Financial Industry Regulatory Authority

IARD | Reports

About Reports

The Reports feature enables firms to request standard reports generated from data stored in Web CRD and IARD. Requested reports are available online for viewing or downloading. Investment Adviser-only firms can request all reports listed in IARD and certain reports from Web CRD, as investment adviser representative information is stored in Web CRD.

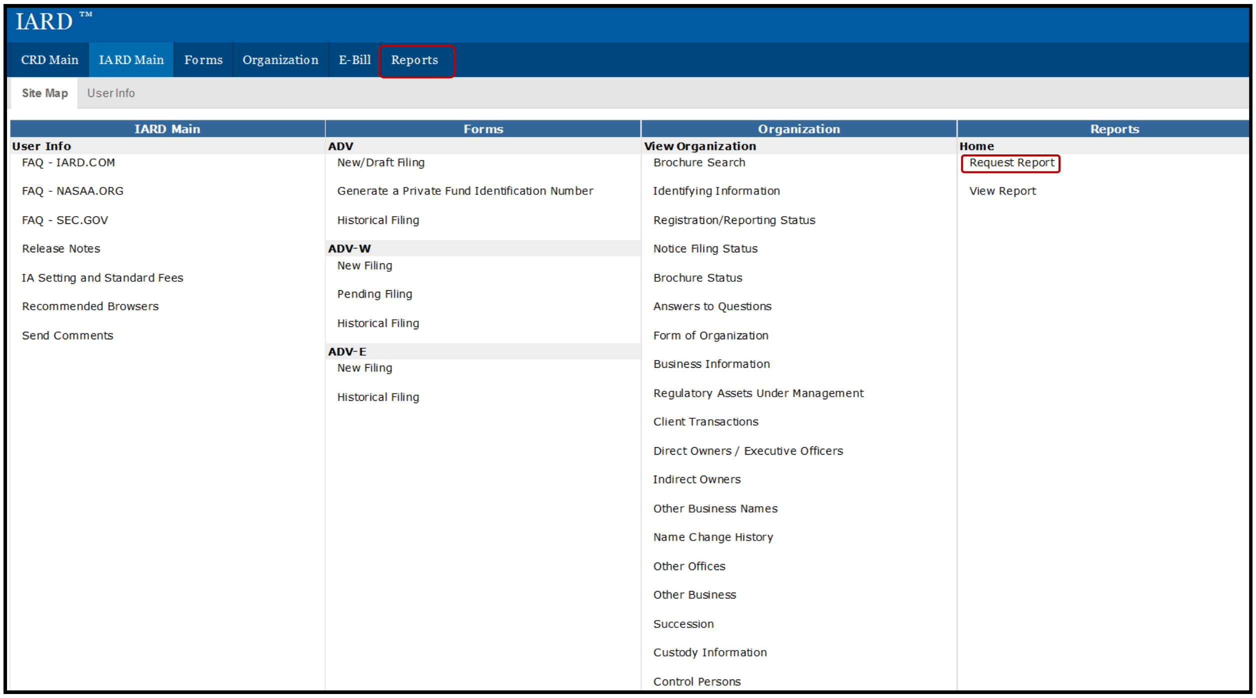
Access IARD at https://crd.finra.org/iad or through the Firm Gateway at https://firms.finra.org.

Content:

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

Request an IARD Report

From the IARD sitemap, select the **Request Report** hyperlink or click on the **Reports** tab to view a list of available IARD reports.



A list of all available Investment Adviser firm reports displays along with a description of the information included in the report. All reports requested by your firm will be available to every Web CRD/IARD user in your firm who entitled to view reports.

Once generated, reports are only available for a certain amount of time, as a firm's information may change due to form filing submissions or registration related changes made by regulators.

The **Days to View** column indicates how long the report will be available once it is generated.

