Chapter Nine: Organization Non-Filing Information

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

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

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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- Notify when an individual's registration has been Revoked.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 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 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 | There are | two ways to | access Non | -Filing Infor | mation: | | | | |
|--------------|--|---------------------|----------------------------|-------------------------------|---------------------------------|---------------------------------|----------------|-----------------|--|
| Information | 1. From the Site Map, click the NFI Organization Search hyperlink. | | | | | | | | |
| Information | Web CRD | | | | | | | | |
| | Central Registration Depository CRD Main Forms Individual Organization Accounting Reports | | | | | | | | |
| | LOG OFF Web LARD Site Map User Info Admin Tools | | | | | | | | |
| | | CRDMain | Forms | Individual | Organization | Accounting | Reports | | |
| | | User Into | Oreste New U.4 Elliss | View Individual | - View Org | Daily Account | Home | | |
| | | Broadcast Messages | Initial | Disclosure Only | Organization Search | Transactions | Request Report | | |
| | | Terms and | Amendment | Individual Search | Organization Queues | Funds Deficient Transactions | View Report | | |
| | | Conditions | Concurrence | Non-Filing Info | Current Deficiencies | Account Activity | | | |
| | | Release Notes | Page 2 Amendment for | NFI Individual Search | SFG Retirement Withdrawal or | Deposit Detail | | | |
| | | Recommended | Schedule A/B | IARD Transition | Termination | Transfer Detail | | | |
| | | Send Comments | Schedule A/B | Registration Search | Queue Totals | Transaction Detail | | | |
| | | Adapia Tagla | Dual Balissas All | Firm Queues | Non-Filing Info | Bill Line Search | | | |
| | | Chapge Password | Relicense CRD | Continuing Education | NFI Organization Search | Renewal Account | | | |
| | | change Passiona | Relicense IA | Approaching CE Requirement | Mass Transfer | Renewal Statement | | | |
| | | | Pending U4 Filings | CE 2-Year Termed | Mass Transfers List | Account Activity Summary | | | |
| | | | the contract of the second | | | | | | |
| | | | | | | | | | |
| | 1a. Click | the Organiza | ation Tab fro | om the Tool | Bar and cho | ose Non-Fil | ing Info fro | om the Sub- | |
| | menu | • | | | | | - | | |
| | | | | _ | | | | | |
| | CR | D Main Forms II | ndividual Organiz | ration Accountin | Reports | | <u> </u> | | |
| | | | vi | iew Org Orga | nization Queue | s Non-Eiling | Info Mass Ti | ransfer | |
| | | | | on ong onge | | | | | |
| | | | | | | | | | |
| | | | | | | | | | |
| Maintain CRD | [Result:] | CRD defaults | s to the <i>Mair</i> | ntain CRD C | <i>Contact Info</i> s | creen. | | | |
| Contact | | | | Maintain | CRD Contact | Info | | | |
| Information | | | Organization CRD# | t:111 Orga | nization Name: TRA | | | | |
| | | | Organization SEC# | 8-XXXX Appli | icant Name: TRAIN | | | | |
| | | | Contact Name | IZZIE ONLINE | | | | | |
| | | | Contact E-Mail | IZZIE@FIRM.CO | | | | | |
| | | | Phone | 301-333-3333 | | | | | |
| | | | Fax | 301-333-4444 | | | | | |
| | | | Street 1 | 111MAIN STRE | ET | | | | |
| | | | Street 2 | - | | | | | |
| | | | City | ROCKVILLE | | | | | |
| | | | State | MARYLAND | • | | | | |
| | | | Country | UNITED STATES | SOFAMERICA | | | | |
| | | | ZIP/Postal Code | 22222 | | | | | |
| | | | | | | | | | |
| | Save Reset | | | | | | | | |
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| | | | | – | | . | . | | |
| | 2. Type | CRD Contac | t Name, Co | ntact E-ma | II, Phone, Fa | ax, Street 1 | , Street 2 (| it applicable), | |
| | City, | State, Count | try, and Zip/ | Postal Cod | ie in the field | S. | | | |
| | | | 4 a .a | | | | | | |
| | 3. Click | the Save but | ton. | | | | | | |

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

| Access Firm Notification | 1. To access Fi Contact Pers | rm Notification , s on Information. | ee steps 1 or 1a | on page 9-3 of Steps for Ma | intaining CRD | | |
|--|---|---|--|--|---------------|--|--|
| Adding a Contact Person (to receive firm | Click Firm Notification from the Navigation Bar or Footer. [Result:] The Maintain Firm Notification Info screen opens. | | | | | | |
| notification e- mails) and | | Maint | ain Firm Notifica | ation Info | | | |
| Choosing Firm | Organization CRD#: 120504 Organization Name: TRAINING FIRM B Organization SEC#: 8- Applicant Name: TRAINING FIRM B | | | | | | |
| Types | Contact Name | Phone Number Ema | il 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 Withdrawi | No | | |
| | JOHN SMITH | 301-222-1111 <u>JOHN</u> | I.SMITH@FIRM.COM | Individual Terminated without a US Registration Denied Registration Revoked | No | | |
| | | | Add New | > | | | |
| | To add a nev notification ty [Result:] The Ma Contact Name Contact Phone | v contact person to vpe(s) the contact v | o receive firm noti will receive, click t ation Request scr | fication emails and designat the Add New button. reen opens. | e which firm | | |
| | Number Email Address | | / | | | | |
| | Notification Type: | Registration Notify when an indiv Notify when a regist Disclosure Notify when a Custo Notify when a regist CE Wotify when a regist BD Only Notify when a regist BD Only Notify when a regist Other Notify when a filing I Notify when a filing I Notify when a regist | idual has a fingerprint update idual's registration is Inactive idual's registration request is idual with deficient registrati al Fingerprint updated with R idual's registration nequest h- idual's registration has been ered individual enters Firm Te uptcy has expired for a regist mer Complaint has expired for filed against a registered firm filed against a registered firm filed against a registered firm filed against an individual reg ered individual enters Firm O ered individual is within 30 da ered individual is within 90 da ered individual enters Firm CE count balance is 'Deficient' has failed submission ered individual enters Other f | ad with a status of ILEG. a Prints with the Firm - BD Only : T_NOUS on is Eligible to Purge within the next 30 days tAPP status as been Denied. Revoked. amporary Registration Cancellation Queue tered individual with the firm or a registered individual with the firm istered with the firm utstanding Disclosure Letters Notice Queue ays of the end of his or her CE Required window ays of the end of his or her CE Required window ays of the end of his or her CE Required window ays of the end of his or her CE Required window E Inactive Queue - BD Only Firm U4 Filing Notice Queue | v v | | |
| | | | Save 🔀 Reset | | - | | |
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| 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 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. |
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Steps to Change/Delete a Firm Notification Contact Person and/or Firm Notification Types:

| Access Firm Notification | 1. To access F i Contact Pers | i rm Notification , see steps 1 or 1a c son Information. | on page 9-3 of Steps for Maintaining CRD | | | | | |
|---|---|---|---|--|--|--|--|--|
| Change/Delete Contact Information | 2. Click Firm N [Result:] The M | otification from the Navigation Bar of a laintain Firm Notification Info screen | or Footer. opens. | | | | | |
| Notification | | Maintain Firm Notification Info | | | | | | |
| Types | Organization (Organization § | CRD#: <u>120504</u> Organization I SEC#: 8- Applicant Nan | Name: TRAINING FIRM B ne: TRAINING FIRM B | | | | | |
| | Contact Name | Phone Number Email Address | Notification Type(s) Disabled | | | | | |
| | JANE DOE | 301-222-1111 | Approaching CE-30 No Approaching CE-90 CE Inactive Inactive Prints Temporary Registration Withdrawn | | | | | |
| | JOHN SMITH | 301-222-1111 JOHN.SMITH@FIRM.COM | Individual Terminated without a No US Registration Denied Registration Revoked | | | | | |
| | | Add New | | | | | | |
| | 3. Click the Em [Result:] The M | ail Address hyperlink. <i>laintain Firm Notification Request</i> scr | reen opens. | | | | | |
| | Contact Name | JANE DOE | | | | | | |
| | Contact Phone | 301-222-1111 | | | | | | |
| | Email Address | JaneDoe@firm.com | | | | | | |
| | Notification Types | Registration Notify when an individual has a fingerprint u Notify when an individual's registration is In Notify when an individual's registration requ Notify when an individual singerprint updated v Notify when an individual's registration requ Notify when an individual's registration requ Notify when an individual's registration requ Notify when an individual's registration has Notify when an individual's registration has Notify when a registered individual enters F Disclosure Notify when a Customer Complaint has expired for a Notify when a U6 is filed against a registered Notify when a U6 is filed against an individual Notify when a registered individual enters F CE Notify when a registered individual is within - BD Only Notify when a registered individual is within - BD Only Notify when a registered individual enters F Other Notify when Firm account balance is 'Deficie Notify when a filing has failed submission Notify when a registered individual enters F | appdated with a status of ILEG. active Prints with the Firm - BD Only est is T_NOUS stration is Eligible to Purge within the next 30 days with RAPP status est has been Denied. been Revoked. irm Temporary Registration Cancellation Queue registered individual with the firm red for a registered individual with the firm d firm al registered with the firm irm Outstanding Disclosure Letters Notice Queue 30 days of the end of his or her CE Required window 90 days of the end of his or her CE Required window irm CE Inactive Queue - BD Only ent ⁴ ther Firm U4 Filing Notice Queue | | | | | |
| | | Save Reset Dele | | | | | | |

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| To Change/Delete Contact Information | 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. | | | | | | |
|--|---|--|--|--|--|--|--|
| and/or Notification Types | To remove specific firm notification(s) for this contact person, click the box(es) to remove the check mark(s) from the notification types. | | | | | | |
| (Continued) | <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. | | | | | | |
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Steps for Viewing Mass Transfer History:

| Access Mass Transfer Information | 1. To access Ma Maintaining C | ss Transfer in RD Contact Pe | formation, see ste rson Information. | ps 1 or 1a o | n page 9-3 | of Steps for | |
|--|--|--|---|-----------------|---------------|--------------|--|
| View Mass Transfer History | 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: | | | | | | |
| | Name TRAINING FIRM A | CRD # | Name TRAINING FIRM B | CRD # 222 P/ | ARTIAL MERGER | 11/01/1996 | |
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Steps for Viewing Organization Names List:

| Access Organization Names | 1. To access Organization N CRD Contact Person Inforr | lames , see steps 1 or 1a or mation. | n page 9-3 of Ster | os for Maintaining | | | | |
|------------------------------------|--|--|--------------------|--------------------|--|--|--|--|
| View Organization Names List | Click Organization Names from the Navigation Bar or Footer. [Result:] The Organization Names List screen opens. | | | | | | | |
| | Organization CRD#:111 | Organization Names List | | | | | | |
| | Organization SEC#:8-xxxx | Applicant Name: TRAINI | NG FIRM | | | | | |
| | Name | Name Usage | Effective Date | Corrections | | | | |
| | | Applicant Name | 09/09/1975 | N | | | | |
| | | | 09/09/19/5 | | | | | |
| | | | | | | | | |



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