Chapter Nine: Organization Non-Filing Information

About this Section

This section contains information pertaining to maintaining firm notifications, contact information, viewing mass transfers and organization names using Organization Non-Filing Information on CRD.

Completion Objectives

At the completion of this section the user will be able to:

- Maintain CRD contact information.
- Maintain firm notification information.
- View organization names list and mass transfers.

In this Section

This section contains the following topics:

About Organization Non-Filing Information

Organization Non-Filing Information gives firms the ability to view and update information without submitting a form filing. Firms can maintain contact information that is not a part of the Form BD filing process and is used by the Registration and Disclosure Department for CRD issues. Firms can view organization name changes and whether the changes were due to corrections. Firms can view mass transfer information relating to their firm, type of transfer and effective date.

Firm Notification

Firms can request automatic e-mail reminders be sent from CRD to designated individuals at the firm whenever any or all of the following 19 conditions occur:

Registration

- Notify when an individual has a fingerprint updated with a status of ILEG.
- **Notify when an individual's registration is Inactive Prints with the firm.**
- Notify when an individual's registration request is T_NOU5 (terminated without a Form U5)
- Notify when an individual with deficient registration is eligible to Purge within the next 30 days
- Notify when Individual Fingerprint updated with RAPP status
- Notify when an individual's registration request has been Denied.
- Notify when an individual's registration has been Revoked.
- **Notify when a registered individual enters Firm Temporary Registration Cancellation Queu**e.

Disclosure

- Notify when a Bankruptcy has expired for a registered individual with the firm.
- Notify when a Customer Complaint has expired for a registered individual with the firm.
- Notify when a U6 is filed against a registered firm.
- Notify when a U6 is filed against an individual registered with the firm.
- Notify when registered individual enters Firm Outstanding Disclosure Letters Notice Queue.

Continuing Education

- **Notify when registered individual is within 30 days of then end of his or her CE Required window.**
- **Notify when registered individual is within 90 days of the end of his or her CE Required window.**
- **Notify when registered individual enters the Firm CE Inactive Queue.**

Other

- Notify when Firm account balance is Deficient.
- Notify when a filing has failed submission.
- Notify when registered individual enters Other U4 Filing Notice Queue.

NASD recognizes the significance of our member firms' efforts to ensure compliance with registration-related requirements; therefore, as an expanded service to all firms, on September 30, 2002, NASD began automatically sending the five **bolded** e-mail notifications above to firm contacts. NASD is asking firms to select a contact(s) for receipt of, at a minimum, the five bolded e-mail notifications. Firms may choose one individual at the firm to receive all of the e-mails selected, or, a firm can input a different e-mail contact for each Firm Notification it selects.

On behalf of firms that did not input contact information by September 30, 2002, NASD ran a script to automatically select the five bolded e-mail notifications and designate the firm's Primary Account Administrator as the recipient for all. For those firms that did not have a Primary Account Administrator's e-mail address on file, the e-mail address of the firm's Executive Representative was used and he/she will automatically receive those five e-mail notifications as the conditions occur.

Steps for Maintaining CRD Contact Person Information:

Access CRD Contact Information

There are two ways to access Non-Filing Information:

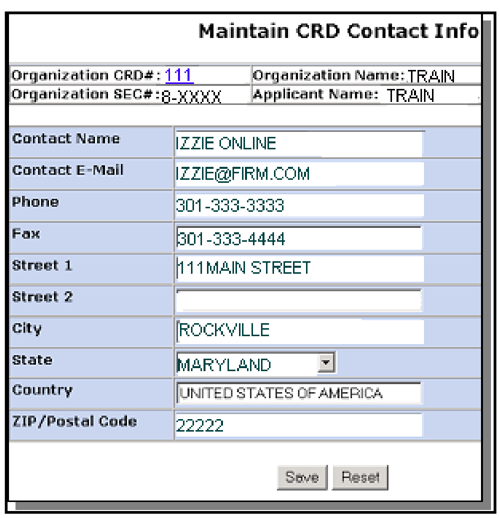
1. From the Site Map, click the **NFI Organization Search** hyperlink.

OR

1a. Click the **Organization** Tab from the Tool Bar and choose **Non-Filing Info** from the Sub-menu.

Maintain CRD Contact Information

[Result:] CRD defaults to the *Maintain CRD Contact Info* screen.



2. Type CRD **Contact Name**, **Contact E-mail**, **Phone**, **Fax**, **Street 1**, **Street 2** (if applicable), **City**, **State**, **Country,** and **Zip/Postal Code** in the fields.

