

IARD

Firm Queues for Organizations

Firm Queues provide notifications to firms concerning an action the SEC and/or state(s) have taken on a firm's request for registration withdrawal or registration termination, in addition to updates to branch registration/notice filing status. These queues also notify the firm of any regulatory actions added to the firm's record by the SEC or state(s).

Accessing IARD

Access IARD directly at <u>https://crd.finra.org/iad</u> or through the newly designed FINRA Gateway at <u>https://gateway.finra.org</u> as shown below.

If accessing IARD through FINRA Gateway, select **IARD** in the Quick Links section of your firm's dashboard and then navigate to the IARD Main tab.

*	Dashboard			🌣 Dashboar	d Settings
	Profile Search Individual SSN Search Pre-Registration Branch	¢	Links Quick Links		\$ ⊕
¢	③ Search for an Individual by Name or CRD # who is currently or previously associated with your firm or one of your SFG affiliates.		BD Form	NRF Form	
_	Search Criteria			OTC Transparency Data	
ŝ	Search by Name or CRD#		Compliance Vendor Directory E-Bill	<u>Over-the-Counter Equities Data</u> Peer-2-Peer Compliance Library	
_ 			FINRA.org & Firm Gateway	<u>See More Forms</u> <u>SIE</u>	
:			IARD		

Questions on IARD? Call the IARD Hotline at 240-386-4848 8 A.M. - 8 P.M., ET, Monday through Friday.

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Accessing Firm Queues for Organizations

1. From the **Organization** section of the IARD Site Map, click directly on the link for a specific queue.

1. Click the **Organization** tab on the toolbar.

OR

Firm Notice Queues

Withdrawal or Termination

Regulatory Disclosure

Branch Status

Branch Deficiencies

Queue Totals

IARD TM CRD Main IARD Main Forms Organization E-Bill Reports View Org Firm Queues 2. Select Firm Queues from the submenu.

Firm Notice Queues

- Withdrawal or Termination Displays notices that a regulator has acted on a request for withdrawal or termination, or that a regulator has terminated a registration independent of a Form ADV-W. Notice Filing withdrawals do not appear in this queue.*
- **Regulatory Disclosure** Displays notices that a regulator has filed a Form U6 Disclosure Reporting Page(s) (DRP) regarding a firm. Regulators file Form U6 filings after taking formal action against a firm.*
- **Branch Status** Displays the statuses of your firm's branch office filings. The Branch Status queue is not applicable to SEC registered investment adviser firms.

Firm Notices

- Withdrawal or Termination
- Regulatory Disclosure
- Branch Status
- Branch Deficiencies
- Queue Totals
- **Branch Deficiencies** Displays your firm's branch office deficiencies. The Branch Deficiencies queue is not applicable to SEC-registered investment adviser firms.
- Queue Totals Lists all of the queues with the number of items in each queue.

*Items remain in this queue for 120 calendar days, after which, the queue items are automatically deleted from the system.