FINRA

FINRA Gateway Reports Individual Data Definition

Version 1.4
10-06-24

Revision History

DATE	AUTHOR	VERSION	DESCRIPTION
10-04-19	Zolboo Dashzeveg	0.1	Initial draft.
02-06-20	Zolboo Dashzeveg	0.2	Removed the count columns from the data dictionary. The count columns will appear in the report grid when any or all columns under a top-level column is selected to be displayed in the grid. For example, if you've selected Regulator Code column under Registrations in Individual Roster template, you will need to click on the Registrations count to see the associated regulators with the individual's registrations.
03-23-20	Sarah Rose	0.3	Added CE Status Date, CE Base Date, Military Deferral?, CE Sessions, Session Type, Session Type Code, CE Window Begin Date, CE Window End Date, Requirement Type, Appointment Status Code, Appointment Progress, Last Access Date, Next CE Window Begin Date, Exam Pending Flag, Waived by Regulator Name, Waiver Reason, Appointment Status Code, Appointment Date, Appointment Confirmation, Number of Alternate Names, Alternate Names. Status Name is now labeled Exam Status. Status Code was removed.
5-04-20	Sarah Rose	0.4	Additional fields added for Disclosures, Deficiencies, Registration History, Other Business.
7-10-20	Sarah Rose	0.5	IA Affiliations information added. Changed formatting of data dictionary to show the hierarchical nature of the data.
7-31-20	Sarah Rose	0.6	Updated description of values returned for "Is FinPro user?"
8-18-20	Sarah Rose	0.7	Added details on FinPro accounts, including last accessed date, attestation data, status, and history.
9-24-20	Sarah Rose	0.8	Added Exam and Test location fields.
11-05-20	Sarah Rose	0.9	Changed name from "FINRA Gateway Reports" to "FINRA Gateway Reports."
07-30-2021	Sarah Rose	1.0	Added fields for Military Annual Verification Received?, Military Duty Begin Date, Registration – Organization Name and Registration Status History – Organization Name. Added notes about Other Business Description data character limit in grid and all characters included in copy and paste or download.
04-07-2022	Sarah Rose	1.1	Added fields related to fingerprints to the Employment sub-table.

07-24-2023	Miko Somborac	1.2	Added NASAA's EVEP (Exam Validity Extension Program) flag field to the Exam sub-table.
09-14-2024	Miko Somborac	1.3	Added Residential Supervisory Location (RSL) fields to the Branch sub-table.
10-06-2025	Miko Somborac	1.4	Added exam validity fields to the Exams sub-table.

About the Data Dictionary

- Referring to the table below, the rows of data shown on a white background are available to add to the main table within Dynamic Reports templates. The rows of data shown with a blue background are hierarchical and will appear in a subtable. The rows of data that are blue and white indicate the data point you will click on to expand the subtable.

- When you want to export data to a CSV file, you can include the main table (white rows) plus one subtable (blue rows). The export will flatten the hierarchy and present all data points in a single row.

- Sample values are listed for each field. If you want to know all the values available for a given field, you can use the Group tool in FINRA Gateway Reports and group by the given field. The grouped view will show you all values for that field available within your data at that point in time.

- If there is no data for a given field, it may show as "Missing" or "Other."

Data Field	Data Description	Example Data
Individual CRD	Individual's CRD ID number	1234
First Name	Individual's primary first name.	John
Middle Name	Individual's primary middle name.	Steward
Last Name	Individual's primary last name.	Smith
Suffix	Individual's primary suffix.	Jr.
BRANCH OFFICE LOCATIONS	**Count of individual's associated branch office locations.**	3
Branch Street Address 1	Branch street address.	1234 Main Street
Branch Street Address 2	Branch street address line two.	Suite 300
Branch City	Branch city.	New York
Branch State Code	Branch state code.	NY
Branch State Name	Branch state name.	New York
Branch Postal Code	Branch postal code.	10017
CRD Branch Number	The CRD ID for the branch.	3253
Branch Billing Code	The branch billing code.	10011
Branch Code Number	The branch code number.	ABC-116333
Branch FINRA District	The branch FINRA district.	10-New York
Branch Operational Status	The branch's operational status.	Active Inactive
Individual Role	The individual's role at the branch.	Staff Person in charge Supervisor
Location End Date	The date individual stopped working at the branch office.	YYYY-MM-DD
Location Start Date	The date individual started working at the branch office.	YYYY-MM-DD
Non-registered Branch Identifier	The unique identifier of the nonregistered branch office.	3335

