



Individual Queues provide a mechanism for the CRD system to notify firms of events relating to individuals and their registrations. This navigation guide provides general information on how to access these queues, as well as descriptions of their contents.

 **IMPORTANT NOTE:**

All classic CRD features should now be accessed through [FINRA Gateway](#), the new FINRA reporting and compliance platform. This new system is designed to focus on compliance functions, such as research, reporting and responding to requests, rather than focusing on the specific system you would access to fulfill your requirements.

Additionally, firms can use new [FINRA Gateway report templates](#) to accomplish the same tasks previously done using CRD queues.

If you have any questions or feedback regarding the transition to FINRA Gateway, please contact FeedbackFINRAGateway@finra.org.

Contents:

- [Logging in Through FINRA Gateway](#) (pg. 2)
- [Accessing Individual Queues](#) (pg. 3)
- [Disclosure Queues](#) (pg. 4)
- [Exam Queues](#) (pg. 4)
- [Filing Queues](#) (pg. 5)
- [Fingerprint Queues](#) (pg. 5)
- [Registration Queues](#) (pg. 5)
- [Termination Queues](#) (pg. 6)

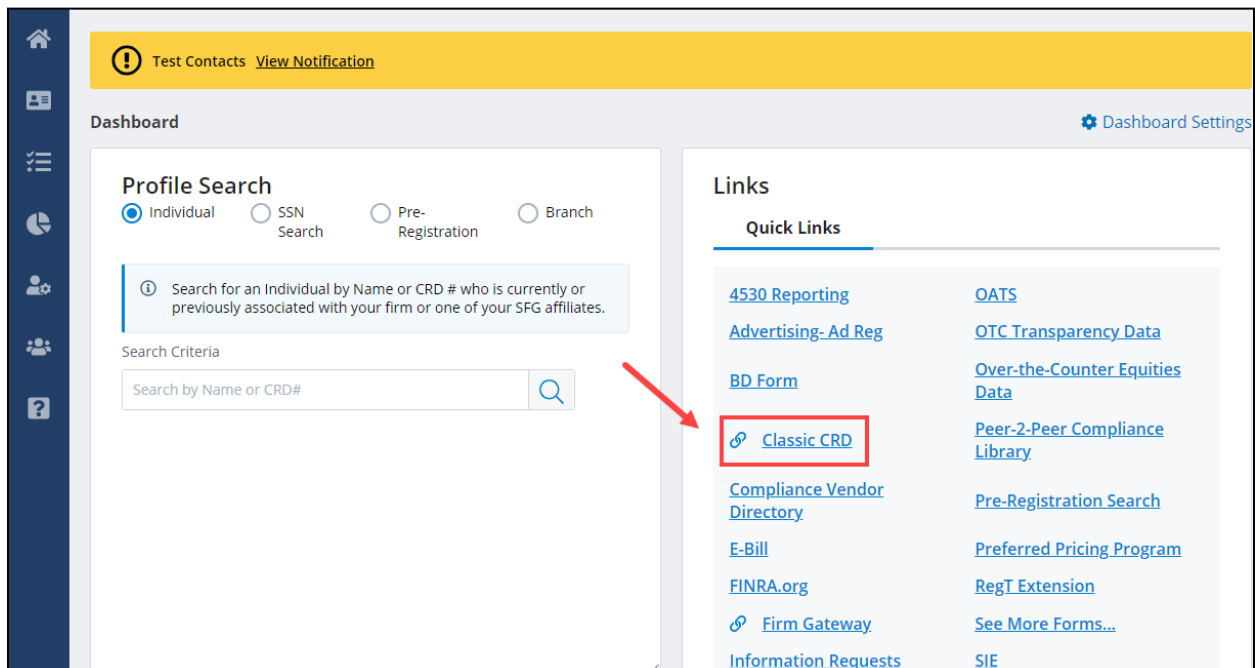
Need help with CRD? Call the Gateway Call Center at **301-869-6699**
8 A.M. - 8 P.M., ET, Monday through Friday.

Logging in Through FINRA Gateway

As of August 21, 2021, the previously used Firm Gateway homepage has been retired and users should access all registration applications via the new [FINRA Gateway](https://gateway.finra.org). To access FINRA Gateway:

1. Go to <https://gateway.finra.org>, and
2. Enter your existing CRD user ID and password.

Once you have successfully logged into FINRA Gateway, you can navigate to classic CRD using the **Quick Links** widget on the dashboard. Select **Classic CRD** from the list of links and then follow along with the rest of this guide.