? Printer Friendly

Select a Report to Request

Report Name	Report Description	Days to View
Accounting - Account Activity - Firms	This report provides monthly account activity details for a firm. Financial data is available since the archive date.	35
Accounting - Firm Accounting Download	Download of Firm Accounting Information. Financial data is available since the archive date.	30
Branch - Associated Individuals	This report identifies all associated individuals assigned to a specified branch office. The report includes individual details including disclosure counts and defaults to current individuals. When the start date/end date input parameters are entered, the report will contain associated individuals only within the specified date range (i.e. Associated Individuals History).	7
Branch - Branch Roster	This report enables the requestor to generate a detailed list of branch office information by firm.	7
Branch - Branch Snapshot	This report provides branch office details by firm.	7
Branch - Individuals with Multiple Employment Addresses	This report enables the requestor to generate a detailed list of associated individuals that have been associated with more than one branch office with the same firm.	7

Report Formats

Reports are available in PDF format, downloadable format, or both.
A PDF report keeps its original appearance preserved, and can be distributed for viewing and printing.

The download format is useful if you wish to view the report in a different format or sorted differently. Once you have the download report, you may import the data into a spreadsheet or database so that you can manipulate the data. Generally the report name will contain the word "Download".

To request a report select the **Report Name** hyperlink.

