

Jurisdiction Queues provide the mechanism for state users to receive notifications that a form filing has been submitted or that specific status changes have occurred for a firm that is registered or notice filed within their jurisdiction. There are two types of Jurisdiction Queues:

1. **Registration Queues** - Allows state users to monitor registration form filing submissions and make registration changes for firms or branches that are registered with their jurisdiction.
2. **Notice Filing Queues** - Allows state users to monitor Notice Filing submissions and to make changes reflected in Notice Filings for firms that have Notice Filed with their jurisdiction.

Finding Jurisdiction Queues

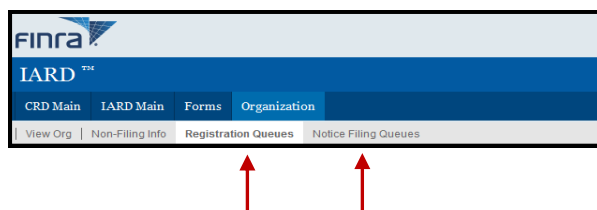
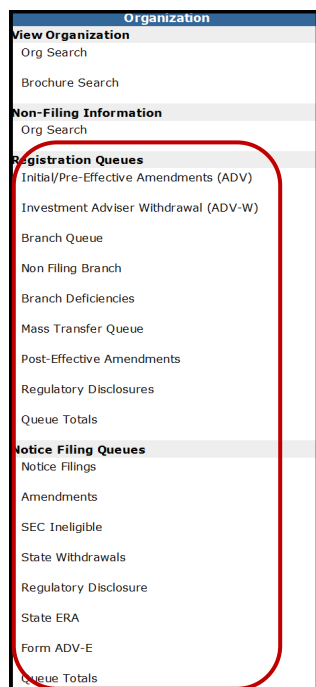
Access IARD at <https://crd.finra.org/iad>.

There are two ways to access your jurisdiction's queue information in IARD.

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

OR

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



2. Click one of the sub-menu options to select **Registration Queues** or **Notice Filing Queues**.

NOTE: The Registration Queues - Branch, Non-Filing Branch, Branch Deficiencies and Mass Transfers can only be accessed through the IARD Site Map. You will be automatically directed to Web CRD®.

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

There are 8 types of Registration Queues.

1. **Initial/Pre-Effective Amendments (ADV)** - Lists all filings for firms that are either requesting initial registration or currently have a pre-effective registration status in a jurisdiction. The pre-effective registration status of firms in this queue are No Status or Pending. Items remain in this queue for up to 120 days.
2. **Investment Adviser Withdrawal (ADV-W)** - Lists investment adviser withdrawal filings (ADV-Ws), both full and partial, for firms in a jurisdiction. The status of these firms is Termination Requested. Items remain in this queue for up to 30 days.
3. **Branch Queue** - Notifies the regulator of Form BR filings submitted for a branch located in their jurisdiction. For SROs, the queue lists all Form BR filings submitted for branches that are registered or noticed filed with the SRO. This queue is located in Web CRD.
4. **Non Filing Branch** - Lists notices of firms and branches whose branch status has changed without a Form BR filing. This queue is located in Web CRD. Notices are automatically deleted after 30 days.
5. **Branch Deficiencies** - Notifies the regulator of deficiencies for each registered branch office. This queue is located in Web CRD.
6. **Mass Transfer Queue** - Lists notices of firms to be involved in a Mass Transfer. The user can change the status of any of the participating firms, as well as, approve/disapprove a transfer. This queue is located in Web CRD. Notices are automatically deleted after 30 days.
7. **Post-Effective Amendments** - Lists filings for firms that have an active registration status in your jurisdiction and who have filed an amendment. Items remain in this queue for up to 30 days.
8. **Regulatory Disclosures** - Lists disclosure filings (Form U6) submitted by a regulator to supplement a firm's record. This queue will only display filings submitted by firms that have an active registration in your jurisdiction. Items remain in this queue for up to 120 days.

Registration Queues
Initial/Pre-Effective Amendments (ADV)
Investment Adviser Withdrawal (ADV-W)
Branch Queue
Non Filing Branch
Branch Deficiencies
Mass Transfer Queue
Post-Effective Amendments
Regulatory Disclosures
Queue Totals

Queue Totals - Lists all of the queues with the number of items in each queue.

