

Reference Guide for Transitioning from Classic CRD to FINRA Gateway

This guide was created to help customers from Classic CRD transition to FINRA Gateway.

Classic CRD queue type	Classic CRD queue	FINRA Gateway replacement	Notes
Individual CE queues	<ul style="list-style-type: none"> CE Required CE Satisfied CE Inactive Approaching CE requirement CE 2-Year Termed 	Reports – Individuals By CE Status template or Reports – Individuals with an Upcoming CE Obligation	
Individual registration queues	<ul style="list-style-type: none"> Approved Individual Registrations Purged Individual Registrations Denied Individual Registrations Inactive Registration Due to Missing Fingerprint Card Current Individual Deficiencies 	Reports – Individuals by Registration Status or Reports – Recently Approved Individual Registrations	
	<ul style="list-style-type: none"> Pending Individual Registrations 	Reports – Individuals with pending registrations	
Individual disclosure queues	<ul style="list-style-type: none"> Outstanding Disclosure Letters (firm and individual) 	Requests	
	<ul style="list-style-type: none"> Disclosure Review Notice 	Reports – Individuals with Reportable Disclosures	
Individual exam queues	<ul style="list-style-type: none"> Completed Exams Scheduled Exams 	Reports – Individuals by Exam Status or Reports – Recently Completed Examinations	
Individual filing queues	<ul style="list-style-type: none"> Other Firm U4 Other Firm U5 	Classic CRD queue	<i>Not currently available in FINRA Gateway</i>
Individual fingerprint queues	<ul style="list-style-type: none"> Fingerprint Status Received from FBI Notices of Undelivered Fingerprint Cards 	Classic CRD queue	<i>Not currently available in FINRA Gateway</i>
Individual termination queues	<ul style="list-style-type: none"> Termination Manual Termination Temporary Registration Cancellation U5 U5 Late Fees U5 Required 	Reports – Individuals by Registration Status or Reports – Terminated Individuals By Reason Code	
		Requests	
Branch queues	<ul style="list-style-type: none"> Branch Status Branch Deficiencies 	Branch Roster or Branches by Deficiency status or Active and OSJ Roster	

Firm queues	<ul style="list-style-type: none">• Current Deficiencies• SFG Retirement• Withdrawal or Termination	Classic CRD queue	<i>Not currently available in FINRA Gateway</i>
	<ul style="list-style-type: none">• Disclosure Letters	Requests	