3. Click the **Save** button.

Steps for Adding a Firm Notification Contact Person and Choosing Firm Notification Types:

Access Firm Notification

1. To access **Firm Notification**, see steps 1 or 1a on page 9-3 of Steps for Maintaining CRD Contact Person Information.

Adding a Contact Person (to receive firm notification e-mails) and Choosing Firm Notification Types

2. Click **Firm Notification** from the Navigation Bar or Footer.

[Result:] The *Maintain Firm Notification Info* screen opens.

Maintain Firm Notification Info

Organization CRD#: 120504	Organization Name: TRAINING FIRM B
Organization SEC#: 8-	Applicant Name: TRAINING FIRM B

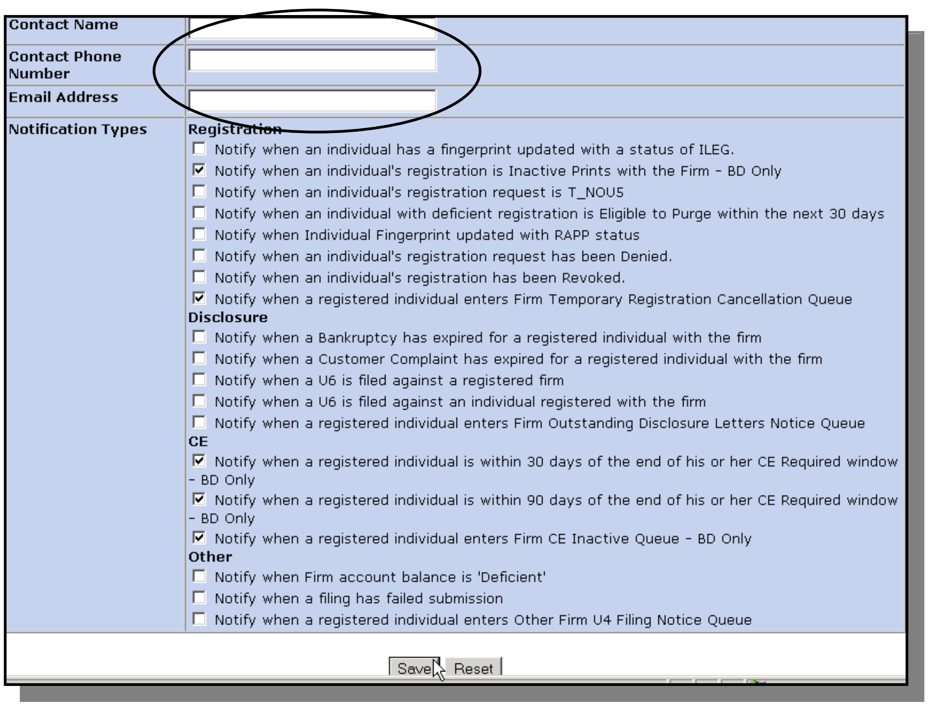
Contact Name	Phone Number	Email Address	Notification Type(s)	Disabled
JANE DOE	301-222-1111	JANE.DOE@FIRM.COM	Approaching CE-30 Approaching CE-90 CE Inactive Inactive Prints Temporary Registration Withdrawn	No
JOHN SMITH	301-222-1111	JOHN.SMITH@FIRM.COM	Individual Terminated without a U5 Registration Denied Registration Revoked	No

Add New

NOTE: If there are existing contacts, their names are displayed indicating the phone number, email address and specific notification type(s) that the contact receives. Different individuals can be contacts to receive different firm notifications.

3. To add a new contact person to receive firm notification emails and designate which firm notification type(s) the contact will receive, click the **Add New** button.

[Result:] The *Maintain Firm Notification Request* screen opens.