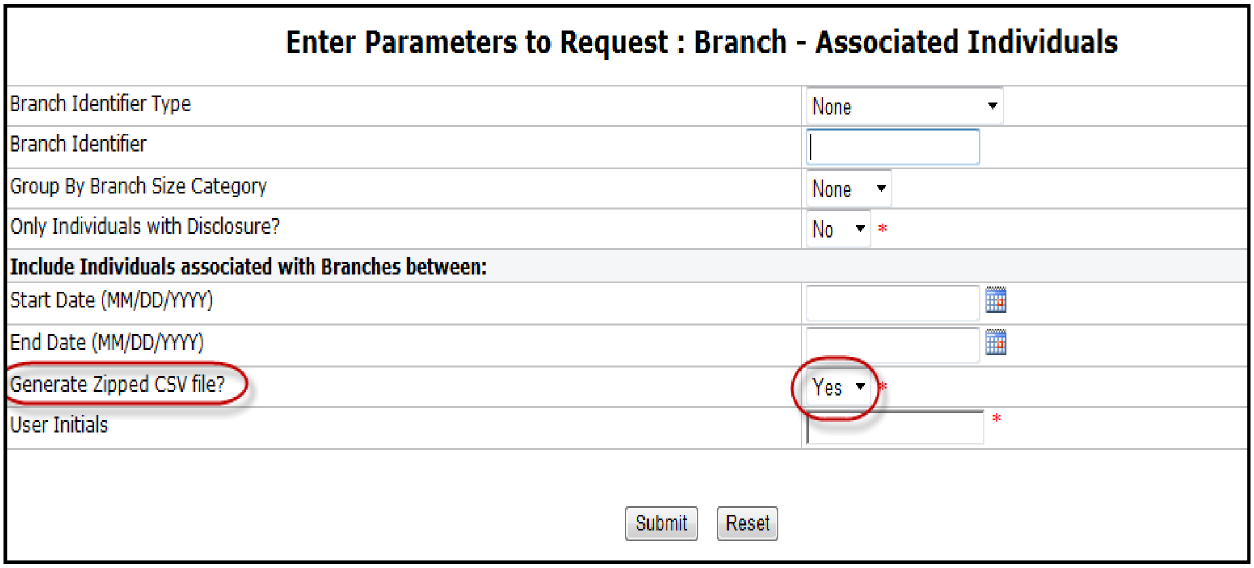
? Printer Friendly

Select a Report to Request

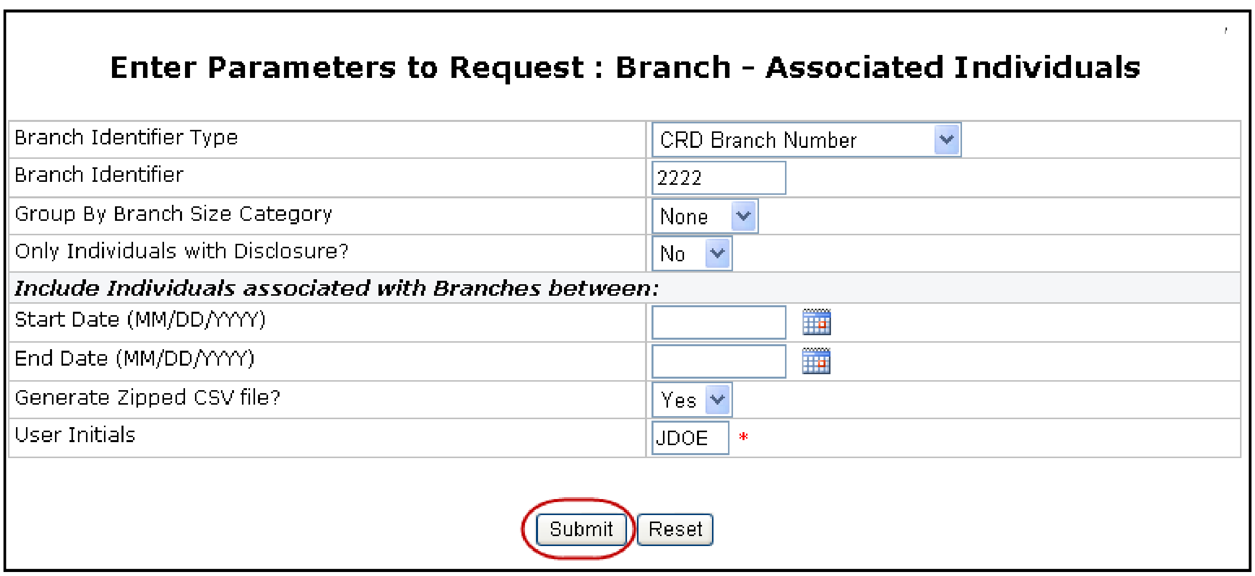
Report Name	Report Description	Days to View
Accounting - Account Activity - Firms	This report provides monthly account activity details for a firm. Financial data is available since the archive date.	35
Accounting - Firm Accounting Download	Download of Firm Accounting Information. Financial data is available since the archive date.	30
Branch - Associated Individuals	This report identifies all associated individuals assigned to a specified branch office. The report includes individual details including disclosure counts and defaults to current individuals. When the start date/end date input parameters are entered, the report will contain associated individuals only within the specified date range (i.e. Associated Individuals History).	7
Branch - Branch Roster	This report enables the requestor to generate a detailed list of branch office information by firm.	7
Branch - Branch Snapshot	This report provides branch office details by firm.	7
Branch - Individuals with Multiple Employment Addresses	This report enables the requestor to generate a detailed list of associated individuals that have been associated with more than one branch office with the same firm.	7
Branch - Supervising OSJ and Regular Branches	This report includes a list of FINRA OSJ or NYSE Regular Branches that have Non-OSJ or Small branches reporting to it.	7
Individual - Approved AG Regs Without FINRA Approval Report and Download	This report provides a list of individuals who are not registered with FINRA but are with another jurisdiction.	60
Individual - Other Business Details Download	This report contains a list of all individuals with an active RR or RA firm association with the specified firm who have reported other business on their latest U4 filing.	7
Individual - Termination by Firm Download	This report provides a list of all individuals for a specified firm that have a Full U5 submitted within the specified time period, or have an employment termination date requested on a Full U5 within the specified time period, or have a U5 Amendment submitted within the specified time period with a change in employment termination date.	7
Individual - Transition Status - Firms	List of all individuals with a "Transition Requested", "Transition Terminated", or a "Not Transitioned - Filed in Error" status within a Firm	7
Individual - Transition Status Download - Firms	List of all individuals with a "Transition Requested", "Transition Terminated", or a "Not Transitioned - Filed in Error" status within a Firm	7
Renewals - Branches Renewal Report	List of all of a firm's branches for renewal purposes.	60
Renewals - Firm Renewal Report and Download	This report provides the renewal status for all individuals at the firm grouped by regulator.	60
Snapshot - IA Firm	Contains current information about an IA firm.	7

Select the appropriate report parameters. Depending on the report requested, the parameters may be in the form of drop down options or free text fields. Required fields are designated with an asterisk.

