

About Reports

The Reports feature enables firms to request standard reports generated from data stored in Web CRD and IARD. Requested reports are available online for viewing or downloading. Investment Adviser-only firms can request all reports listed in IARD and certain reports from Web CRD, as investment adviser representative information is stored in Web CRD.

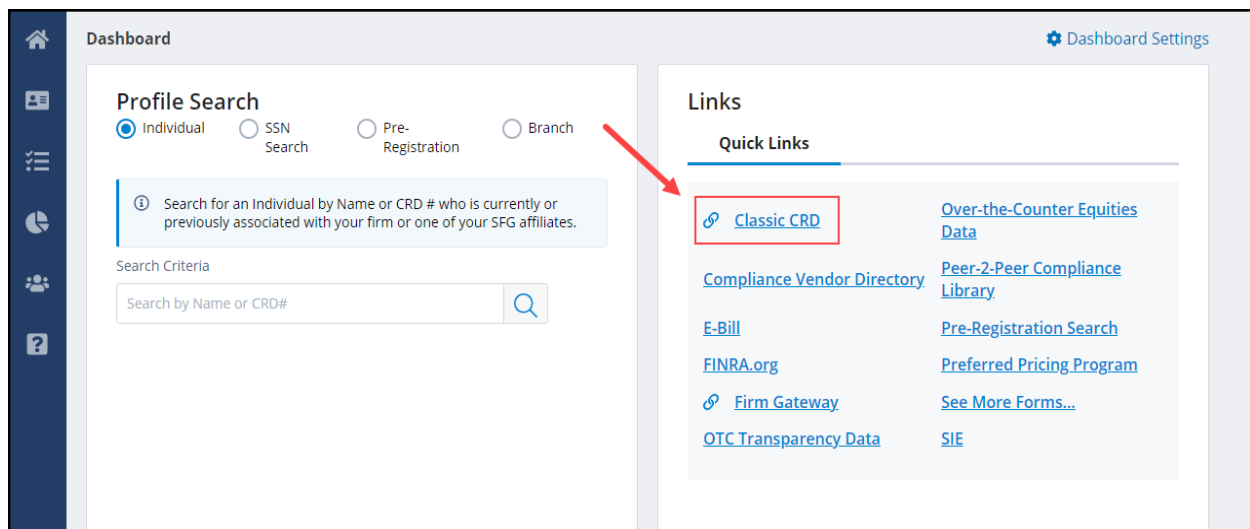
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Accessing IARD

Access IARD directly at <https://crd.finra.org/iad> or through the newly designed FINRA Gateway at <https://gateway.finra.org> as shown below.

If accessing IARD through FINRA Gateway, select **Classic CRD** in the Quick Links section of your firm's dashboard and then navigate to the IARD Main tab.



Questions on IARD? Call the IARD Hotline at 240-386-4848

Request an IARD Report

From the IARD sitemap, select the **Request Report** hyperlink or click on the **Reports** tab to view a list of available IARD reports.

| IARD™ | | | |
|------------------------------|---|------------------------------------|--------------------------------|
| CRD Main | IARD Main | Forms | Organization |
| E-Bill | Reports | | |
| Site Map | User Info | | |
| IARD Main | Forms | Organization | Reports |
| User Info | ADV | View Organization | Home |
| FAQ - IARD.COM | New/Draft Filing | Brochure Search | Request Report |
| FAQ - NASAA.ORG | Generate a Private Fund Identification Number | Identifying Information | View Report |
| FAQ - SEC.GOV | Historical Filing | Registration/Reporting Status | |
| Release Notes | ADV-W | Notice Filing Status | |
| IA Setting and Standard Fees | New Filing | Brochure Status | |
| Recommended Browsers | Pending Filing | Answers to Questions | |
| Send Comments | Historical Filing | Form of Organization | |
| | ADV-E | Business Information | |
| | New Filing | Regulatory Assets Under Management | |
| | Historical Filing | Client Transactions | |
| | | Direct Owners / Executive Officers | |
| | | Indirect Owners | |
| | | Other Business Names | |
| | | Name Change History | |
| | | Other Offices | |
| | | Other Business | |
| | | Succession | |
| | | Custody Information | |
| | | Control Persons | |

A list of all available Investment Adviser firm reports displays along with a description of the information included in the report. Reports are available in PDF format, downloadable format, or both. A PDF report keeps its original appearance preserved, and can be distributed for viewing and printing.

The download format is useful if you wish to view the report in a different format or sorted differently. Once you have the download report, you may import the data into a spreadsheet or database so that you can manipulate the data. Generally the report name will contain the word "Download".