Contact Name	
Contact Phone Number	
Email Address	
Notification Types	**Registration** ☐ Notify when an individual has a fingerprint updated with a status of ILEG. ☑ Notify when an individual's registration is Inactive Prints with the Firm - BD Only ☐ Notify when an individual's registration request is T_NOU5 ☐ Notify when an individual with deficient registration is Eligible to Purge within the next 30 days ☐ Notify when Individual Fingerprint updated with RAPP status ☐ Notify when an individual's registration request has been Denied. ☐ Notify when an individual's registration has been Revoked. ☑ Notify when a registered individual enters Firm Temporary Registration Cancellation Queue **Disclosure** ☐ Notify when a Bankruptcy has expired for a registered individual with the firm ☐ Notify when a Customer Complaint has expired for a registered individual with the firm ☐ Notify when a U6 is filed against a registered firm ☐ Notify when a U6 is filed against an individual registered with the firm ☐ Notify when a registered individual enters Firm Outstanding Disclosure Letters Notice Queue **CE** ☑ Notify when a registered individual is within 30 days of the end of his or her CE Required window - BD Only ☑ Notify when a registered individual is within 90 days of the end of his or her CE Required window - BD Only ☑ Notify when a registered individual enters Firm CE Inactive Queue - BD Only **Other** ☐ Notify when Firm account balance is 'Deficient' ☐ Notify when a filing has failed submission ☐ Notify when a registered individual enters Other Firm U4 Filing Notice Queue

Save Reset

Adding a Contact Person (to receive firm notification e-mails) and Choosing Firm Notification Types (Continued)	4. Type the **Contact Name**, **Contact Phone Number** and **Email Address** in the fields. 5. Click the box(es) to specify notification type. **NOTE:** At a minimum, the following five notifications should be selected: • Notification when an individual's registration becomes Inactive Prints with the Firm • Notification when a registered individual enters the Firm Temporary Registration Cancellation Queue • Notification when a registered individual is within 30 days of the end of his or her CE Required window. • Notification when a registered individual is within 90 days of the end of his or her CE Required window. • Notification when a registered individual enters the Firm CE Inactive Queue. Firms may choose one individual at the firm to receive all of the e-mails selected, or a firm can input a different e-mail contact for each Firm Notification it selects. 6. Click the **Save** button.

Steps to Change/Delete a Firm Notification Contact Person and/or Firm Notification Types:

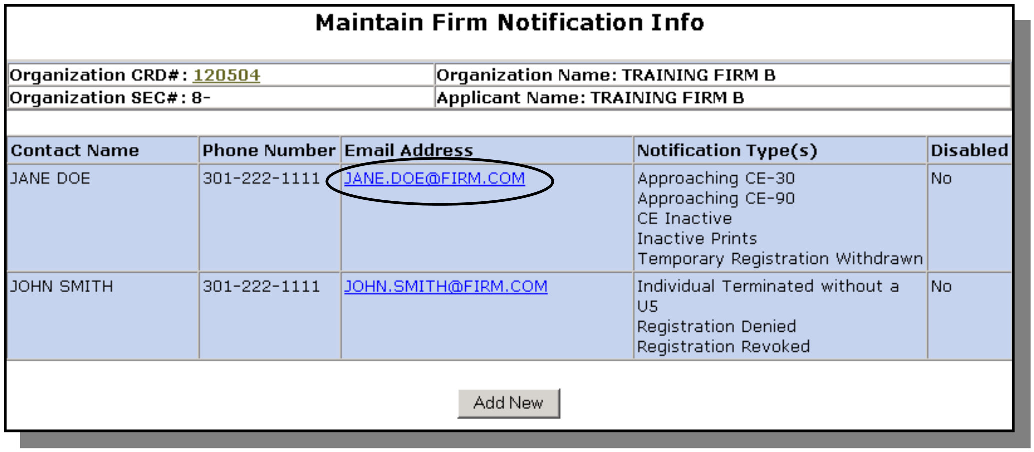
Access Firm Notification

1. To access **Firm Notification**, see steps 1 or 1a on page 9-3 of Steps for Maintaining CRD Contact Person Information.

Change/Delete Contact Information and/or Notification Types

2. Click **Firm Notification** from the Navigation Bar or Footer.

[Result:] The *Maintain Firm Notification Info* screen opens.



