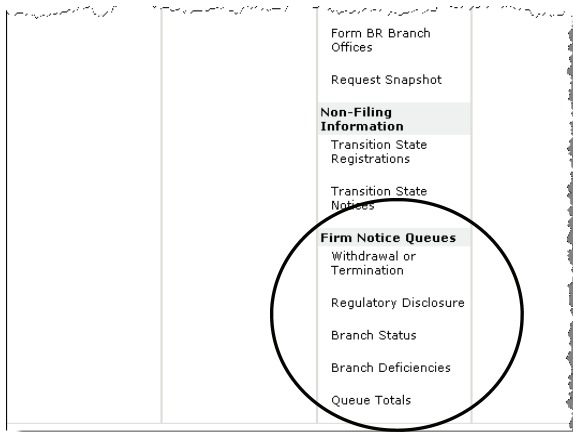


Firm Queues provide notification in IARDSM to firms concerning an action the SEC or state(s) has taken on a firm's request for registration withdrawal or registration termination. These queues also notify the firm of any regulatory actions added to the firm's record by the SEC or state(s). Access IARD at <https://crd.finra.org/iad>.

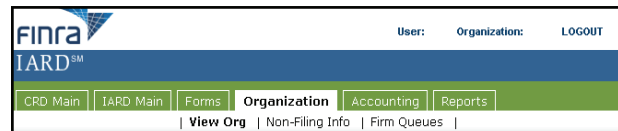
Accessing Firm Queues for Organizations

1. From the **Organization** section of the IARD Site Map, click directly on the link for a specific queue.



OR

1. Click the **Organization** tab on the toolbar.



2. Click **Firm Queues** from the sub-menu.

Firm Notice Queues

- **Withdrawal or Termination** - 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. Notice Filing withdrawals do not appear in this queue.*
- **Regulatory Disclosure** - Displays notices that a regulator has filed a Form U6 Disclosure Reporting Page(s) (DRP) regarding a firm. Regulators file Form U6 filings after taking formal action against a firm.*
- **Branch Status** - Displays the statuses of your firm's branch office filings. The Branch Status queue is not applicable to SEC registered investment adviser firms.



Questions on IARD? Call the IARD Hotline at 240-386-4848
8 A.M. - 8 P.M., ET, Monday through Friday.

- **Branch Deficiencies** - Displays your firm's branch office deficiencies. The Branch Deficiencies queue is not applicable to federally-registered investment adviser firms.
- **Queue Totals** - Lists all of the queues with the number of items in each queue.

*Items remain in this queue for 120 calendar days, after which, the queue items are automatically deleted from the system.