

Chapter Seven: Firm Queues for Organizations

About this Section

This section contains information pertaining to the management of firm queues for organizations.

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:

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About Firm Queues for Organizations

Firm Queues for Organizations enable entitled users to view notices from regulators on their firms. Items will remain in these queues for one hundred twenty (120) calendar days. After 120 days, the items are automatically deleted from IARD.

Notice Queue Types

There are four (4) types of Notice Queues for firms to receive notifications:

1. **Withdrawal or Termination Queue**- Displays notices that a regulator has acted on a request for withdrawal or termination, or that a regulator has terminated a registration independent of a Form ADV-W filing. Once the firm's registration status has changed to Terminated or any other status indicating that an adviser is not eligible to conduct business, IARD automatically places a notice in this queue.


SEC Registrants: Upon submission of a Form ADV-W filing, the firm's registration status has changed to Terminated by IARD. The notice will appear in this queue automatically. ADV Amendments filed to stop a Notice Filing do not appear in this queue.

State Registrants: Upon submission of a Form ADV-W filing, the firm's registration status has changed to Termination Requested by IARD. The notice will **not** appear in this queue until the state changes the status to Terminated or any other status indicating that an adviser is not eligible to conduct business.

2. **Regulatory Disclosure Queue** - Displays notices that a regulator has filed a Form U6 Disclosure Reporting Page(s) (DRPs) regarding your firm. Regulators file Form U6 filings after taking formal action against a firm.
3. **Branch Status** – Lists the statuses of the branch office filings for your firm.
4. **Branch Deficiencies** – Lists the deficiency for each branch office.

Note: The NYSE Filing Status Queues is not applicable to IA-Only firms.

Steps for Viewing Withdrawal or Termination Notice Queue:

<p>Access Withdrawal or Termination Notice Queue</p>	<p>There are two ways to access the Withdrawal or Termination Notice Queue:</p> <ol style="list-style-type: none"> From the IARD Site Map, click the Withdrawal or Termination hyperlink. <div style="text-align: center; border: 1px solid black; padding: 5px; margin: 10px 0;"> <p>Firm Notice Queues</p> <ul style="list-style-type: none"> <li style="border: 1px solid black; border-radius: 50%; padding: 2px 10px; display: inline-block; margin-bottom: 5px;">Withdrawal or Termination <li style="padding: 2px 10px; display: inline-block; margin-bottom: 5px;">Regulatory Disclosure <li style="padding: 2px 10px; display: inline-block; margin-bottom: 5px;">Branch Status <li style="padding: 2px 10px; display: inline-block; margin-bottom: 5px;">Branch Deficiencies <li style="padding: 2px 10px; display: inline-block;">Queue Totals </div> <p>OR</p> <ol style="list-style-type: none"> Click the Organization Tab from the Tool Bar and choose Firm Queues from the Sub-menu. <div style="text-align: center; border: 1px solid black; padding: 5px; margin: 10px 0;">  </div> <p>NOTE: To access IARD from CRD, see Steps for Accessing IARD from CRD, page 3-4.</p>																
<p>View Withdrawal or Termination Notice Queue</p>	<p>[Result:] IARD defaults to the <i>Withdrawal or Termination Notice Queue</i> screen.</p> <div style="border: 1px solid black; padding: 10px; margin: 10px 0;"> <div style="display: flex; justify-content: space-between; align-items: center;"> <div style="border: 1px solid black; padding: 5px; background-color: #f0f0f0;"> <p>Firm Notices</p> <ul style="list-style-type: none"> ▪ Withdrawal or Termination ▪ Regulatory Disclosure ▪ Branch Status ▪ Branch Deficiencies ▪ Queue Totals </div> <div style="flex-grow: 1;"> <p style="text-align: right; font-size: small;">? Printer Friendly</p> <p style="text-align: center;">Withdrawal or Termination Notice Queue</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">Effective Date</th> <th style="text-align: left;">Regulator</th> <th style="text-align: left;">Reason</th> <th style="text-align: left;">Registration Status</th> </tr> </thead> <tbody> <tr> <td>08/15/2008</td> <td>NJ</td> <td></td> <td>Terminated</td> </tr> <tr> <td>08/01/2008</td> <td>MD</td> <td></td> <td>Terminated</td> </tr> <tr> <td>06/22/2008</td> <td>FL</td> <td></td> <td>Terminated</td> </tr> </tbody> </table> </div> </div> </div> <p>NOTE: The Reason is entered at the regulator's discretion.</p>	Effective Date	Regulator	Reason	Registration Status	08/15/2008	NJ		Terminated	08/01/2008	MD		Terminated	06/22/2008	FL		Terminated
Effective Date	Regulator	Reason	Registration Status														
08/15/2008	NJ		Terminated														
08/01/2008	MD		Terminated														
06/22/2008	FL		Terminated														

