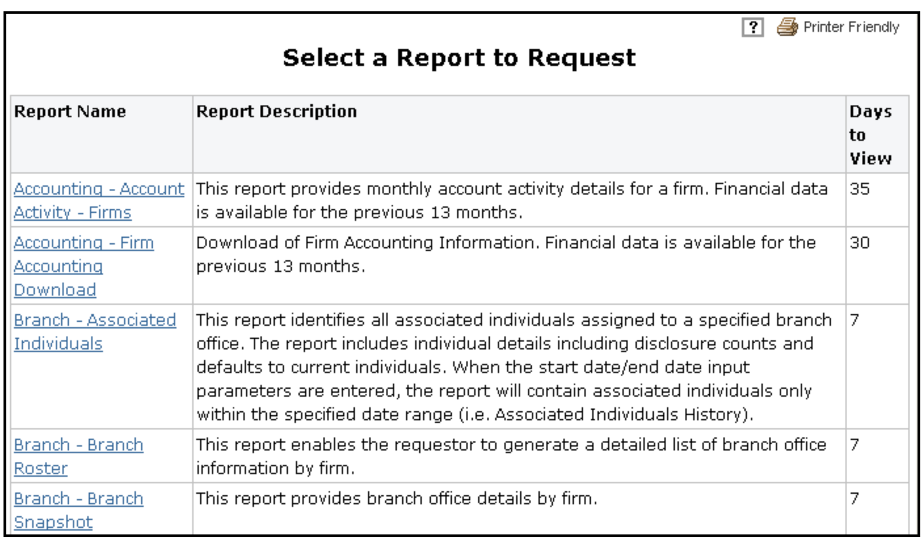


OR

1a. Click the **Reports** Tab from the Tool Bar and click **Request Report** from the Navigation Bar.



[Result:] The *Select a Report to Request* screen opens.



Printer Friendly

Select a Report to Request

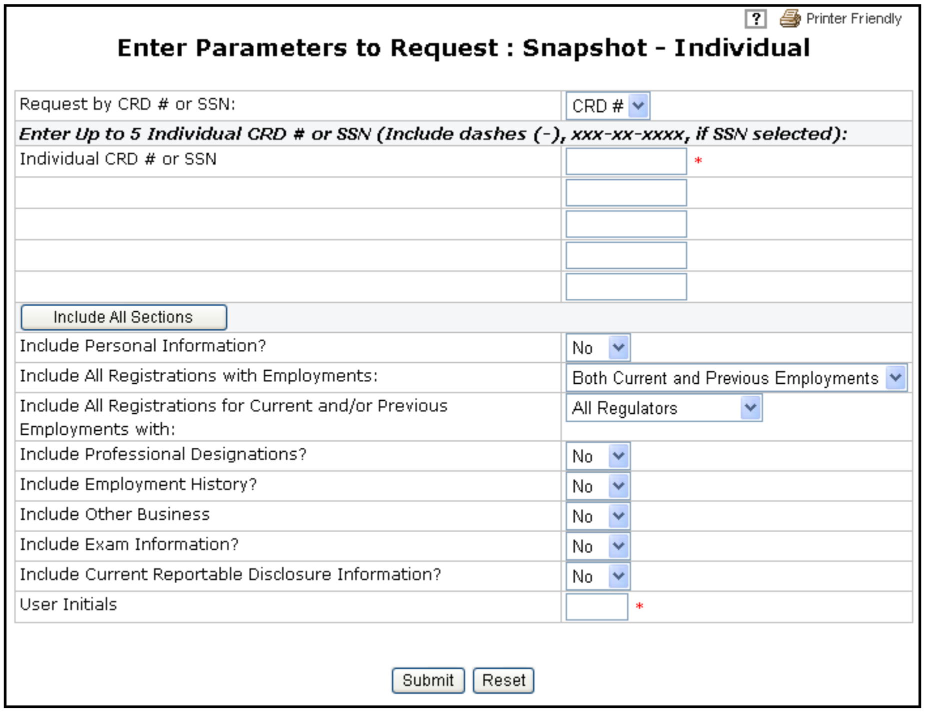
Report Name	Report Description	Days to View
Accounting - Account Activity - Firms	This report provides monthly account activity details for a firm. Financial data is available for the previous 13 months.	35
Accounting - Firm Accounting Download	Download of Firm Accounting Information. Financial data is available for the previous 13 months.	30
Branch - Associated Individuals	This report identifies all associated individuals assigned to a specified branch office. The report includes individual details including disclosure counts and defaults to current individuals. When the start date/end date input parameters are entered, the report will contain associated individuals only within the specified date range (i.e. Associated Individuals History).	7
Branch - Branch Roster	This report enables the requestor to generate a detailed list of branch office information by firm.	7
Branch - Branch Snapshot	This report provides branch office details by firm.	7

