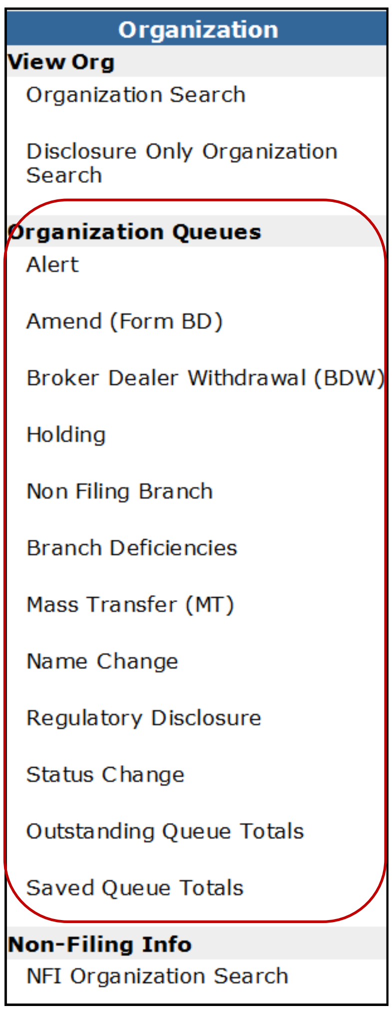
Financial Industry Regulatory Authority

Web CRD — SEC Queues for Organizations

The **SEC Queues for Organizations** provide the mechanism for an SEC to receive notifications of broker-dealer form filings, registration status changes, outstanding filing deficiencies, disciplinary information and mass transfers, as well as, to identify changes in registration statuses. Access Web CRD® at https://crd.finra.org.

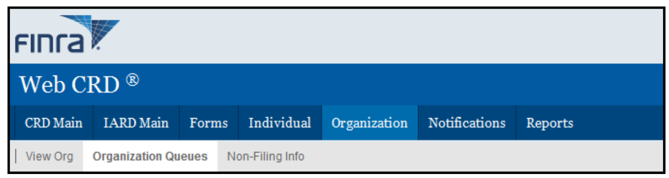
There are 2 ways to access **SEC Organization Queues** in Web CRD®:

1. From the **Organization** section of the CRD Site Map, click on the hyperlink for a specific queue.



OR

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



2. Click **Organization Queues** on the sub-menu.
3. Click a specific queue on the navigation bar.

Questions on CRD? Call the Regulatory User Support Line at **240-386-4242**
9 A.M. - 5 P.M., ET, Monday through Friday

SEC Organization Queues

There are 11 types of SEC Organization Queues.

1. **Alert**: Lists notices on broker-dealers, who have not corrected deficiencies. There are 3 alert types: 30 day, 60 day and 90 day. Notices in this queue are automatically deleted after 120 days.

2. **Amend (Form BD)**: Lists notices of Form BD filings submitted by firms that have an SEC a status of Approved, Conditional Pending SRO Approval, Holding, Pending Approval, Pending Withdrawal, Postponed, Termination Requested, Withdrawal Requested, or firms that are pending SEC approval.

3. **Broker-Dealer Withdrawal (Form BDW)**: Lists notices of broker-dealer full withdrawal requests submitted. The status of these firms is Termination Requested or Pending Withdrawal. Notices in this queue are automatically deleted after 120 days.

4. **Holding**: Lists notices of broker-dealer filings for firms that have a registration status of Holding when the filing is submitted. Notices in this queue are automatically deleted after 120 days.

5. **Non Filing Branch:** Lists notices of branches whose branch status has changed without a Form BR filing. Notices are automatically deleted after 30 days.

6. **Branch Deficiencies:** Notifies the SEC of deficiencies for each branch office.

7. **Mass Transfer (MT)**: Lists notices of firms to be involved in a Mass Transfer. Users can change the status of any participating firm, as well as, approve or disapprove of the transfer. Notices in this queue are automatically deleted after 30 days.

8. **Name Change**: Lists notices of broker-dealer name changes. Notices in this queue are automatically deleted after 30 days.

9. **Regulatory Disclosure**: Lists notices of disciplinary actions taken by a regulator against a firm. Notices in this queue are automatically deleted after 30 days.

10. **Status Change**: Lists notices of changes in a firm's registration status. SEC regulators can see all changes that terminate broker-dealers, as well as, approvals of broker-dealers. Notices in this queue are automatically deleted after 30 days.