Maintain Firm Notification Info

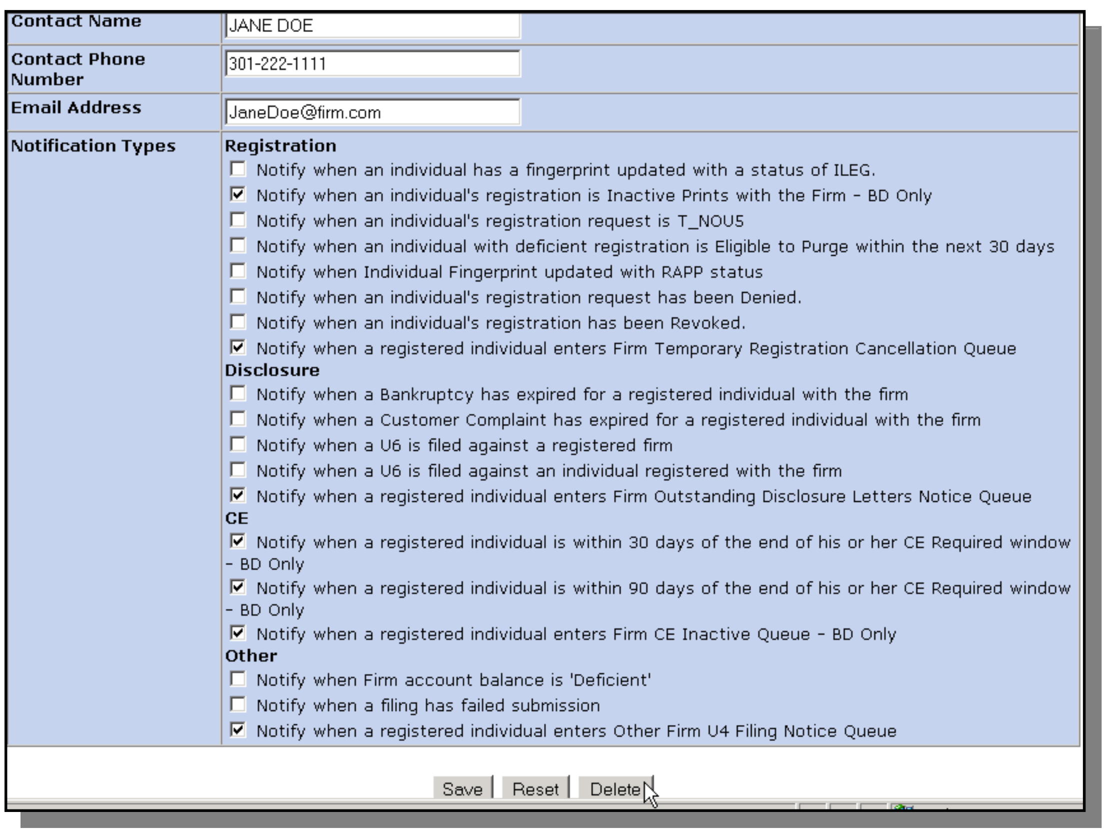
Organization CRD#: 120504	Organization Name: TRAINING FIRM B
Organization SEC#: 8-	Applicant Name: TRAINING FIRM B

Contact Name	Phone Number	Email Address	Notification Type(s)	Disabled
JANE DOE	301-222-1111	JANE.DOE@FIRM.COM	Approaching CE-30 Approaching CE-90 CE Inactive Inactive Prints Temporary Registration Withdrawn	No
JOHN SMITH	301-222-1111	JOHN.SMITH@FIRM.COM	Individual Terminated without a U5 Registration Denied Registration Revoked	No

Add New

3. Click the **Email Address** hyperlink.

[Result:] The *Maintain Firm Notification Request* screen opens.



Contact Name	JANE DOE
Contact Phone Number	301-222-1111
Email Address	JaneDoe@firm.com
Notification Types	**Registration** ☐ Notify when an individual has a fingerprint updated with a status of ILEG. ☑ Notify when an individual's registration is Inactive Prints with the Firm - BD Only ☐ Notify when an individual's registration request is T_NOU5 ☐ Notify when an individual with deficient registration is Eligible to Purge within the next 30 days ☐ Notify when Individual Fingerprint updated with RAPP status ☐ Notify when an individual's registration request has been Denied. ☐ Notify when an individual's registration has been Revoked. ☑ Notify when a registered individual enters Firm Temporary Registration Cancellation Queue **Disclosure** ☐ Notify when a Bankruptcy has expired for a registered individual with the firm ☐ Notify when a Customer Complaint has expired for a registered individual with the firm ☐ Notify when a U6 is filed against a registered firm ☐ Notify when a U6 is filed against an individual registered with the firm ☑ Notify when a registered individual enters Firm Outstanding Disclosure Letters Notice Queue **CE** ☑ Notify when a registered individual is within 30 days of the end of his or her CE Required window - BD Only ☑ Notify when a registered individual is within 90 days of the end of his or her CE Required window - BD Only ☑ Notify when a registered individual enters Firm CE Inactive Queue - BD Only **Other** ☐ Notify when Firm account balance is 'Deficient' ☐ Notify when a filing has failed submission ☑ Notify when a registered individual enters Other Firm U4 Filing Notice Queue

Save Reset Delete

To Change/Delete Contact Information and/or Notification Types (Continued)	4. To change the **Contact Name**, **Contact Phone** and/or **Email Address**, highlight the existing information in the fields and type the new Contact Name, Contact Phone and/or Email Address. 5. To remove specific firm notification(s) for this contact person, click the box(es) to remove the check mark(s) from the notification types. **<u>OR</u>** 5a. To add additional notification(s) for this contact person, click the box(es) to specify notification type. **<u>OR</u>** 5b. To delete a contact person and all of his/her firm notification types, click the **Delete** button. 6. Click the **Save** button.