Data Field	Data Description	Example Data
Organization CRD #	The main organization's CRD ID.	23452
Private Residence?	Is the individual's associated branch office address is a private residence?	Yes No
RSL End Date	Date on which it was reported that the location is no longer a Residential Supervisory Location (RSL).	YYYY-MM-DD
RSL Start Date	Date on which the form indicating when that the location is a Residential Supervisory Location (RSL) was processed.	YYYY-MM-DD
Registered Location?	Is the individual's associated branch office location is registered?	Yes No
Residential Supervisory Location (RSL)	Indicates whether the location has been designated as a Residential Supervisory Location (RSL) or not	Y N
Role Type	The individual's role type associated with branch office.	Located At Supervised From
CE Base Date	The date which is used to calculate an individual's CE anniversary schedule; read-only date.	YYYY-MM-DD
CE SESSIONS	**Count of individual CE sessions.**	5
Appointment Progress	The individual's progress in CE training.	0 Modules Completed 0 of 4 Modules Completed 1 of 4 Modules Completed 2 of 4 Modules Completed 3 of 4 Modules Completed 4 of 4 Modules Completed
Appointment Status Code	Individual's appointment status code.	Cancel In Progress Late Cancel No Show Official Result Rescheduled Scheduled Withdraw
Last Accessed Date	The date individual last accessed online CE for this session.	YYYY-MM-DD

Data Field	Data Description	Example Data
Next Window Begin Date	The begin date of the next CE window. The individual is required to complete the next CE starting from this date	YYYY-MM-DD
Requirement Type	The CE requirement type.	Anniversary
Session Type	The type of CE session.	General Program for Registered Persons Registered Principals and Supervisors
Session Type Code	Code indicating the type of CE Regulatory Element the individual is required to satisfy	S101 S201
Window Begin Date	The date the individual's CE window begins.	YYYY-MM-DD
Window End Date	The date the individual's CE window ends.	YYYY-MM-DD
CE Status	2 year termed from industry CE 2 year termed CE inactive No CE status Required Satisfied Graduated	2 year termed from industry CE 2 year termed CE inactive No CE status Required Satisfied Graduated
CE Status Date	The date associated with current CE Status	YYYY-MM-DD
DEFICIENCIES	**Count of individual's registration deficiencies.**	3
Date Deficiency Set	The date that the deficiency was created.	YYYY-MM-DD

Data Field	Data Description	Example Data
Deficiency Type	The deficiency type associated with the registration.	CE Inactive Dual Registration Exam Fingerprint Form Foreign Funds Pending Firm Approval Position: Prerequisite Deficiency Disclosure Review Firm Suspended Status FINRA AR Registration FA Registration Dual Registration RA/AG
Exam Code	The exam code of individual's exam.	101, 201, F04, FOR, G1, S12, etc
Organization CRD #	The organization CRD ID affiliated with the individual's deficiency.	10756
Registration Category	The position of the registered individual.	Floor Broker – Options, Corporate Securities, Research Analyst, etc
Regulator Code	The code for the regulator name assigned to the individual's registration.	VA, NqLX, NYMEX, OTC, VT, etc
Regulator Name	The regulator name assigned to the individual's registration.	New York Mercantile Exchange, Nebraska, Cboe Futures Exchange LLC , Alabama, etc.
DISCLOSURES	**Count of individual disclosures.**	4