There are 7 types of Notice Filing Queues.

1. **Notice Filings** - Displays a list of all filings for SEC-registered firms that have elected to Notice File in your jurisdiction. Items remain in this queue for up to 120 days.
 2. **Amendments** - Displays a list of firms that are currently Notice Filed in your jurisdiction and have filed an amendment to their Form ADV. Items remain in this queue for up to 30 days.
 3. **SEC Ineligible** - Displays a list of Form ADV filings for SEC-registered firms currently Notice Filed in your jurisdiction that have indicated that they are no longer eligible for SEC registration. Items remain in this queue for up to 90 days.
 4. **State Withdrawals** - Displays a list of firms whose Notice Filings are no longer active in your jurisdiction. This can occur as a result of the firm's SEC registration becoming terminated or as a result of renewal processing for firms who have requested removal of their Notice Filings at year-end. Items remain in this queue for up to 90 days.
 5. **Regulatory Disclosure** - Displays a list of disclosure filings (Form U6) submitted by a regulator to supplement a firm's record. This applies to a firm that is currently Notice Filed in your jurisdiction. Items remain in the queue for up to 120 days.
 6. **State ERA** - Displays a list of firms who have filed as a State Exempt Reporting Adviser in your jurisdiction.
 7. **Form ADV-E** - Displays a list of Form ADV-E filings for State registered investment advisers.
- Queue Totals** - Displays a list of all of the queues with the number of items in each queue.

Notice Filing Queues
Notice Filings
Amendments
SEC Ineligible
State Withdrawals
Regulatory Disclosure
State ERA
Form ADV-E
Queue Totals

Working the Queues

In Organization Queues, you can:

- Sort queue notices
- Review notices
- Change the registration status, if applicable
- Send a notice from the Outstanding Notice Queue to the Saved Notice Queue
- Remove items from the queue

Sorting the Notice Filing Queue.

A) You can filter your search to include:

- All Assignments: displays all notices in the queue, regardless of the individual the notice is assigned to
- Only Unassigned
- Starts With: displays notices in the queue assigned to a specific person

Outstanding Notice Queues	Initial/Pre-Effective Amendment Notice Queue	
<ul style="list-style-type: none"> ▪ Initial/Pre-Effective Amendments (ADV) ▪ Investment Adviser Withdrawal (ADV-W) ▪ Post-Effective Amendments ▪ Regulatory Disclosures ▪ Queue Totals 	Hide Search Criteria	
<ul style="list-style-type: none"> ▪ Initial/Pre-Effective Amendments (ADV) ▪ Investment Adviser Withdrawal (ADV-W) ▪ Post-Effective Amendments ▪ Regulatory Disclosures ▪ Queue Totals 	Include Registrations: <input checked="" type="radio"/> All <input type="radio"/> With a Status of: No Status	<input type="radio"/> Only Identifying Information
	Include Filings: <input checked="" type="radio"/> All <input type="radio"/> Only	<input type="radio"/> Assigned To: <input style="width: 100px;" type="text"/> <input type="radio"/> Unassigned
	<input type="button" value="Display Queue"/>	

B) You can sort by specific criteria:

- Assigned To
- Filing Date
- Registration Status
- Organization Name
- Filing Type

NOTE: The Queue type determines the specific search criteria that can be used.

An example of an Initial Pre-Effective Amendment Notice Queue is shown on the following page.

Working a Notice Queue

- You may assign queue items to staff by entering the staff member's name in the Assigned To field and clicking **Save Assignments**.
- Click the arrow in the gray box to display the *Notice Queue Detail* screen.
- Remove specific queue items by clicking the **Remove** button,

Change Password/Profile | Log O
User: Organization:

Forms Organization

Registration Queues Notice Filing Queues

Initial/Pre-Effective Amendment Notice Queue

Hide Search Criteria

Include Registrations: All With a Status of: No Status

Include Filings: All Only Identifying Information

Include Assignments: All Assigned To: Unassigned

Display Queue

Save Assignments Remove Send to Save

Records per Page: 25 Total Records: 4

Select	Assign	Notice Date	Filing Date	CRD#	SEC#	Organization Name	Filing Type	Registration Status	Part 2
<input type="checkbox"/>	<input type="text"/> Assign	01/02/2015	01/02/2015			AUTO TEST NAME CHANGE1	SEC ERA Final, Other-Than-Annual Amendment	Withdrawal Requested	Y

Tips for Working a Notice Detail Screen

- Click **Y** (if applicable) to view disciplinary history for the firm.
- Click a form section hyperlink from the **Section Update** section to go to a specific section of the form.
- Click the check boxes next to the section hyperlink to indicate that you have reviewed that section.
- Click the **Filing ID #** to view the form filing.
- Click **Send to Save** to remove the notice from the **Outstanding Registration Queue** and to place it into the **Saved Registration Queue**.
- Click **Save Checks/Comments** to save the current content of **Regulator Comments** and the status of any check set by the user in the "Sections Updated" section for the next viewing.
- Click **Delete** to remove this item from the queue.
- Click **Reg Status** to open a second browser with the Registration Status of the firm, which can be updated.

An example of an *Initial Pre-Effective Amendment Notice Detail* screen is shown below.

? Printer Friendly

Initial/Pre-Effective Amendment Notice Detail

Organization CRD#: 11111	Primary Business Name: TRAINING FIRM																
Organization SEC#:	Full Legal Name: TRAINING FIRM																
No BD Record	Electronic Filer																
Notice Date	10/03/2013																
Assigned To																	
Form of Organization	Limited Liability Company																
Address	123 MAIN ST CITY, STATE UNITED STATES ZIP CODE																
Contact	JOHN DOE																
Contact Phone	(555) 555-5555																
Contact Address	123 MAIN ST CITY, STATE UNITED STATES ZIP CODE																
Filing ID	756903																
Filing Date	10/03/2013																
SEC Statutory Review Period Elapsed Time	12 days																
Basis for SEC Registration																	
Has Disciplinary?	N																
New Disciplinary on This Filing?	N																
Sections Updated	<input type="checkbox"/> Identifying Information <input type="checkbox"/> Form of Organization <input type="checkbox"/> Information About Your Advisory Business <input type="checkbox"/> Other Business Activities <input type="checkbox"/> Financial Industry Affiliations <input type="checkbox"/> Participation or Interest in Client Transactions <input type="checkbox"/> Custody <input type="checkbox"/> Control Persons <input type="checkbox"/> Disciplinary Information <input type="checkbox"/> Schedule A <input type="checkbox"/> State Registration <input type="checkbox"/> ADV Part 2 <input type="checkbox"/> Part 1B Disclosure Questions <input type="checkbox"/> Part 1B Business Information																
<div style="border: 1px solid blue; padding: 5px; display: inline-block;"> Click the work button to view ADV Part II Brochure Details. </div>	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 5%;"></th> <th style="width: 10%;"></th> <th style="width: 10%;">ADV2 B</th> <th style="width: 25%;">Brochure Supplement for one or more supervised persons (state-registered advisers only)</th> <th style="width: 10%;"></th> <th style="width: 10%;"></th> <th style="width: 10%;"></th> <th style="width: 10%;"></th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">></td> <td style="text-align: center;">104914</td> <td style="text-align: center;">TRAINING ADV2A</td> <td style="text-align: center;">Individuals, High net worth individuals</td> <td style="text-align: center;">New</td> <td style="text-align: center;">No Status</td> <td style="text-align: center;">10/03/2013</td> <td style="text-align: center;">1</td> </tr> </tbody> </table>			ADV2 B	Brochure Supplement for one or more supervised persons (state-registered advisers only)					>	104914	TRAINING ADV2A	Individuals, High net worth individuals	New	No Status	10/03/2013	1
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>	104914	TRAINING ADV2A	Individuals, High net worth individuals	New	No Status	10/03/2013	1										
State Notice Status	- :																
State Registration Status	10/03/2013 - No Status																
SEC Registration Status	-																
Regulator Comments																	

Send to Save Save Checks / Comments Reset Delete Reg Status