To request a report select the **Report Name** hyperlink. The **Days to View** column indicates how long the report will be available to all entitled users at the firm once it is generated.

| Select a Report to Request | | | |
|--|--|---|--------------|
| Report Name | FINRA Gateway Template | Report Description | Days to View |
| 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 | 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 |
| Branch - Individuals with Multiple Employment Addresses | | This report enables the requestor to generate a detailed list of associated individuals that have been associated with more than one branch office with the same firm. | 7 |
| Branch - Supervising OSJ Branches | Supervising OSJ Branches | This report includes a list of OSJ Branches that have Non-OSJ branches reporting to it. | 7 |
| Exam and CE - Test Center Appointment Data Download | | This report contains information about upcoming Exam and CE session appointments for individuals actively associated with the requesting firm. Note: For CE sessions, only the appointments scheduled at a test center will be included. This report will not include information on CE sessions taken online. The following CE related reports can be requested to view both test center and online CE sessions. CE - Approaching CE Queue Report and Download CE - CE Download | 7 |
| Firm - Disclosure Download | | This download contains detailed firm disclosure information reported on Forms BD and ADV for registered firms at the time the report is requested. | 7 |
| Individual - Active Military Duty Download | Active Individual Roster | This download provides a list of individuals currently on active military duty. | 7 |
| Individual - Approved AG Regs Without FINRA Approval Report and Download | | This report provides a list of individuals who are not registered with FINRA but are with another jurisdiction. | 60 |
| Individual - Other Business Details Download | Active Individual Roster | This report contains a list of all individuals with an active RR or RA firm association with the specified firm who have reported other business on their latest U4 filing. | 7 |
| Individual - Termination by Firm Download | | This report provides a list of all individuals for a specified firm that have a Full U5 submitted within the specified time period, or have an employment termination date requested on a Full U5 within the specified time period, or have a U5 Amendment submitted within the specified time period with a change in employment termination date. | 7 |
| Renewals - Branches Renewal Report and Download | | List of all of a firm's branches for renewal purposes. | 60 |
| Renewals - Firm Renewal Report and Download | | This report provides the renewal status for all individuals at the firm grouped by regulator. | 60 |
| Roster - Individual - Registered Individual Summary Download | | This download report provides a summary of registration related detail for all registered individuals associated with the firm. | 7 |
| Snapshot - Firm | | This report provides current Information about a firm. | 7 |



Certain classic reports have been or will be retired because a corresponding report template exists in FINRA Gateway. These reports will have a link in the FINRA Gateway Template column that will link users to [Dynamic Reporting](#).

Select the appropriate report parameters. Depending on the report requested, the parameters may be in the form of drop down options or free text fields. Required fields are designated with an asterisk.

Many reports are available in a downloadable format or read-only PDF format. The **Generate Zipped CSV file** option allows the requestor to identify the report format. Select Yes from the drop down to request the report in a downloadable format.

| Enter Parameters to Request : Branch - Associated Individuals | |
|--|--|
| Branch Identifier Type | None ▼ |
| Branch Identifier | <input type="text"/> |
| Group By Branch Size Category | None ▼ |
| Only Individuals with Disclosure? | No ▼ * |
| Include Individuals associated with Branches between: | |
| Start Date (MM/DD/YYYY) | <input type="text"/>  |
| End Date (MM/DD/YYYY) | <input type="text"/>  |
| Generate Zipped CSV file? | Yes ▼ * |
| User Initials | <input type="text"/> * |
| <input type="button" value="Submit"/> <input type="button" value="Reset"/> | |

Click the **Submit** button to request the report.

| Enter Parameters to Request : Branch - Associated Individuals | |
|--|---|
| Branch Identifier Type | CRD Branch Number ▼ |
| Branch Identifier | 2222 |
| Group By Branch Size Category | None ▼ |
| Only Individuals with Disclosure? | No ▼ |
| Include Individuals associated with Branches between: | |
| Start Date (MM/DD/YYYY) | <input type="text"/>  |
| End Date (MM/DD/YYYY) | <input type="text"/>  |
| Generate Zipped CSV file? | Yes ▼ |
| User Initials | JDOE * |
| <input type="button" value="Submit"/> <input type="button" value="Reset"/> | |

Generally reports will generate within the hour. Availability timeframe may vary depending on the complexity and size of the report.

Tip: Make note of the report Request #. If for any reason there is a problem with your report or the report does not generate, call the IARD Hotline, 240-386-4848. Providing the Request # will help in troubleshooting the issue more efficiently.

  Printer Friendly

Submit Report Results

| Request # | Reports User ID | Reports User Name |
|-----------|-----------------|--------------------|
| 9523980 | 0000000 | INVESTMENT ADVISER |

View an IARD Report

Reports can be sorted by Report Name, Request #, Requested On, and Requested By columns. Click the column header hyperlink to sort reports.