Data Field	Data Description	Example Data
Disclosure Type	This indicates the type of disclosure as defined on the filing per individual disclosure.	Arbitration Bankruptcy Bond Civil Judicial Action Criminal Customer Complaint Internal Review Investigation Judgment/Lien Regulatory Action Termination
Reportable?	This indicates whether or not the occurrence is reportable. The setting on this field is used in VOI to determine if and where (Current Disclosures or Reg Archive Disclosures) the occurrence should be displayed.	Yes No
Disclosable?	Is this occurrence disclosable through the FINRA BrokerCheck® program?	Yes No
Publicly Disclosable?	Is the disclosure eligible for Public Disclosure? This applies to Archived Disclosures and indicates whether or not an archived customer complaint/arbitration/civil litigation occurrence may be eligible to be disclosed through the FINRA BrokerCheck® Program	Yes No
Occurrence ID	Uniquely identifies a disclosure event. Occurrences are created during the Disclosure Review process so that multiple DRPs can be related to a single event.	313131
Archived?	Is this an archived disclosure?	Yes No
Statutory Disqualification?	Flag to indicate if the individual has a statutory disqualification.	Yes No
Statutory Disqualification Code	The individual's statutory disqualification status or type if the individual is associated in any business or financial activity with any person who is subject to a statutory disqualification.	Clear, Yes - Approval/ Denial Pending, Yes - Limited Suspension, etc.
DISCLOSURE FILLINGS	**Count of individual's disclosure filings.**	5

Data Field	Data Description	Example Data
Allegations	The alleged damages included in this disclosure occurrence.	Block of ext
Alleged Damages	The number representing the ammount of alleged damages included in this disclosure occurrence.	100000
Comments	The comments associated with this disclosure.	Block of text
Date First Reported	Date the disclosable event was first reported.	YYYY-MM-DD
Disclosure Status	Current status of the disclosure	denied, settled, civil, tax, final, etc
Disclosure Type Code	The code for the disclosure type indicated on the disclosure filing.	ARBTN BANKRUPT BOND CIVLJUDC CRIMINAL CUSTCOMP INTRNRVW INVSTGTN JUDGEMNT REGLACTN TRMNATON
Disclosure Type Name	The type of disclosure as indicated on the disclosure filing.	Arbitration Bankruptcy Bond Civil Judicial Action Criminal Customer Complaint Internal Review Investigation Judgment/Lien Regulatory Action Termination
Employing Firm	The name of the employing firm.	Acme Firm, LLC
Event Date	Date the disclosed event occurred.	YYYY-MM-DD
Filed by Firm #	The CRD ID of the organization that submitted the Filing on which the disclosure was reported.	12451

Data Field	Data Description	Example Data
Filed by Firm Name	The name of the organization that submitted theU4 or U5 on which the disclosure was reported.	Financial Services Limited
Filed by Regulator #	The ID of the regulator that submitted the filing on which the disclosure was reported.	1
Filed by Regulator Code	The code of the regulator that submitted the filing on which the disclosure was reported.	VA, NqLX, NYMEX, OTC, VT, etc
Filed by Regulator Name	The name of the regulator that submitted the filing on which the disclosure was reported.	FINRA, New York Mercantile Exchange, Nebraska, Cboe Futures Exchange LLC , Alabama, etc.
Filing Date	The filing date for the form filing ID associated with the disclosure.	YYYY-MM-DD
Filing ID	The FINRA filing ID associated with the disclosure.	12235
Filing Type	The form filing type that provided the disclosure.	Full Amendment
Form Type	The type of form which first reported the disclosure.	U4 U5 U6
Occurrence ID	Occurrences are created during the Disclosure Review process so that multiple DRPs can be related to a single event.	11111
Pending?	Is this occurrence in a Pending Status?	Yes No
Satisfies 4530 Filing?	Was this disclosure filing completed to also satisfy the 4530 filing requirement?	Yes No
Status Date	The date associated with the current status of the disclosure.	YYYY-MM-DD
EMPLOYMENTS	**Count of individual employments.**	11
Employment Active?	Is the individual's employment active?	Yes No
Employment End Date	Date employment ended.	YYYY-MM-DD
Employment Start Date	Date employment started.	YYYY-MM-DD

Data Field	Data Description	Example Data
Employment Type Code	Indicates the type of employment.	Investment advisor representative Non-registered fingerprint individual Registered representative/principal Owner/officer Other
Fingerprint Bar Code	Bar codes assigned by the processor for each fingerprint submission received.	152663458
Fingerprint Card Due Date	When the fingerprint card is required.	YYYY-MM-DD
Fingerprint Card Status Date	When the fingerprint status was posted.	YYYY-MM-DD
Fingerprint Card Status Final?	Indicates if that fingerprint status posted is the final one and the investigation is complete. See the following for a mapping of status that are final (yes) versus those that are not final (no).	Yes No
	Fingerprint card status final = Yes | **Fingerprint card status final = No**	