11. **Outstanding Queue Totals**: Lists all of the queues with the number of items in each queue.

Working the Queues

In Outstanding Notices, you can:

- Sort the queue notices.
- Review notices.
- Change a registration status.
- Send a notice from the Outstanding Notice Queue to the Saved Notice Queue.
- Remove items from the queue.

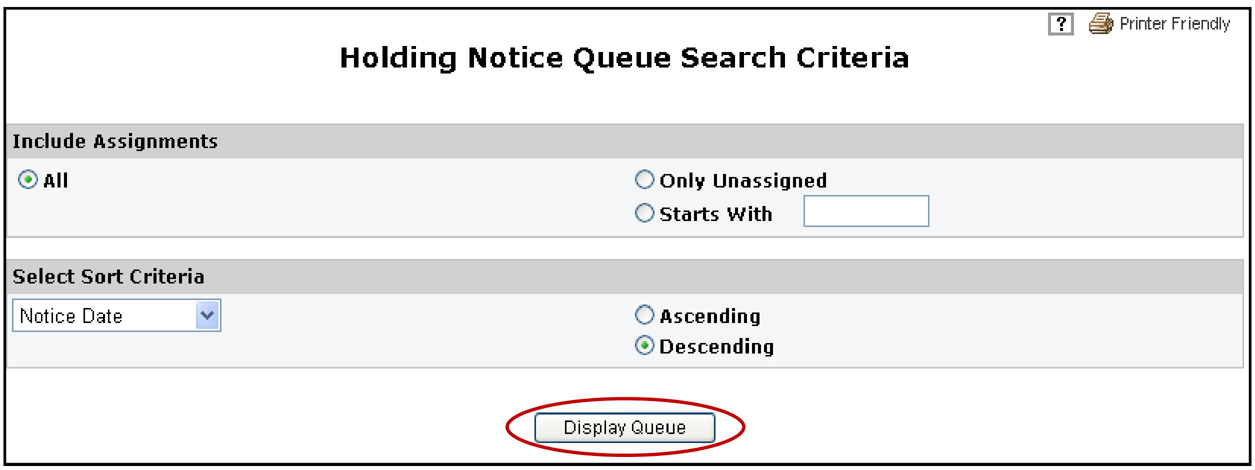
Sorting the Notice Queues

A) You can filter your search to include:

- All Assignments: displays all notices in the queue, regardless of the individual the notice is assigned to.
- Only Unassigned.
- Starts With.

B) To review only those notices assigned to you:

1. Click the **Starts With** radio button.
2. Enter the first few letters or all of your name.
3. Click **Display Queue**.



C) You can sort by a specific criteria, in ascending or descending order:

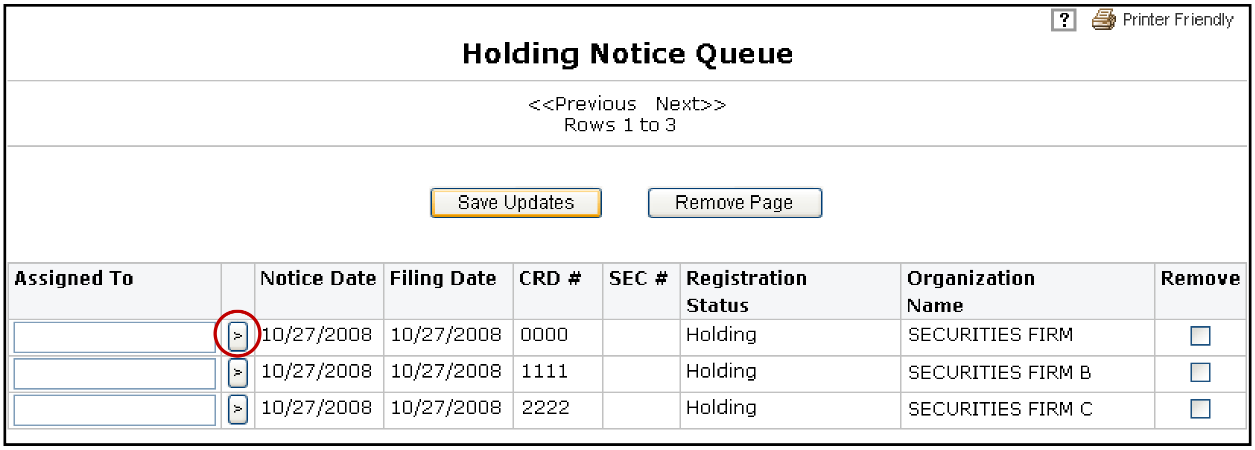
- Assigned To
- Notice Date
- Filing Date
- CRD #
- SEC #
- Registration Status
- Organization Name

Working the Notice Queue

- Entitled users may assign queue items to staff by typing the staff member's name in the **Assigned To** field and clicking the **Save Updates** button.