The first time, within a session, that **View Reports** is accessed, a **Sensitive Data Notice** will appear. Read the information and select Continue to proceed. If Cancel is selected, the reports will not be made available for viewing.











Sensitive Data Notice

Any report requested through the Central Registration Depository (CRD®) may contain personal confidential information (PCI) or other confidential or sensitive data, the use or disclosure of which may violate state or federal data privacy, consumer protection, or other laws. FINRA does not represent, warrant or guarantee the accuracy or completeness of this information or its fitness for any purpose for which you intend to use it. FINRA represents that this report may contain PCI or other non-public information, depending upon your jurisdiction, and FINRA expressly disclaims any responsibility for ensuring that this report meets your agency or organization's legal obligations with respect to sharing the information in the report for any reason. Your use of this report is your acknowledgement that FINRA is providing this report at your request, conditioned upon your understanding and agreement that FINRA has no responsibility for ensuring that any

View an IARD Report (Continued)

To view a report, click on the report name. The report will open in either PDF format or as a downloadable zip file.

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.

| View Reports | | | | | | | | | |
|--|--|--|-----------|---------------------|-----------------------|-----------------------|-----------------------|-------|--------------|
| Records per Page: 25 Total Records: 5 | | | | | | | | | |
| | Report Name | Parameters | Request # | Status | Requested On | Available On | Expires On | Size | Requested By |
|  | Individual - Approved AG Regs Without FINRA Approval Report and Download |  | 14108102 | Completed - No Data | 10/27/2014 1:55:26 PM | 10/27/2014 1:55:36 PM | 12/26/2014 1:55:26 PM | | JDOE |
|  | Branch - Branch Roster |  | 14108101 | Completed | 10/27/2014 1:54:33 PM | 10/27/2014 1:54:48 PM | 11/3/2014 1:54:33 PM | 714.1 | JDOE |
|  | Individual - Active Military Duty Download |  | 14108100 | Completed | 10/27/2014 1:54:22 PM | 10/27/2014 1:54:24 PM | 11/3/2014 1:54:22 PM | 0.7 | JDOE |
|  | Roster - Individual - Registered Individual Summary Download |  | 14108099 | Completed | 10/27/2014 1:54:00 PM | 10/27/2014 1:58:45 PM | 11/3/2014 1:54:00 PM | 544 | JDOE |
|  | Accounting - Account Activity - Firms |  | 14108098 | Completed | 10/27/2014 1:53:40 PM | 10/27/2014 1:53:40 PM | 12/1/2014 1:53:40 PM | 72.1 | JDOE |
| Records per Page: 25 Total Records: 5 | | | | | | | | | |

Download and Import a Report from Web CRD & IARD

Most download reports automatically display in CSV format, and thus need no additional formatting. However, a few reports still are generated as text files. Here are steps for importing a text file into Microsoft Excel:

1. The file that you download from Web CRD or IARD will be a ZIP file. In order to "unzip" the file, you must have a compression program such as WinZip. This program should already be on your computer. If it is not, please see your technology department for more information if you need assistance.
2. Unzip the file and save it to a location on your computer.
3. Open Microsoft Excel.
4. Click **File**, then **Open**. At the bottom of the dialogue box, you will have the option to change the Files of Type:
5. Change this option to All Files.
6. Proceed to open the file that you just extracted.
7. The Text Import Wizard will appear:
8. Step One: click **Delimited**, then **Next**. You may start the import at Row 1.
9. Step Two: check the box for the delimited Other. In the text box next to it, type in a pipe, "|" -- this key is typically found above the Enter key on your keyboard. You may then click **Next**.

(Instructions continued on next page)

Download and Import a Report from Web CRD & IARD (Continued)

Instructions for importing a downloaded report into Microsoft Excel: (Continued)

10. Step Three: the default option should be a General Column Data Format. Click **Finish**.
11. The data will now be arranged into separate columns and rows. Excel allows the user to sort information quickly and easily. In order to sort the information in your report, follow these steps:
12. Click **Ctrl-A** to Select All.
13. Click **Data**, then **Sort**.
14. Select the column that by which you would like to sort the information (Column A, for example), then click **OK**. If the information is not sorted the way that you want, click **Ctrl-Z** to Undo the sort.

Ad Hoc Reports

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 IARD@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 or CD).

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.

Ad Hoc Fee Schedule

| Type of Ad Hoc Report | Description | Fee |
|-----------------------|--|------------|
| Existing | Ad Hoc Report already exists and will be rerun for current request. | \$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 |