Steps for Viewing Mass Transfer History:

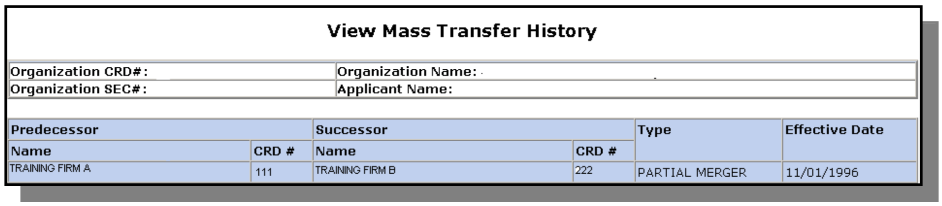
Access Mass Transfer Information

1. To access **Mass Transfer** information, see steps 1 or 1a on page 9-3 of Steps for Maintaining CRD Contact Person Information.

View Mass Transfer History

2. Click **Mass Transfer History** from the Navigation Bar or Footer.

[Result:] The *View Mass Transfer History* screen opens.



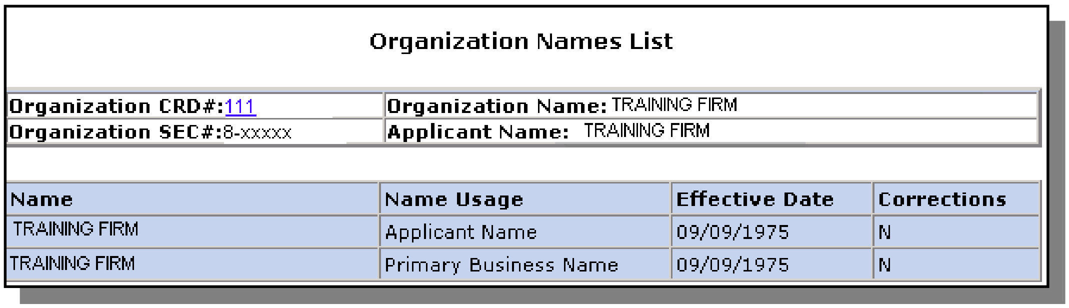
View Mass Transfer History

Organization CRD#:	Organization Name:
Organization SEC#:	Applicant Name:

Predecessor		Successor		Type	Effective Date
Name	CRD #	Name	CRD #		
TRAINING FIRM A	111	TRAINING FIRM B	222	PARTIAL MERGER	11/01/1996

Steps for Viewing Organization Names List:

Access Organization Names	1. To access **Organization Names**, see steps 1 or 1a on page 9-3 of Steps for Maintaining CRD Contact Person Information.
View Organization Names List	2. Click **Organization Names** from the Navigation Bar or Footer. **[Result:]** The *Organization Names List* screen opens.


Organization Names List

Organization CRD#: 111	**Organization Name:** TRAINING FIRM
Organization SEC#: 8-xxxxx	**Applicant Name:** TRAINING FIRM

Name	Name Usage	Effective Date	Corrections
TRAINING FIRM	Applicant Name	09/09/1975	N
TRAINING FIRM	Primary Business Name	09/09/1975	N

Tips for Organization Non-Filing Information:

- Be sure to keep the contact information current.

- Be sure to change the e-mail address under Firm Notifications when the person that handles that e-mail goes on vacation or leaves the firm; or the individual who receives the e-mail notifications can request that the firm's technical support staff temporarily forward his/her e-mail to another individual's mailbox.

- One notification is sent out per notification type and not for each individual affected by the notification.

- NASD will contact a firm if there is a non-deliverable e-mail address listed on the *Firm Notification Information* screen. If the firm cannot be contacted or if a valid e-mail address cannot be obtained, NASD will disable the Firm Notification for that specific e-mail address. The firm will need to contact the Registration and Disclosure Department to re-enable the Firm Notification