The screenshot displays the FINRA Gateway dashboard. At the top, there is a yellow notification bar with a warning icon and the text "Test Contacts View Notification". Below this is the "Dashboard" header with "Dashboard Settings" on the right. The main content area is divided into two sections. On the left is the "Profile Search" section, which includes radio buttons for "Individual" (selected), "SSN Search", "Pre-Registration", and "Branch". Below these is a search criteria input field with the placeholder text "Search by Name or CRD#" and a search icon. On the right is the "Links" section, titled "Quick Links", which contains a grid of blue hyperlinks. The link "Classic CRD" is highlighted with a red box and a red arrow pointing to it from the search criteria field. Other links in the grid include "4530 Reporting", "Advertising- Ad Reg", "BD Form", "Compliance Vendor Directory", "E-Bill", "FINRA.org", "Firm Gateway", "Information Requests", "OATS", "OTC Transparency Data", "Over-the-Counter Equities Data", "Peer-2-Peer Compliance Library", "Pre-Registration Search", "Preferred Pricing Program", "RegT Extension", "See More Forms...", and "SIE".

Accessing Individual Queues

From the **Individual** column on the CRD Site Map, click the link for the specified queue.

Individual
View Individual
Individual Search in FINRA Gateway
Non-Filing Info
NFI Individual Search
SIE
Enrollments/Results
Firm Queues
View Requests & Filings in FINRA Gateway
Disclosure
Disclosure Review
Outstanding Disclosure Letters
Disclosure Queue Totals
Exams
Completed Exams
Scheduled Exams
Filing
Other Firm U4 Filing
Filing Queue Totals
Fingerprint
Fingerprint Status Received from FBI
Inactive Registrations Due to Missing Fingerprint Cards
Notices of Undelivered Fingerprint Cards
Fingerprint Queue Totals
Registrations
Approved Individual Registrations

Queue Management Tips

- For queues that contain the sub-queue **Queue Totals**, check Queue Totals first to see if there are any notices in that queue that need reviewing.
- Check queues regularly, depending on the size of your firm, as information in Web CRD is constantly updated.
- Each queue has a sort and filter search screen to customize the information that is displayed in the queue. Use sort and filter parameters that best meet the needs of the firm.
- The **Alerts** page consolidates the most critical registration-related sub-queues:
 - Denied Individual Registrations, Inactive Registrations Due to Missing Fingerprint Cards, Manual Termination, Temporary Registration Cancellation, Termination, and U5 Required.

Disclosure Queues

Disclosure Review: Lists individuals that have had recent (within the last 30 days) disclosures submitted to CRD through a U4, U5 or U6 filing. Individuals remain in this queue indefinitely.

Outstanding Disclosure Letters: Lists individuals that have disclosure deficiency letters or inquiry letters that are unresolved. Individuals remain in this queue until the outstanding letter is resolved. An export feature is available that allows users to obtain a CSV download of outstanding letters and details.

Disclosure Queue Totals: Lists all of the disclosure queues with the number of items in each queue.

Disclosure
▪ Back to Previous Menu
▪ Disclosure Review
▪ Outstanding Disclosure Letters
▪ Disclosure Queue Totals

Exam Queues

Completed Exams: Lists individuals that have completed exams, with the exam results. Individuals remain in this queue indefinitely.

Scheduled Exams: Lists individuals that have open exam windows. Individuals remain in this queue as long as the exam is scheduled.

Exams
▪ Back to Previous Menu
▪ Completed Exams
▪ Scheduled Exams

Filing Queues

Filing
▪ Back to Previous Menu
▪ Other Firm U4 Filing
▪ Filing Queue Totals

Other Firm U4 Filing: Lists dually registered individuals that have had a U4 filing submitted by another firm that employs them. The queue notifies the non-filing firm and allows the firm to review the information submitted. Individuals remain in this queue indefinitely.

Filing Queue Totals: Lists all of the filing queues with the number of items in each.