Steps for Viewing Regulatory Disclosure Notices Queue:

<p>Access Regulatory Disclosure Notices Queue</p>	<p>There are two ways to access the Regulatory Disclosure Notices Queue:</p> <ol style="list-style-type: none"> From the IARD Site Map, click the Regulatory Disclosure hyperlink. <div data-bbox="787 415 1096 781" style="border: 1px solid black; padding: 5px; margin: 10px auto; width: fit-content;"> <p>Firm Notice Queues</p> <ul style="list-style-type: none"> Withdrawal or Termination <li style="border: 1px solid black; border-radius: 50%; padding: 2px;">Regulatory Disclosure Branch Status Branch Deficiencies Queue Totals </div> <p>OR</p> <ol style="list-style-type: none"> Click the Organization Tab from the Tool Bar, choose Firm Queues from the Sub-menu and click Regulatory Disclosure from the Navigation Bar. <div data-bbox="495 913 1453 1102" style="border: 1px solid black; padding: 5px; margin: 10px auto; width: fit-content;"> </div> <p>NOTE: To access IARD from CRD, see Steps for Accessing IARD from CRD, page 3-4.</p>												
<p>View Regulatory Disclosure Notices Queue</p>	<p>[Result:] The <i>Regulatory Disclosure Notices</i> screen opens.</p> <div data-bbox="441 1302 1445 1543" style="border: 1px solid black; padding: 5px; margin: 10px auto; width: fit-content;"> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 30%;">Firm Notices</th> <th colspan="3">Regulatory Disclosure Notices</th> </tr> </thead> <tbody> <tr> <td style="vertical-align: top;"> <ul style="list-style-type: none"> ▪ Withdrawal or Termination ▪ Regulatory Disclosure ▪ Branch Status ▪ Branch Deficiencies ▪ Queue Totals </td> <td style="text-align: center;">Date</td> <td style="text-align: center;">Regulator</td> <td style="text-align: center;">Disclosure Type</td> </tr> <tr> <td></td> <td style="text-align: center;">08/15/2008</td> <td style="text-align: center;">CA</td> <td style="text-align: center;">Regulatory Action</td> </tr> </tbody> </table> </div> <ol style="list-style-type: none"> To view a specific Disclosure Notice, click the Date hyperlink. 	Firm Notices	Regulatory Disclosure Notices			<ul style="list-style-type: none"> ▪ Withdrawal or Termination ▪ Regulatory Disclosure ▪ Branch Status ▪ Branch Deficiencies ▪ Queue Totals 	Date	Regulator	Disclosure Type		08/15/2008	CA	Regulatory Action
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	08/15/2008	CA	Regulatory Action										

Steps for Viewing Branch Status Queue:

<p>Access Branch Status Queue</p>	<p>There are two ways to access the Branch Status Queue:</p> <ol style="list-style-type: none"> From the IARD Site Map, click the Branch Status hyperlink. <div data-bbox="781 415 1084 783" style="border: 1px solid black; padding: 5px; margin: 10px auto; width: fit-content;"> <p>Firm Notice Queues</p> <ul style="list-style-type: none"> Withdrawal or Termination Regulatory Disclosure <li style="border: 1px solid black; border-radius: 50%; padding: 2px;">Branch Status Branch Deficiencies Queue Totals </div> <p>OR</p> <ol style="list-style-type: none"> Click the Organization Tab from the Tool Bar, choose Firm Queues from the Sub-menu and click Branch Status from the Navigation Bar. <div data-bbox="472 919 1430 1108" style="border: 1px solid black; padding: 5px; margin: 10px auto; width: fit-content;"> </div>						
<p>Branch Status Queue Search</p>	<p>[Result:] The <i>Branch Status Queue Search</i> screen opens</p> <div data-bbox="540 1224 1390 1875" style="border: 1px solid black; padding: 10px; margin: 10px auto; width: fit-content;"> <div style="text-align: right; font-size: small;"> ? Printer Friendly </div> <h4 style="text-align: center;">Branch Status Queue Search</h4> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">Organization CRD #: 0000</td> <td style="width: 50%;">Primary Business Name: SECURITIES FIRM</td> </tr> <tr> <td>Organization SEC #:</td> <td>Full Legal Name: SECURITIES FIRM</td> </tr> <tr> <td>No BD Record</td> <td>Electronic Filer</td> </tr> </table> <div style="border: 1px solid #ccc; padding: 5px; margin-top: 5px;"> <p>Include</p> <p><input type="checkbox"/> Only Notices for CRD Branch Number: <input type="text"/></p> <p><input type="checkbox"/> Only Notices for Firm Billing Code: <input type="text"/></p> <p><input type="checkbox"/> Only Branches Registered/Notice Filed With: <input type="text" value="v"/></p> <p><input type="checkbox"/> Only Branches with a Status of: <input type="text" value="v"/></p> </div> <div style="border: 1px solid #ccc; padding: 5px; margin-top: 5px;"> <p>Include Dates</p> <p>Status Effective Date: Between: <input type="text" value="08/01/2008"/> And: <input type="text" value="08/15/2008"/></p> </div> <div style="border: 1px solid #ccc; padding: 5px; margin-top: 5px;"> <p>Select Sort Criteria</p> <p>Status Effective Date: <input checked="" type="radio"/> Ascending <input type="radio"/> Descending</p> </div> <div style="border: 1px solid #ccc; padding: 5px; margin-top: 5px;"> <p>Select Number of Rows</p> <p>Number of Rows per Page: <input type="text" value="25"/></p> </div> <p style="text-align: center; margin-top: 10px;"><input type="button" value="Display Queue"/></p> </div>	Organization CRD #: 0000	Primary Business Name: SECURITIES FIRM	Organization SEC #:	Full Legal Name: SECURITIES FIRM	No BD Record	Electronic Filer
Organization CRD #: 0000	Primary Business Name: SECURITIES FIRM						
Organization SEC #:	Full Legal Name: SECURITIES FIRM						
No BD Record	Electronic Filer						

<p>Branch Status Queue Search (Continued)</p>	<p>When the Queue screen criteria screen opens, select a combination or one of the following options:</p> <ol style="list-style-type: none"> 2. If searching for a specific CRD branch number, place a check mark in the Only Notices for CRD Branch Number box and type the branch CRD Number in the field. <p>NOTE: If a check mark is selected, CRD requires the completion of the corresponding field.</p> <ol style="list-style-type: none"> 3. If searching for a specific NYSE Branch Code Number, place a check mark in the Only Notices for NYSE Branch Code Number box and type the NYSE Branch Code in the field. <p>NOTE: This option is only available to NYSE registered firms.</p> <ol style="list-style-type: none"> 4. If searching for a specific Firm Billing Code, place a check mark in the Only Notices for Firm Billing Code box and type the branch billing code number in the field. <p>NOTE: A Billing Code is a number assigned by a firm to its branch office(s) for accounting purposes.</p> <ol style="list-style-type: none"> 5. If searching for branches that have registered or notice filed in a specific participating jurisdiction, click the Branches Registered/Notice Filed with box and choose the jurisdiction from the drop down menu. 6. If searching for branches with a specific status click the Include Branch Status box and choose the appropriate status from the drop down menu. 7. Type a Status Effective Date range in the [Between:] and [And:] fields. 8. If searching for branches by the earliest Status Effective Date, click the Ascending radio button. <p><u>OR</u></p> <ol style="list-style-type: none"> 8a. If searching for branches by the most recent Status Effective Date, click the Descending radio button. <p>NOTE: CRD defaults to Ascending.</p> <ol style="list-style-type: none"> 9. If searching by a specific number of rows, type the Number of Rows per Page in the field. 10. Click the Display Queue button.
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View Branch Status Queue

[Result:] The *Branch Status Queue Results* screen opens.