Request Snapshot Individual

1. From the Web CRD Request Report screen, click **Snapshot - Individual** from the list of reports.

NOTE: The parameters vary based on the report selected (i.e. Account Activity **-** Firms, Snapshot - Individual, or Snapshot- IA Firm report); however, the format remains the same. Below is an example of requesting a **Snapshot – Individual:**

[Result:] The *Enter Parameters to Request: Individual Snapshot* screen opens.



2. Click the drop-down arrow and choose **CRD #** or **SSN#.**

3. Type the **Individual CRD # or SSN #** in the fields. The individual's CRD # or SSN # is a required field. You may enter up to five values.

4. Click the **Include All Sections** button if you want all parameters to be included in the report. The drop-down fields enable you to filter the report to only include specific information.

5. Click the **Include Personal Information** drop-down arrow and choose the appropriate category.
6. Click the **Include All Registrations with** Employments drop-down arrow and choose the appropriate category.

7. Click the **Include All Registrations for Current and/or Previous Employments with** down arrow and choose the appropriate category.

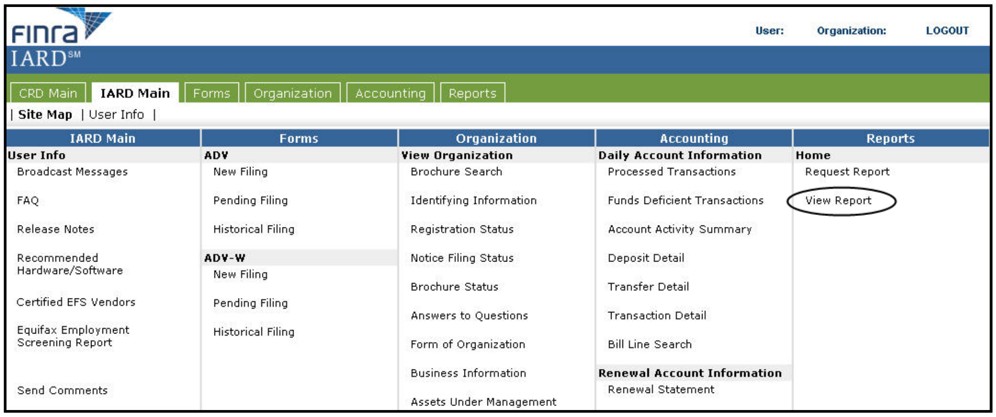
Request Snapshot Individual	8. Click the **Include Professional Designations** drop-down arrow and choose the appropriate category. 9. Click the **Include Employment History** drop-down arrow and choose the appropriate category. 10. Click the **Include Other Business** drop-down arrow and choose the appropriate category. 11. Click the **Include Exam Information** drop-down arrow and choose the appropriate category. 12. Click the **Include Current Reportable Disclosure Information** drop-down arrow and choose the appropriate category. **NOTE:** Parameters for **Include Continuing Education** and **Include Filing History** are not available to IA-only firms. 13. Enter the **User Initials**. **NOTE:** Parameters for **Include Regulator Archive and Z Record Information** and **Is this a Pre-Registration Report Request** are not available to IA-only firms. 14. Click the **Submit** button. 15. Click the **OK** button. **NOTE:** Make note of the ID # to assist with identifying the report.