Many reports are available in a downloadable format or read-only PDF format. The **Generate Zipped CSV file** option allows the requestor to identify the report format. Select Yes from the drop down to request the report in a downloadable format.

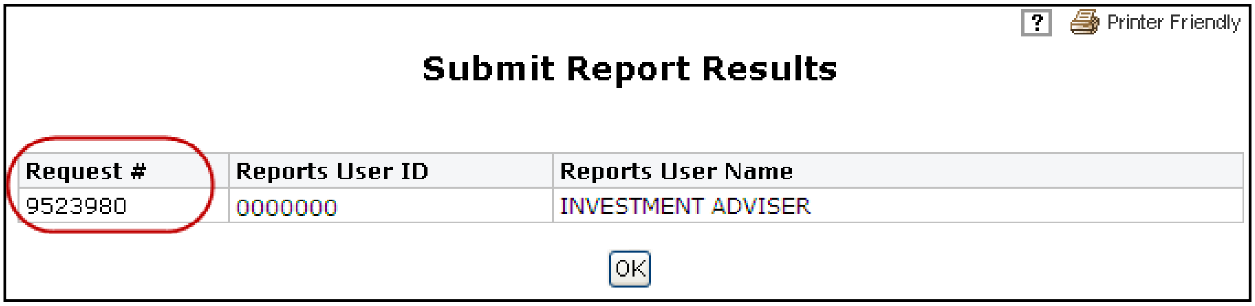


Click the **Submit** button to request the report.



Generally reports will generate within the hour. Availability timeframe may vary depending on the complexity and size of the report.

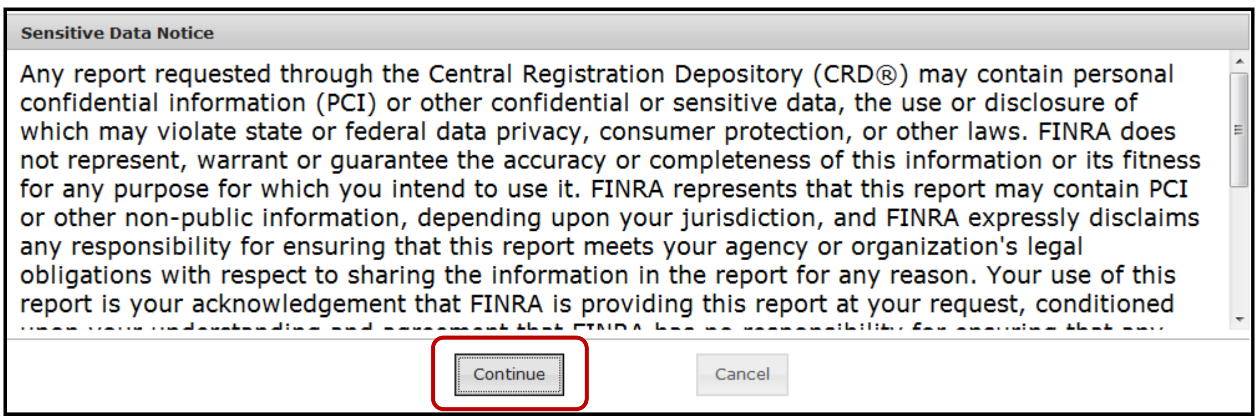
Tip: Make note of the report Request #. If for any reason there is a problem with your report or the report does not generate, call the IARD Hotline, 240-386-4848. Providing the Request # will help in troubleshooting the issue more efficiently.



View an IARD Report

Reports can be sorted by Report Name, Request #, Requested On, and Requested By columns. Click the column header hyperlink to sort reports.

The first time, within a session, that **View Reports** is accessed, a **Sensitive Data Notice** will appear. Read the information and select Continue to proceed. If Cancel is selected, the reports will not be made available for viewing.



View an IARD Report (Continued)

To view a report, click on the report name. The report will open in either PDF format or as a downloadable zip file.