Firm Notices

- Withdrawal or Termination
- Regulatory Disclosure
- **Branch Status**
- Branch Deficiencies
- Queue Totals

? Printer Friendly

Branch Status Queue Search Results

Organization CRD #: 0000	Primary Business Name: SECURITIES FIRM
Organization SEC #:	Full Legal Name: SECURITIES FIRM
No BD Record	Electronic Filer

<< Previous Next >>
Rows 1 to 1

CRD Branch #	Firm Billing Code	City	State	Regulator	Branch Status	Status Date
000001		DALLAS	TX	TX	Approved	08/15/2008

11. To view information about the branch office, click the **CRD Branch Number** hyperlink.

Steps for Viewing Branch Deficiency Notice Queue:

<p>Access Branch Deficiency Notice Queue</p>	<p>There are two ways to access the Branch Deficiencies Notice Queue:</p> <ol style="list-style-type: none"> From the IARD Site Map, click the Branch Deficiencies hyperlink. <div data-bbox="777 438 1084 808" style="border: 1px solid black; padding: 5px; margin: 10px auto; width: fit-content;"> <p>Firm Notice Queues</p> <ul style="list-style-type: none"> Withdrawal or Termination Regulatory Disclosure Branch Status <li style="border: 1px solid black; border-radius: 50%; padding: 2px;">Branch Deficiencies Queue Totals </div> <p>OR</p> <ol style="list-style-type: none"> Click the Organization Tab from the Tool Bar, choose Firm Queues from the Sub-menu and click Branch Deficiencies from the Navigation Bar. <div data-bbox="467 932 1427 1119" style="border: 1px solid black; padding: 5px; margin: 10px auto; width: fit-content;"> </div>
<p>Branch Deficiency Notice Queue Search</p>	<p>[Result:] The <i>Branch Deficiency Notice Queue Search</i> screen opens</p> <div data-bbox="565 1236 1308 1860" style="border: 1px solid black; padding: 5px; margin: 10px auto; width: fit-content;"> </div>

<p>Branch Deficiency Notice Queue Search (Continued)</p>	<p>When the Queue screen criteria screen opens, select a combination or one of the following options:</p> <ol style="list-style-type: none"> 2. If searching for a specific CRD Branch Number, place a check mark in the Only Notices for CRD Branch Number box and type the branch CRD Number in the field. NOTE: If a check mark is selected, CRD requires the completion of the corresponding field. 3. If searching for a specific NYSE branch Code Number, place a check mark in the Only Notices for NYSE Branch Code Number box and type the NYSE Branch Code Number in the field. NOTE: This option is only available to NYSE registered firms. 4. If searching for a specific Firm Billing Code, place a check mark in the Only Notices for Firm Billing Code box and type the branch Firm Billing Code in the field. NOTE: A Firm Billing Code is a number assigned by a firm to its branch office(s) for accounting purposes. 5. If searching for branches that have registered or notice filed in a specific participating jurisdiction, click the Branches Registered/Notice Filed with box and choose the jurisdiction from the drop down menu. 6. If searching for branches with a specific status click the Only Deficiency Type box and choose the appropriate status from the drop down menu. 7. Type a Deficiency Date Range in the [Between:] and [And:] fields. NOTE: CRD defaults to All. 8. If searching for branches by the earliest Deficiency Effective Date, click the Ascending radio button. OR 8a. If searching for branches by the most recent Deficiency 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. 10. Click the Display Queue button.
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View Branch Deficiency Notice Queue

[Result:] The *Branch Deficiency Notice Results Queue* screen opens.

Firm Notices

- Withdrawal or Termination
- Regulatory Disclosure
- Branch Status
- **Branch Deficiencies**
- Queue Totals

? Printer Friendly

Branch Deficiency Notice Queue Search Results

Organization CRD #: 0000		Primary Business Name: SECURITIES FIRM	
Organization SEC #:		Full Legal Name: SECURITIES FIRM	
No BD Record		Electronic Filer	

<< Previous Next >>
 Rows 1 to 1

CRD Branch #	Firm Billing Code	City	State	Deficiency Type	Deficiency Date	Deficiency Detail	Number of Days Deficient
369864		ROCKVILLE	MD	NOSPRVPC	08/18/2008	Supervisor/PIC 1111111 is no longer associated with this branch. File a Form BR amendment to remove this individual from the Supervisor/PIC list.	10

11. To view information about the branch office, click the **CRD Branch Number** hyperlink.



Tips for Navigating through Queues

- It is recommended that you check the Queue Totals first to determine whether or not there are any notices to review in the two queues.
- The information from both queues is also displayed in View Organization. To view the Registration Status, see Steps for Viewing Organization Registration Status, page 6-12. To view Disclosure, see Steps for Viewing Organization Disclosures, page 6-18.

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