

The **SEC Registration Queues** provide the mechanism in IARD™ for the SEC to receive notifications and make changes in registration status for Investment Adviser firms.

The SEC Registration Queues allow users to review ADV applications submitted by advisers applying for registration and to review notifications of amendments made by registered advisers. SEC Filings will be routed automatically by the IARD system to one of the three Registration Queues for review.

Access IARD at <https://crd.finra.org/iad>.

**Content:**

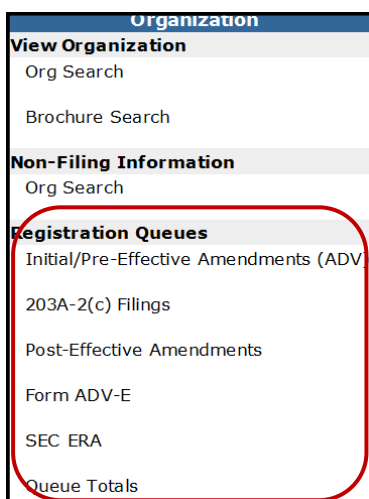
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There are two ways to access SEC Registration Queues:

From the Site Map, click the appropriate **Registration Queue** hyperlink

**OR**

Click the **Organization** Tab from the Tool Bar.



**NOTE:** Select the appropriate section on the Navigation Bar on the left..

**Questions on IARD? Call Regulatory User Support at 240 386-4242**  
9 A.M. - 5 P.M., ET, Monday through Friday

## SEC Registration Queues

Queue	Description
<b>Initial/Pre-Effective Amendments (ADV)</b>	Displays a list of initial registration requests and amendments to registration requests still pending SEC approval. The registration status of advisers in this queue may be Holding, Pending or Postponed. Notices remain in this queue for 120 days.
<b>203A-2(c) Filings</b>	Displays a list of filings for advisers applying under the “120-day rule” who have had their registration status changed to “120-day approval.” Notices are never deleted from this queue.
<b>Post-Effective Amendments</b>	Displays a list of amendments submitted by SEC registered investment advisers. Amendments made by advisers to change control or ownership, disclosure status, name, or succession will appear in this queue. Notices remain in this queue for 30 days.
<b>Form ADV-E</b>	Displays a list of Form ADV-E filings for SEC registered investment advisers.
<b>SEC ERA</b>	Displays a list of SEC ERA registrations. The information provided includes: Filing Date, CRD #, SEC#, Organization Name, ERA Status and the SEC Region.
<b>Queue Totals</b>	Displays a count of items in each queue. For queues with a default date range in the search criteria, the queue totals count includes items within the default date range.

### Outstanding vs. Saved Registration Queues

Within the SEC Registration Queues, there are two sets of Queues: **Outstanding Registration Queues** and **Saved Registration Queues**. New notices enter the **Outstanding Registration Queues**.

You can start working on a queue notice in the **Outstanding Registration Queue** and send the notice to the **Saved Registration Queue** to work on at a later time. This will help you manage your queues by differentiating the new filings from those you are currently reviewing. Notices in the Saved Registration Queue will never be systematically deleted.

## Working the Queues

1. Access **Registration Queues** and select an **Outstanding Registration Queue**
2. Choose your sort and select criteria
  - If searching for specific statuses, click the **With a Status of** radio button in the **Include Registrations** field; or
  - If searching for all statuses, click the **All** radio button in the **Include Registrations** field. IARD defaults to **All**.
  - If searching for specific assigned items, click the **Assigned To** radio button and type the appropriate name in the **Include Assignments** field; or
  - If searching for unassigned items, click the **Unassigned** radio button in the **Include Assignments** field; or
  - If searching for assigned and unassigned items, click the **All** radio button in the **Include Assignments** field. IARD defaults to **All**.
3. Click **Display Queue**
4. Click the gray work button next to the item you wish to review. Upon clicking the gray work button, the notice will open in a separate window.

To remove an item from the queue, place a check mark in the **Select** column next to the item and click the **Remove** button. To remove an entire page of items, place a check mark at the top of the **Select** column - check marks should appear next to all items. Once all items are selected, click the **Remove** button.

A supervisor or manager may assign queue items to other staff by typing a name or initials in the **Assign** field and clicking the **Save Assignments** button.

