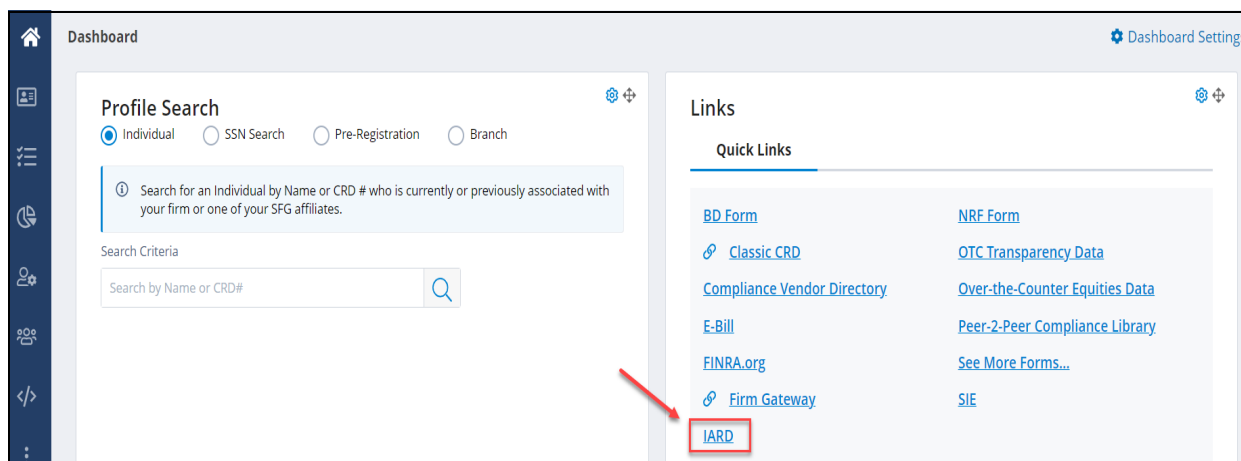


Firm Queues provide notifications to firms concerning an action the SEC and/or state(s) have taken on a firm's request for registration withdrawal or registration termination, in addition to updates to branch registration/notice filing status. These queues also notify the firm of any regulatory actions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

Accessing IARD

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



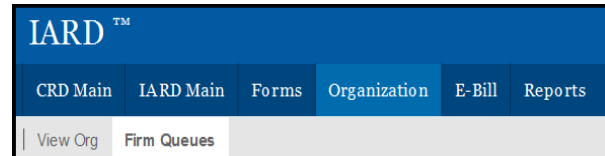
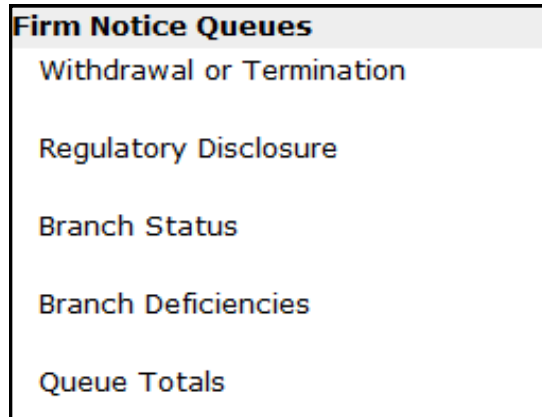
Questions on IARD? Call the IARD Hotline at 240-386-4848
8 A.M. - 8 P.M., ET, Monday through Friday.

Accessing Firm Queues for Organizations

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

OR

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



2. Select **Firm Queues** from the sub-menu.

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.
- **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.

Firm Notices
▪ Withdrawal or Termination
▪ Regulatory Disclosure
▪ Branch Status
▪ Branch Deficiencies
▪ Queue Totals

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