	XMPT - Individual is exempt from fingerprinting requirement (SEA Rule 17f-2) based on illegible prints or other criteria in Rule 17f-2. RECX - Fingerprints were received and processed by FINRA. RECR - Fingerprints were processed through another SRO and CHRI was identified. RECP - Fingerprints were processed through another Self-Regulatory Organization (SRO) and the FBI identified No Data. RAPX - FBI result indicating CHRI was identified based on a Name Check search. RAPP - FBI result indicating CHRI was identified for fingerprints submitted. NMCK - Individual is undergoing a Name Check search based on FBI determination that previous fingerprint submissions were illegible. LGCY - Fingerprint status provided prior to August 1999 conversion to Web CRD. EXCX - FBI result indicating no match after Name Check search due to excessive candidates	RECC - Fingerprints received and forwarded to the FBI for processing. RECT- A third fingerprint submission to the FBI because fingerprints previously submitted were illegible. RECV - A second fingerprint submission to the FBI because fingerprints previously submitted were illegible. REJT - Fingerprints were rejected by the FBI because required information was missing. CDPD - Firm provided barcode on form filing and awaiting receipt of fingerprints for processing. ILEG - FBI result indicating fingerprints submitted were determined to be illegible (by the FBI). RECD - A fingerprint submission that is missing information required for processing.	

Data Field	Data Description	Example Data
	CLER - FBI result indicating No Data was identified for fingerprints submitted. CLRX - FBI result indicating No Data was identified based on Name Check search. COMP - FINRA staff has completed review of CHRI identified by the FBI in response to fingerprints submitted. CMPX - FINRA staff has completed review of CHRI identified by the FBI following Name Check search. TERM - Fingerprint record reflects termination based on form filing or other process.	
City	Employer city.	Rockville
Country Code	Employer country code.	USA
Country Name	Employer country name.	United States of America
Postal Code	Employer postal code.	20850
State Code	Employer state code.	MD
State Name	Employer state name.	Maryland
Street Address 1	Employer street address.	123 Rockville Pike
Street Address 2	Employer street address line two.	Suite 1600

Data Field	Data Description	Example Data
Firm Type Code	Employing firm type code.	BD Only IA Only JOINT Non Registered
Independent Contractor?	Was the individual employed as an independent contractor?	Yes No
Individual Billing Code	The billing code associated with the individual.	10001
Organization Applicant Name	The firm applicant name associated with the individual's employment.	Acme Financial Ltd.
Organization CRD	The employing firm's CRD ID.	1234
Organization FINRA District	The firm FINRA district office ID associated with individual's employments.	10-New York
Organization Primary Business Name	The firm primary business name associated with the individual's employment.	Acme Firm, LLC
Organization SEC 8 #	The firm SEC number associated with the individual's employment.	8-30000
Organization SEC 801 #	The firm SEC number associated with the individual's employment.	801-3001
Organization SEC 802#	The firm SEC number associated with the individual's employment.	802-3000
EXAMS	**Count of individual's exams.**	11
Appointment Date	Individual's exam appointment date.	YYYY-MM-DD
Appointment Status Code	The individual's appointment status code.	CANCEL IN PROGRESS LATE CANCEL NO SHOW OFFICIAL_RESULT RESCHEDULED SCHEDULED WITHDRAW
Confirmation Number	Proctor exam appointment confirmation number.	11111

Data Field	Data Description	Example Data
EVEP Flag	Is the Exam Date related to NASAA's EVEP (Exam Validity Extension Program) credit?	Yes No
Exam Pending Flag	Is the exam pending?	Yes No
Exam	The exam code of the completed exam by the individual.	GDE, PC, S00, S3, S30, etc.
Exam Name	The name of the exam that the individual took.	uniform securities agent state law examination
Exam Date	The date the exam was last taken by the individual.	YYYY-MM-DD
Status Date	The date the exam status was created.	YYYY-MM-DD
Exam Status	The status of the exam completed by the individual.	Developed a need Exams previously taken Window expired In process filing Official result Official waiver Request Scheduled Withdraw Funds deficient Credit
Grade	The code for exam grade for the exam completed by the individual.	INCMP FAILED CMPLT PASSED NO_SHOW LATE_CANCEL
Score	The status of the exam completed by the individual.	73
Test Center City	The city where the test center is located.	Rockville
Test Center Country	The country where the test center is located.	United States of America
Test Center ID	The ID of the test center.	
Test Center Name	The name of the test center.	Test Center