The Status column will display *Completed* once the report is run and is available. *Completed - No Data* will display when there is no data available for the report parameters requested.

View Reports

Records per Page: 25 Total Records: 5

Report Name	Parameters	Request #	Status	Requested On	Available On	Expires On	Size	Requested By
Individual - Approved AG Regs Without FINRA Approval Report and Download		14108102	Completed - No Data	10/27/2014 1:55:26 PM	10/27/2014 1:55:36 PM	12/26/2014 1:55:26 PM		JDOE
Branch - Branch Roster		14108101	Completed	10/27/2014 1:54:33 PM	10/27/2014 1:54:48 PM	11/3/2014 1:54:33 PM	714.1	JDOE
Individual - Active Military Duty Download		14108100	Completed	10/27/2014 1:54:22 PM	10/27/2014 1:54:24 PM	11/3/2014 1:54:22 PM	0.7	JDOE
Roster - Individual - Registered Individual Summary Download		14108099	Completed	10/27/2014 1:54:00 PM	10/27/2014 1:58:45 PM	11/3/2014 1:54:00 PM	544	JDOE
Accounting - Account Activity - Firms		14108098	Completed	10/27/2014 1:53:40 PM	10/27/2014 1:54:21 PM	12/1/2014 1:53:40 PM	72.1	JDOE

Records per Page: 25 Total Records: 5

Download and Import a Report from Web CRD & IARD

Most download reports automatically display in CSV format, and thus need no additional formatting. However, a few reports still are generated as text files. Here are steps for importing a text file into Microsoft Excel:

1. The file that you download from Web CRD or IARD will be a ZIP file. In order to "unzip" the file, you must have a compression program such as WinZip. This program should already be on your computer. If it is not, please see your technology department for more information if you need assistance.
2. Unzip the file and save it to a location on your computer.
3. Open Microsoft Excel.
4. Click **File**, then **Open**. At the bottom of the dialogue box, you will have the option to change the Files of Type:
5. Change this option to All Files.
6. Proceed to open the file that you just extracted.
7. The Text Import Wizard will appear:
8. Step One: click **Delimited**, then **Next**. You may start the import at Row 1.
9. Step Two: check the box for the delimited Other. In the text box next to it, type in a pipe, "|" -- this key is typically found above the Enter key on your keyboard. You may then click **Next**.

(Instructions continued on next page)

Download and Import a Report from Web CRD & IARD (Continued)

Instructions for importing a downloaded report into Microsoft Excel: (Continued)

10. Step Three: the default option should be a General Column Data Format. Click **Finish**.
11. The data will now be arranged into separate columns and rows. Excel allows the user to sort information quickly and easily. In order to sort the information in your report, follow these steps:
12. Click **Ctrl-A** to Select All.
13. Click **Data**, then **Sort**.
14. Select the column that by which you would like to sort the information (Column A, for example), then click **OK.** If the information is not sorted the way that you want, click **Ctrl-Z** to Undo the sort.

Ad Hoc Reports

An **Ad Hoc** report is a report that is not listed on the View Reports screen or a report that is in another format other than the standard arrangement of report items.

To request an Ad Hoc report, send an email request to IARD@finra.org or contact the IARD Hotline at **240-386-4848**. Describe the information that you want included in the report as well as the format to receive the report (e.g., email or CD).

Generally, there is a fee assessed to firms that request Ad Hoc reports. The charge for Ad Hoc reports depends on the complexity and time it takes to generate the report.

Ad Hoc Fee Schedule

Type of Ad Hoc Report	Description	Fee
Existing	Ad Hoc Report already exists and will be rerun for current request.	$240
Basic	New Ad Hoc Report must be written and will take up to 3 hours to complete.	$360
Intermediate	New Ad Hoc Report must be written and will take up to 4 hours to complete.	$480
Advanced	New Ad Hoc Report must be written and will take up to 5 hours to complete.	$600
Complex	New Ad Hoc Report must be written and will take more than 5 hours to complete.	$120/hour