Steps for Viewing a Report:

View Reports

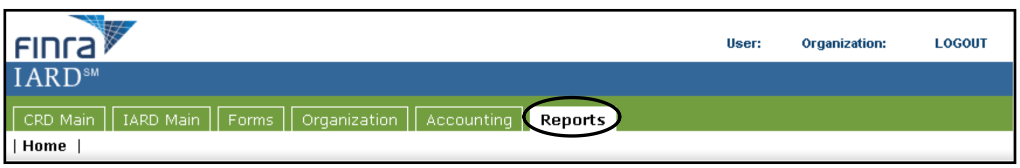
There are two ways to access View Reports:

1. From the IARD or CRD Site Map, click the **View Report** hyperlink.

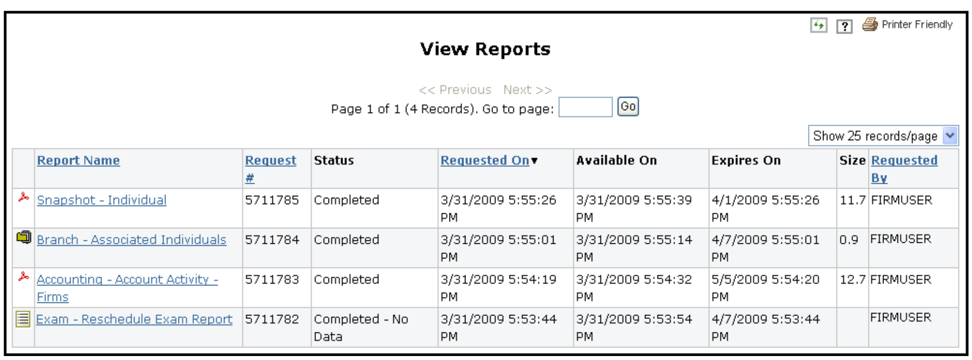


OR

1a. Click the **Reports** Tab from the Tool Bar and choose **View Report** from the Navigation Bar.



[Result:] The *View Reports* screen opens.


Printer Friendly

View Reports

<< Previous Next >>
Page 1 of 1 (4 Records). Go to page: Go

Show 25 records/page

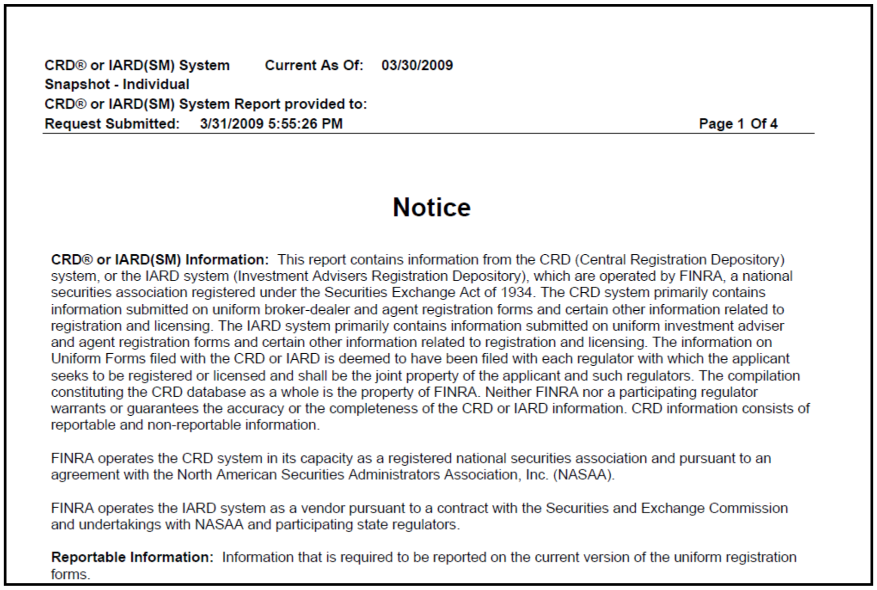
Report Name	Request #	Status	Requested On	Available On	Expires On	Size	Requested By
Snapshot - Individual	5711785	Completed	3/31/2009 5:55:26 PM	3/31/2009 5:55:39 PM	4/1/2009 5:55:26 PM	11.7	FIRMUSER
Branch - Associated Individuals	5711784	Completed	3/31/2009 5:55:01 PM	3/31/2009 5:55:14 PM	4/7/2009 5:55:01 PM	0.9	FIRMUSER
Accounting - Account Activity - Firms	5711783	Completed	3/31/2009 5:54:19 PM	3/31/2009 5:54:32 PM	5/5/2009 5:54:20 PM	12.7	FIRMUSER
Exam - Reschedule Exam Report	5711782	Completed - No Data	3/31/2009 5:53:44 PM	3/31/2009 5:53:54 PM	4/7/2009 5:53:44 PM		FIRMUSER