Data Field	Data Description	Example Data
Test Center State	The state where the test center is located.	Maryland
Test Vendor	The test vendor.	Vendor Name
Valid Until	The end date of the validity of an exam without a related registration. Once an exam has a related registration this field will be set to null.	YYYY-MM-DD
Validity	Indicates whether an exam without a related registration is valid or if it expired.	Valid Expired N/A (for exams that were not taken)
Validity Flag	Indicates whether an exam that was taken is valid or not.	Yes No blank (for exams that were not taken)
Window End Date	The end date of exam window. The individual is required to complete the exam by this date.	YYYY-MM-DD
IA AFFILIATIONS	**Count of the number of IA affiliations for the individual.**	3
IA Affiliated Firm	The name of the affiliated IA firm.	Acme Financial, Ltd.
IA Affiliated Firm CRD #	The CRD ID for the affiliated IA firm.	1234
IA Affiliation	The individual's role in the IA Affiliation.	Direct Owner
OTHER NAMES	**Count of individual's other names.**	1
First Name	Individual's other first name.	James
Last Name	Individual's other last name.	Smithe
Middle Name	Individual's other middle name.	Stuart
Suffix	Individual's other suffix.	II
PROFESSIONAL DESIGNATIONS	**Count of individual's professional designations**	5

Data Field	Data Description	Example Data
Designating Authority	The name of the organization that grants the professional designation to the individual e.g. CFP awarded by Certified Financial Planner Board of Standards.	Certified Financial Planner Board of Standards The American College American Institute of Certified Public Accountants Investment Counsel Association of America
Designation Type Code	The individual's professional designation type code.	CFP ChFC PFS CFA CIC
Designation Type Name	The individual's professional designation type name.	Certified Financial Planner Chartered Financial Consultant Personal Financial Specialist Chartered Financial Analyst Chartered Investment Counselor
First Filing Date	The date of the first filing of the individual's professional designation.	YYYY-MM-DD
First Filing Employer	The employer who first filed the individual's professional designation.	Acme Firm, LLC
First Filing Organization CRD #	The CRD# of the firm that filed the most recent U4 filing that listed the designation of the individual.	1234
First Form Filing Type	The form U4 filing type that lists the designation of the individual.	AMENDMENT RELICENSE INITIAL DUAL P2BDINITIAL CONVERSION P2BDAMEND RELICENSEBD RELICENSEIA
Last Filing Date	The date of the most recent filing of the individual's professional designation.	YYYY-MM-DD
Last Filing Employer	The employer who filed the last filing.	Acme Financial, Ltd.
Last Filing Organization CRD #	The CRD ID for the employer who filed the last filing.	1234

Data Field	Data Description	Example Data
Last Form Filing Type	The type of form used for the last filing.	AMENDMENT RELICENSE INITIAL DUAL P2BDINITIAL CONVERSION P2BDAMEND RELICENSEBD RELICENSEIA
REGISTRATION STATUS HISTORY	**Count of individual's registration status history.**	12
Organization CRD #	The CRD ID for the organization associated with the individual's registration.	1234
Organization Name	The name of the organization with which the individual was registered.	ABC Firm, LLC
Registration Category	The registration category.	Agent
Registration Category Code	The position code of the registered individual with the associated firm.	AG
Registration Status Code	The registration status code of the individual with the associated firm.	ADMTERM APPRNT APPROVED APPROVED_RES BAR CE2_YEAR_TRMD CE_INACTIVE DEFICIENT DENIED FTR INACTIVE_PRINTS
Registration Status Name	Individual's registration status name.	Administrative termination, Approved pending prints, etc.
Regulator Code	The regulator code assigned to the individual's registration.	OTC, ND, ISE MRX, NK, etc.
Regulator Name	The regulator name assigned to the individual's registration.	OTC Bulletin Board, North Dakota, etc.
Status Effective Date	The date the status became effecitve.	YYYY-MM-DD