- To remove an item from the queue, place a check mark in the **Remove** box and click the **Save Updates** button.

- Click the arrow in the gray box to display details of the Notice Queue selected for review.



Printer Friendly

Holding Notice Queue

<<Previous Next>>
Rows 1 to 3

Save Updates | Remove Page

Assigned To		Notice Date	Filing Date	CRD #	SEC #	Registration Status	Organization Name	Remove
	>	10/27/2008	10/27/2008	0000		Holding	SECURITIES FIRM	☐
	>	10/27/2008	10/27/2008	1111		Holding	SECURITIES FIRM B	☐
	>	10/27/2008	10/27/2008	2222		Holding	SECURITIES FIRM C	☐

Tips for Working a Holding Notice

Clicking on different areas of the screen allows you to perform the actions described below.

- Click the Firm's CRD number to view the firm's record in View Organization.

- Click the **Filing ID** number to view the electronic form filing. You can view each page of the form, all pages, or only the changes made on this filing. The changes appear in red.

- Click on a form section in **Sections Updated** to go to a specific updated section of the form. Click in the check box to indicate that the section has been reviewed.

- Click the **Current Auto Deficiencies** hyperlink to view details of the specified deficiency in **View Organization**. Click in the check box to indicate that you have reviewed that deficiency.

- Click **Send to Save** to remove the notice from the Outstanding Notices Queues and place it into the Saved Notices Queues.

- Click **Save Updates** to save the current content of Regulator Comments and the check marks that indicate that you reviewed the section or deficiency.

- Click **Reset** to delete any changes made since the last time any data was saved.

- Click **Delete** to remove an item from the queue.

- Click the **Registration Status** button to access the screen that changes the registration status of the firm. Clicking this button links you to the **Non Filing Information** section for Organizations.

Holding Notice

Organization CRD#:	**Organization Name: TEST PRIMARY BUSINESS NAME**
Organization SEC#:	**Applicant Name: TEST APPLICANT NAME**

Notice ID - Notice Date	26633055 - 02/12/2015
Assigned To	
Organization - Entity Type	- TEST PRIMARY BUSINESS NAME - Corporation
Address	TEST STREET TEST CITY, MD 20850 USA
Contact	TEST NAME
Contact Phone	352-283-6733
Filing ID - Filing Date	37450181 - 02/12/2015
IRS Number - SEC Number	99-1234567 -
Date Deficiencies Cleared	
Yes Answers	None
Unanswered	None
Types of Business	EMC EMF IDM BDR BDD
Disclosure History	No
Sections Updated	☐ Applicant Info ☐ Arrangements ☐ Control Affiliates ☐ Disclosure Questions ☐ Indirect Owners ☐ Legal Status ☐ Other Business ☐ Direct Owners ☐ Successions ☐ SEC Registration ☐ SRO/Jurisdiction Registrations ☐ Types of Business
Date Received	02/12/2015
Current Auto Deficiencies	☐ PENDING REVIEW[916423]
Current Manual Deficiencies	
Registration Status	**BX:** 02/12/2015 - APPROVED **FINRA:** 02/12/2015 - APPROVED **ISE:** 02/12/2015 - APPROVED **SEC:** 02/12/2015 - APPROVED
Regulator Comments	