Fingerprint Queues (Not applicable to RAs)

Fingerprint
▪ Back to Previous Menu
▪ Fingerprint Status Received from FBI
▪ Inactive Registrations Due to Missing Fingerprint Cards
▪ Notices of Undelivered Fingerprint Cards
▪ Fingerprint Queue Totals

Fingerprint Status Received from FBI: Lists notices received from the FBI regarding an individual's fingerprint card status. Individuals remain in this queue indefinitely. (Note: Users must have CHRI entitlement in order to access this queue, as well as additional entitlement to view the actual fingerprint card statuses.)

Inactive Registration Due to Missing Fingerprint Cards: Lists Individual's whose registration status has been changed from Approved Pending Prints to Inactive Prints, because a fingerprint card was not received by CRD within 30 days from the initial application. Individuals remain in this queue as long as they have a registration status of Inactive Prints.

Notices of Undelivered Fingerprint Cards: Lists notices for individuals who have an outstanding fingerprint card. These notices are generated if no fingerprint card is submitted to Web CRD within the 30 day time period. Individuals remain in this queue until a final FBI response fingerprint status is received.

Fingerprint Queue Totals: Lists all of the fingerprint queues with the number of items in each.

Registration Queues

Approved Individual Registrations: Lists all approved individual registrations with a status of: Approved, Approved Pending Prints, Approved Pending Results, Restricted Approval, and Temporary Registration. Individuals remain in this queue indefinitely.

Current Individual Deficiencies: Lists individuals whose registration is deficient due to one or more of the following: CE Inactive, Disclosure Review, Dual; Exam, Fingerprint, Firm Suspended, Foreign, Funds Deficient, FINRA, FINRA-AR, FINRA-FA, Pending Firm Approval, Position, Pre-Training Period, Training Period. Individuals remain in this queue indefinitely for historical purposes.

Registrations
▪ Back to Previous Menu
▪ Approved Individual Registrations
▪ Current Individual Deficiencies
▪ Denied Individual Registrations
▪ Pending Individual Registrations
▪ Purged Individual Registrations
▪ Registration Queue Totals

Registration Queues (continued)

Denied Individual Registrations: Lists individual registrations that have been assigned a status of Denied or Rejected by a regulator. Individuals remain in this queue for 30 days.

Pending Individual Registrations: Lists non-deficient individual registrations that are waiting for an SRO or Jurisdiction approval. Individuals with a status of Pending remain in this queue as long as the registration status is Pending.

Purged Individual Registrations: Lists individual registrations that CRD has changed from Deficient to Purged because the time period to correct the deficiency has been exceeded. Individuals remain in this queue for 30 days.

Registration Queue Totals: Lists all of the registration queues with the number of items in each queue.

Registrations
▪ Back to Previous Menu
▪ Approved Individual Registrations
▪ Current Individual Deficiencies
▪ Denied Individual Registrations
▪ Pending Individual Registrations
▪ Purged Individual Registrations
▪ Registration Queue Totals

Termination Queues

Termination
▪ Back to Previous Menu
▪ Manual Termination
▪ Temporary Registration Cancellation
▪ Termination
▪ U5
▪ U5 Late Fees
▪ U5 Required
▪ Other Firm U5 Filing
▪ Termination Queue Totals

Manual Termination: Lists individuals for whom a U5 has been filed but has been blocked by a regulator. The registration status is Termination Requested. Individuals remain in this queue as long as their status is Termination Requested.

Temporary Registration Cancellation: Lists individuals who have had temporary registrations revoked. Individuals remain in queue for 30 days.

Termination: Lists individuals whose registration(s) have been terminated without a U5 filing. Individuals remain in this queue for 30 days.

U5: Lists all Full or Partial Form U5 filings submitted by your firm. The individuals in this queue have a registration status of Termed or Termination Requested. Individuals remain in this queue indefinitely.

U5 Late Fees: Lists individuals who have been assessed a fee for a late Form U5 filing and had a FINRA approved-equivalent status. A Form U5 filing is considered late if it is filed more than 30 days from the actual date of termination. Individuals remain in this queue indefinitely. This queue is not applicable to RAs.

U5 Required: Lists individuals for whom your firm is required to submit a Form U5 filing to terminate their association with your firm. A Form U5 filing is required when a Relicense Form U4 has been filed. Individuals remain in this queue until the Form U5 filing is submitted.

Other Firm U5 Filing: Lists individuals for whom a U5 filing was submitted by another firm.

Termination Queue Totals: Lists all of the termination queues with the number of items in each.