Data Field	Data Description	Example Data
REGISTRATIONS	**Count of individual registrations.**	2
Current Status Date	Date the current status was posted.	YYYY-MM-DD
Filing Date	The date the registration filing occurred.	YYYY-MM-DD
Organization CRD #	The organization CRD ID with which the individual is registered.	1234
Organization Name	The name of the organization with which the individual is registered.	ABC Firm, LLC
Registration Approved?	Is the individual's registration approved?	Yes No
Registration Begin Date	The date the registration began.	YYYY-MM-DD
Registration Category Code	The code for the registered individual's position.	AF, SC, TA, FP, MM, RP, etc.
Registration Category Name	The registered individual's position name.	Securities Trader, Options Member, Compliance Officer, Investment Advisor, etc.
Registration End Date	The date the individual's registration ended.	YYYY-MM-DD
Registration Status Code	Individual's registration status code.	APPROVED, CE2_YEAR_TRMD, DEFICIENT, etc.
Registration Status Name		Approved, Termed, Deficient, Inactive - Prints, etc.
Registration Status Type Code	This indicates whether the individual's registration with the associated firm is active or inactive.	ACTIVE INACTIVE
Regulator Code	The regulator code assigned to the individual's registration.	NYSE, OTC, CBOE, VT, CO, etc.
Regulator Name	The regulator name assigned to the individual's registration.	New York Mercantile Exchange, Nebraska, etc.
RESIDENTIAL LOCATIONS	**Count of individual's residential locations.**	7
Address End Date	End date of individual residency at the address.	YYYY-MM-DD
Address Start Date	Start date of individual residency at the address.	YYYY-MM-DD
City	Residence city.	New York
Country Code	Residence country code.	USA
Country Name	Residence country name.	United States of America

Data Field	Data Description	Example Data
Postal Code	Residence postal code.	10017
State Code	Residence state code.	NY
State Name	Residence state name.	New York
Street Address 1	Residence street address.	123 Main Street
Street Address 2	Residence street address line two.	Suite 5000
Is FinPro User?	Is the individual a FinPro user? The value will be "Yes" if individual has fully registered and visit the FinPro home page at least once. The value will be "No" if the user has never registered and accessed the FinPro home page.	Yes No
Date FinPro Account Created	The date the user first logged in and visited the FinPro home page.	YYYY-MM-DD
Date Last Accessed FinPro	The date the user last logged in and visited the FinPro home page.	YYYY-MM-DD
Latest Attestation Status	Status of representative's most recent attestation that the data in FinPro is accurate and complete.	Data Correct Data Incorrect
Latest Attestation Date	Date of last representative attestation that the data in FinPro is accurate and complete.	YYYY-MM-DD
ATTESTATION HISTORY	A number representing the number of attestations on file for the representative.	1
Attestation Status	Status of representative's historical attestation that the data in FinPro is accurate and complete.	Data Correct Data Incorrect
Attestation Date	Date of representative historical attestation that the data in FinPro is accurate and complete.	YYYY-MM-DD
Military Annual Verification Received?	Indicates whether or not annual verification of military service was received.	Yes No
Military Deferral?	Is the individual's CE requirement deferred due to military service?	Yes No
Military Duty Begin Date	The date the individual's military service began.	YYYY-MM-DD

Data Field	Data Description	Example Data
Other Business Description	This describes the business conducted by the individual outside of the registered firm. It includes: the name and address of the other business; the nature of the other business, including whether it is investment-related; the position, title, or association with the other business, including duties; the start date of the relationship with the other business; the approximate number of hours per month devoted to the other business; and the number of hours devoted to the other business during securities trading hours.	Block of text. Note – within the grid user interface the Other Business Description has a character limit for display purposes. To see the full text of the Other Business Description, export the report to a CSV file or copy and paste the Other Business Description field into another document.
Other Business?	A flag to indicate if the individual conducts business outside of the registered firm.	Yes No