**NOTE:** The Initial/Pre-Effective Amendments Notice Queue is used for the example.

Outstanding Notice Queues

- Initial/Pre-Effective Amendments (ADV)
- 203A-2(c) Filings
- Post-Effective Amendments
- Form ADV-E
- SEC ERA
- Queue Totals

Saved Notice Queues

- Initial/Pre-Effective Amendments (ADV)
- 203A-2(c) Filings
- Post-Effective Amendments
- Form ADV-E
- SEC ERA
- Queue Totals

### Initial/Pre-Effective Amendments Notice Queue

Hide Search Criteria ⊗

**Include Registrations:**   
  All   
  With a Status of: Holding

**Include Assignments:**   
  All   
  Assigned To:    
  Unassigned

Display Queue

Save Assignments  
 Remove  
 Send to Save

Records per Page: 25    Total Records: 23

Select	Assign	Notice Date	Filing Date	CRD#	SEC#	Organization Name	Filing Type	Registration Status
<input type="checkbox"/>	<input type="text" value=""/> Assign							
<input type="checkbox"/>		02/18/2015	02/18/2015	183325	801-97631	AUTO TEST NAME CHANGE	SEC Initial	Holding
<input type="checkbox"/>		02/11/2015	02/11/2015	183252	801-95628	AUTO TEST NAME CHANGE	SEC Initial	Holding
<input type="checkbox"/>		02/10/2015	02/10/2015	182296	801-94640	AUTO TEST NAME CHANGE	SEC Initial	Holding
<input type="checkbox"/>		02/03/2015	02/03/2015	180251	801-91638	AUTO TEST NAME CHANGE	SEC Initial	Holding

## Working a Notice

- Click the **Filing ID #** to view the Form ADV filing that generated the notice.
- Click **Y** (if applicable) to view disciplinary history for the firm.
- Click a form section hyperlink from **Sections Updated** to go to the specified updated section of the form. Click the check boxes next to the section hyperlink to indicate that you have reviewed that section.
- Only SEC users can view comments entered into the Regulator Comments field. When the notice is deleted, your comments will also disappear.
- Click the **Send to Save** button to remove the notice from the **Outstanding Registration Queue** and to place it into the **Saved Registration Queue**.
- Click the **Save Checks / Comments** button to save the current content of the **Regulator Comments** field and the status of any checkbox in the **Sections Updated** field for the next viewing.
- Click the Reset button to restore the Sections Updated and Regulator Comments field to restore
- Click the **Delete** button to remove an item from the queue.

<b>Initial/Pre-Effective Amendment Notice</b>	
Organization CRD#: <a href="#">11111</a>	Primary Business Name: TRAINING FIRM1
Organization SEC#: 801-11111	Full Legal Name: TRAINING FIRM1
No BD Record	Electronic Filer
<b>Notice Date</b>	10/15/2013
<b>Assigned To</b>	
<b>Form of Organization</b>	Sole Proprietorship
<b>Address</b>	123 MAIN ST CITY, STATE UNITED STATES ZIP CODE
<b>Contact</b>	JOHN DOE
<b>Contact Phone</b>	555-555-5555
<b>Contact Address</b>	123 MAIN ST CITY, STATE UNITED STATES ZIP CODE
<b>Filing ID</b>	
<b>Filing Date</b>	10/15/2013
<b>SEC Statutory Review Period Elapsed Time</b>	0 days
<b>Basis for SEC Registration</b>	has regulatory assets under management of \$25 million or more but less than \$100 million;
<b>Has Disciplinary?</b>	N
<b>New Disciplinary on This Filing?</b>	N
<b>Sections Updated</b>	<input type="checkbox"/> <a href="#">Identifying Information</a> <input type="checkbox"/> <a href="#">SEC Registration/Reporting</a> <input type="checkbox"/> <a href="#">Form of Organization</a> <input type="checkbox"/> <a href="#">Information About Your Advisory Business</a> <input type="checkbox"/> <a href="#">Other Business Activities</a> <input type="checkbox"/> <a href="#">Financial Industry Affiliations</a> <input type="checkbox"/> <a href="#">Participation or Interest in Client Transactions</a> <input type="checkbox"/> <a href="#">Custody</a> <input type="checkbox"/> <a href="#">Control Persons</a> <input type="checkbox"/> <a href="#">Disciplinary Information</a> <input type="checkbox"/> <a href="#">Schedule A</a> <input type="checkbox"/> <a href="#">Schedule B</a> <input type="checkbox"/> <a href="#">ADV Part 2</a>
<b>Date Received</b>	10/15/2013
<b>SEC Registration Status</b>	10/15/2013 - Holding
<b>Regulator Comments</b>	
<b>Name Change Information</b>	
<b>Old Full Legal Name</b>	
<b>New Full Legal Name</b>	
<b>Old Primary Business Name</b>	
<b>New Primary Business Name</b>	
<input type="button" value="Send to Save"/> <input type="button" value="Save Checks / Comments"/> <input type="button" value="Reset"/> <input type="button" value="Delete"/> <input type="button" value="Reg Status"/>	