NOTE: Reports can be sorted by Report Name, Request #, Requested On, and Requested By columns. Click the column header hyperlink to sort reports.
In addition, the status column will display *Completed* once the report is run and is available. *Completed - No Data* will display when there is no data available for the report parameters requested.

2. To view a report, click the **Report Name** hyperlink or the reports symbol.

View Reports
(Continued)

[Result:] The *Report* screen opens in a second browser.


CRD® or IARD(SM) System Current As Of: 03/30/2009
Snapshot - Individual
CRD® or IARD(SM) System Report provided to:
Request Submitted: 3/31/2009 5:55:26 PM Page 1 Of 4

Notice

CRD® or IARD(SM) Information: This report contains information from the CRD (Central Registration Depository) system, or the IARD system (Investment Advisers Registration Depository), which are operated by FINRA, a national securities association registered under the Securities Exchange Act of 1934. The CRD system primarily contains information submitted on uniform broker-dealer and agent registration forms and certain other information related to registration and licensing. The IARD system primarily contains information submitted on uniform investment adviser and agent registration forms and certain other information related to registration and licensing. The information on Uniform Forms filed with the CRD or IARD is deemed to have been filed with each regulator with which the applicant seeks to be registered or licensed and shall be the joint property of the applicant and such regulators. The compilation constituting the CRD database as a whole is the property of FINRA. Neither FINRA nor a participating regulator warrants or guarantees the accuracy or the completeness of the CRD or IARD information. CRD information consists of reportable and non-reportable information.

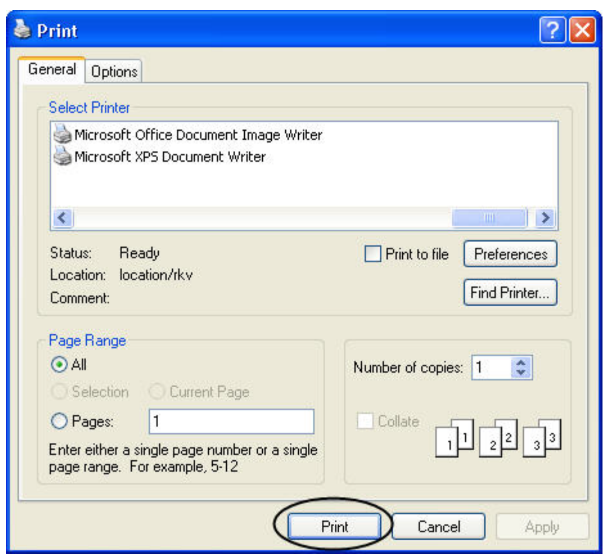
FINRA operates the CRD system in its capacity as a registered national securities association and pursuant to an agreement with the North American Securities Administrators Association, Inc. (NASAA).

FINRA operates the IARD system as a vendor pursuant to a contract with the Securities and Exchange Commission and undertakings with NASAA and participating state regulators.

Reportable Information: Information that is required to be reported on the current version of the uniform registration forms.

Print Reports

4. Click the **File** Menu from your browser and choose **Print**.



NOTE: The first two pages of the report are the disclaimer and details for the request. Additional information on downloading reports is located at FINRA's web site at www.finra.org in the following path:

Regulatory Systems > CRD > User Support >Web CRD Tips > How To Download A Report from Web CRD