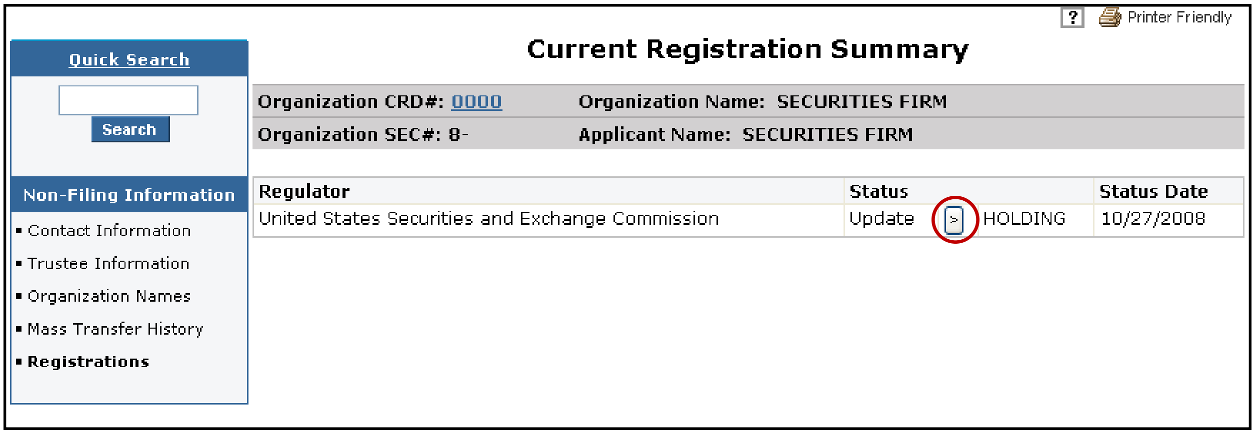
Send To Save | Save Updates | Reset | Delete | Registration Status

Changing a Firm's Registration Status

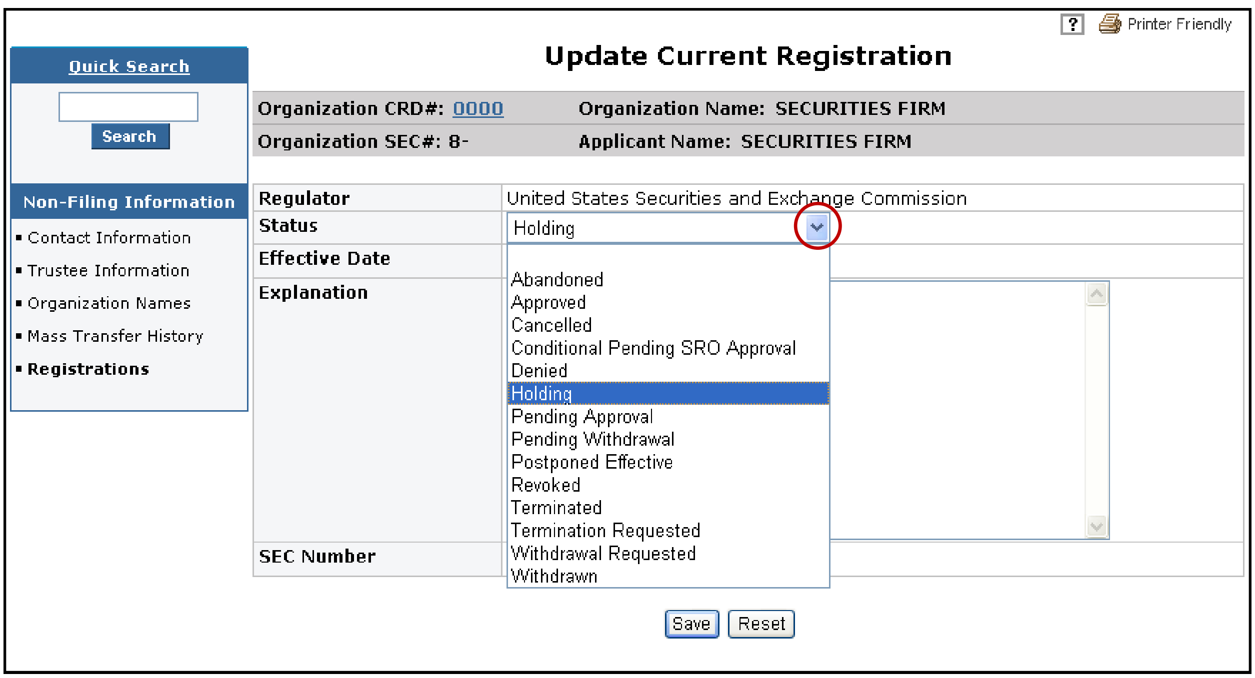
A change to a registration status must be performed through the Non-filing Info section in the NFI Organization queue. The Current Registration Summary screen displays the firm's current registration status.

To change a Registration Status complete the following steps:

1. Click the **Status Update** arrow to access the *Update Current Registration* screen.



2. Click the **Status** arrow to change the firm's registration status.



3. Enter the **Effective Date** the status changed.
4. Enter an **Explanation** of the status, if any.
5. Click **Save**.