

## Reference Guide for Transitioning from Classic CRD to FINRA Gateway

This guide was created to help customers from Classic CRD transition to FINRA Gateway.

Classic CRD queue type	Classic CRD queue	FINRA Gateway replacement	Notes
Individual CE queues	<ul style="list-style-type: none"> <li>CE Required</li> <li>CE Satisfied</li> <li>CE Inactive</li> <li>Approaching CE requirement</li> <li>CE 2-Year Termed</li> </ul>	Reports – Individuals By CE Status template <b>or</b> Reports – Individuals with an Upcoming CE Obligation	
Individual registration queues	<ul style="list-style-type: none"> <li>Approved Individual Registrations</li> <li>Purged Individual Registrations</li> <li>Denied Individual Registrations</li> <li>Inactive Registration Due to Missing Fingerprint Card</li> <li>Current Individual Deficiencies</li> </ul>	Reports – Individuals by Registration Status <b>or</b> Reports – Recently Approved Individual Registrations	
	<ul style="list-style-type: none"> <li>Pending Individual Registrations</li> </ul>	Reports – Individuals with pending registrations	
Individual disclosure queues	<ul style="list-style-type: none"> <li>Outstanding Disclosure Letters (firm and individual)</li> </ul>	Requests	
	<ul style="list-style-type: none"> <li>Disclosure Review Notice</li> </ul>	Reports – Individuals with Reportable Disclosures	
Individual exam queues	<ul style="list-style-type: none"> <li>Completed Exams</li> <li>Scheduled Exams</li> </ul>	Reports – Individuals by Exam Status <b>or</b> Reports – Recently Completed Examinations	
Individual filing queues	<ul style="list-style-type: none"> <li>Other Firm U4</li> <li>Other Firm U5</li> </ul>	Classic CRD queue	<i>Not currently available in FINRA Gateway</i>
Individual fingerprint queues	<ul style="list-style-type: none"> <li>Fingerprint Status Received from FBI</li> <li>Notices of Undelivered Fingerprint Cards</li> </ul>	Classic CRD queue	<i>Not currently available in FINRA Gateway</i>
Individual termination queues	<ul style="list-style-type: none"> <li>Termination</li> <li>Manual Termination</li> <li>Temporary Registration Cancellation</li> <li>U5</li> <li>U5 Late Fees</li> <li>U5 Required</li> </ul>	Reports – Individuals by Registration Status <b>or</b> Reports – Terminated Individuals By Reason Code	
		Requests	
Branch queues	<ul style="list-style-type: none"> <li>Branch Status</li> <li>Branch Deficiencies</li> </ul>	Branch Roster <b>or</b> Branches by Deficiency status <b>or</b> Active and OSJ Roster	

<b>Firm queues</b>	<ul style="list-style-type: none"><li>• Current Deficiencies</li><li>• SFG Retirement</li><li>• Withdrawal or Termination</li></ul>	Classic CRD queue	<i>Not currently available in FINRA Gateway</i>
	<ul style="list-style-type: none"><li>• Disclosure Letters</li></ul>	Requests	