## Update an Adviser's Registration Status


Upon review of the Form ADV filing, the adviser's registration status can be updated from the queue notice. Click the **Reg Status** button to update the registration status.

<b>Initial/Pre-Effective Amendment Notice</b>	
<b>Organization CRD#:</b> <a href="#">11111</a>	<b>Primary Business Name:</b> TRAINING FIRM1
<b>Organization SEC#:</b> 801-11111	<b>Full Legal Name:</b> TRAINING FIRM1
<b>No BD Record</b>	<b>Electronic Filer</b>
<b>Notice Date</b>	10/15/2013
<b>Assigned To</b>	
<b>Form of Organization</b>	Sole Proprietorship
<b>Address</b>	123 MAIN ST CITY, STATE UNITED STATES ZIP CODE
<b>Contact</b>	JOHN DOE
<b>Contact Phone</b>	555-555-5555
<b>Contact Address</b>	123 MAIN ST CITY, STATE UNITED STATES ZIP CODE
<b>Filing ID</b>	
<b>Filing Date</b>	10/15/2013
<b>SEC Statutory Review Period Elapsed Time</b>	0 days
<b>Basis for SEC Registration</b>	has regulatory assets under management of \$25 million or more but less than \$100 million;
<b>Has Disciplinary?</b>	N
<b>New Disciplinary on This Filing?</b>	N
<b>Sections Updated</b>	<input type="checkbox"/> <a href="#">Identifying Information</a> <input type="checkbox"/> <a href="#">SEC Registration/Reporting</a> <input type="checkbox"/> <a href="#">Form of Organization</a> <input type="checkbox"/> <a href="#">Information About Your Advisory Business</a> <input type="checkbox"/> <a href="#">Other Business Activities</a> <input type="checkbox"/> <a href="#">Financial Industry Affiliations</a> <input type="checkbox"/> <a href="#">Participation or Interest in Client Transactions</a> <input type="checkbox"/> <a href="#">Custody</a> <input type="checkbox"/> <a href="#">Control Persons</a> <input type="checkbox"/> <a href="#">Disciplinary Information</a> <input type="checkbox"/> <a href="#">Schedule A</a> <input type="checkbox"/> <a href="#">Schedule B</a> <input type="checkbox"/> <a href="#">ADV Part 2</a>
<b>Date Received</b>	10/15/2013
<b>SEC Registration Status</b>	10/15/2013 - Holding
<b>Regulator Comments</b>	
<b>Name Change Information</b>	
<b>Old Full Legal Name</b>	
<b>New Full Legal Name</b>	
<b>Old Primary Business Name</b>	
<b>New Primary Business Name</b>	
<input type="button" value="Send to Save"/> <input type="button" value="Save Checks / Comments"/> <input type="button" value="Reset"/> <input type="button" value="Delete"/> <input style="border: 2px solid red;" type="button" value="Reg Status"/>	

The Non-Filing Information area of the system where changes to the registration status can be made.

## Update an Adviser's Registration Status (Continued)

Select a **Status** from the drop down menu, enter the **Effective Date** and select **Save**.


Change

User: jsearcy

IARD™

CRD Main
IARD Main
Forms
Organization
Notifications
Reports

View Org
Non-Filing Info
Registration Queues

Quick Search

Search

### Registration Status

**Organization CRD Number:**

**Organization SEC Number:** 801-

**Primary Business Name:** AUTO TEST NAME CHANGE

**Full Legal Name:** AUTO TEST NAME CHANGE

<b>Status</b>	Holding <span style="float: right;">▼</span>
<b>Effective Date *</b>	02/25/2015 <span style="float: right;">📅</span>
<b>Explanation</b>	<div style="border: 1px solid #ccc; height: 40px;"></div>
<b>SEC Number</b>	801-101628

Save

Reset