

FPRD

Statutory Disqualification Events

Access the FINRA Firm Gateway at: https://firms.finra.org

Enter your User ID, read the Terms and Conditions and click I Agree.

NOTES:

- If you do not know your user ID or password, click the Forgot User ID or Password hyperlink.
 Select the appropriate User ID or Password radio button, enter the required information and click
 Submit. An email with your User ID or a temporary password will be sent to you.
- Clicking I Disagree prevents you from accessing the application.
- To improve application security, FINRA has shortened the time before users are automatically logged off due to inactivity to 30 minutes. Please make sure to save your work frequently to avoid lost work due to a system timeout.

FINCA
Welcome to Firm Gateway
To improve application security, FINRA has shortened the time before users are automatically logged off due to inactivity to 30 minutes. Please make sure to save your work frequently to avoid lost work due to a system timeout.
User ID Forgot User ID or Password?
Learn more about the FINRA Entitlement Program
This Privacy Statement relates to the online information collection and use practices of this FINRA Entitlement Program and embedded forms and applications (this "Web site"). This Privacy Statement complements the full FINRA Privacy Policy and may be updated from time to time. Updates to FINRA's privacy policies will be posted here and/or in the full FINRA Privacy Policy, as appropriate.
To enable you to be employed in certain positions or participate in certain matters or opportunities in the securities industry in the United States, FINRA collects certain personal data from you for identity verification and regulatory purposes. Personal information may include your name, address, phone number, fingerprints, employment history and any other information that identifies or can be used to identify the person to whom such information pertains. FINRA may use your personal information submitted via this Web site for any regulatory purpose.
This Web site is operated in the United States. If you are located outside of the United States, please be aware that any information you provide to us will be transferred to the U.S. and subject to U.S. laws. By using our Web site, participating in any of our services and/or providing us with your information, you consent to this transfer of data. Additionally, by using our Web site, participating in any of our services and/or providing us with your information, you consent to this transfer of data. Additionally, by using our Web site, participating in any of our services and/or providing us with your information you also consent to the collection, transfer, manipulation, storage, disclosure and other uses of your information as described in this Privacy Statement and the FINRA Privacy Policy. If you do not consent to this Privacy Statement or our FINRA Privacy Policy, please do not use this Web site.
By clicking the button below, I certify that I have read and understand all of the terms of the FINRA Entitlement Program Agreement and Terms of Use and intend to form a binding agreement with FINRA on those terms without modification or amendment thereto. If I am accepting this agreement on behalf of an organization, I certify that I have the authority of that organization to enter into this agreement.
If you are experiencing any difficulties logging into the system, please contact your Administrator for assistance. If you are a Super Account Administrator, contact the Gateway Call Center at 301-869-6699 for Assistance.
Do NOT bookmark this page or add it to your favorites. If you would like to create a bookmark or add this application to your favorites, please create the bookmark or add it to your favorites after successfully logging in.
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Questions on FPRD? Call the FINRA Gateway Call Center at 301-590-6500 8 AM through 8 PM, ET, Monday-Friday.

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Enter your **Password** and click **Continue**.

NOTES:

- If you do not know your Password, click the **Forgot User ID Password** hyperlink. Enter your User ID, email address and click **Submit**. An email with a temporary password will be sent to you.
- Periodically you will be presented with a security question that you have preselected and provided responses. When your security question is presented, enter the appropriate answer to the question, and click **Continue**.

FINCA	
Welcome to Firm Gateway	
User ID: Radtraining2 Password Continue	Forgot User ID or Password?

Select the FPRD tab.

New Memb	er Application	Forms & Filings	FPRD	User Administration	
New Ap	plicants				Do You Have a Question?
In this section Before apply portals. We Rules and th	on of Funding P ying to become recommend tha ne SEC's Regul	ortal Gateway, you a funding portal me it you read the inforr ation Crowdfunding	will find res mber, it is i nation pres	nurces and form filings to become a funding portal member of FINRA. nportant that you fully understand all of FINRA's requirements for fun- ented on FINRA.org thoroughly, as well as the FINRA Funding Portal	General Inquiries 301-869-6699 Regulatory liaison data not available. For a listing of districts click here
Below you v	vill find how the	funding portal mem	bership pro	cess works and how to prepare your funding portal application.	
	How to Ap To become FINRA, you Funding Por Form (Form application p	ply a funding portal mer must submit the ele tal New Member Ap FP-NMA). Learn m process.	mber of ctronic oplication ore about t	e After You Apply After receiving a complete application, FINRA will review and process it within 60 calendar days. Learn how the process works, including learning about the standards for admission and the purpose of the membership interview.	of
₽ 	Pay Applic To cover all deposit the t	ation Fees your application fee unds into a FINRA I arn how to set up ar	, you must Flex-Fundir d fund a	g Manage User Accounts Your funding portal's Super Account Administrator (SAA) is responsible for creating and maintaining account	

Select Statutory Disqualification Events from the Navigation Bar.



Select Add to enter Statutory Disqualification Events for either the Organization or for an Individual.

FPRD [™]														
FPRD Main														
										👔 🎒 Printer Friendly				
Funding Portal • Organization Information • View Fingerprint Cards • Statutory Disqualification Events • View Accounting Info	Organization ID Number: 111111 Organization Name: FPRD Firm1 Organization SEC Number: 7-11111 Organization Name: FPRD Firm1 Indicate below whether this Funding Portal or any persons associated with this Funding Portal are subject to statutory disqualification as described in SEA Section 3(a)(39) Ist													
	Organization Statutory Disqua	rganization Statutory Disqualification Events** o Unexpired Organization Statutory Disqualification Events Reported.												
	Individual Statutory Disqualif	ndividual Statutory Disqualification Events**												
	No Unexpired Individual Statutory Disqualification Events Reported.													
	FPRD, NONMEMBER	1234567	30 310103	No	Add		Event Date	Kole/ Hue	Event Details	LApried Date				
	Indvl, FPRD	9876543		No	Add									
	Indv/, FPRD 9876543 No Add Add Add ** For any criminal matter please provide the following court documents: criminal complaint, indictment, or information, plea, plea agreement, judgment and final disposition. ** ** For any regulatory matter, please submit a copy of the allegations and findings / final order issued by the agency. The requested documentation can be e-mailed to: FundingPortalDocuments@finra.org or mailed to: FINRA Registration and Disclosure Department Attention: Disclosure Review (FP) 9509 Key West Avenue - 3rd Floor Poscoville, MD 20850 Please include the Firm name, Firm Org ID Number, Associated Person's name and CRD Number with your submission. In the event your firm has terminated the individual, please submit a signed letter indicating the date of termination. Questions can be directed to the Disclosure Review staff at (240) 386-4180.													

NOTE: If a Statutory Disclosure Event is already entered for the Organization or Individual, and you want to update that existing event, click the Edit button.

Enter the appropriate information and select **Save**.

Organization Statuto	ory Disqualification Event		×
Add a statutory disqu Event Date	ualification event as described	in Securities Exchange Act ("SEA") Section 3(a)(39).	
(MM/DD/YYYY):			
Event Details:		*	
Date when this even	t has expired.		
(MM/DD/YYYY):			
	Save	Save & Add Another	

Add a statutory disqualing		nues exchange Act (SEA) Sec	uon 3(a)(39).
Event Date			
Event Details:			
Event Details.			A
			v
Role/Title:			
Date when this event has	expired.		
Expiration Date			

NOTE: If there are additional Events that you want to enter, select Save & Add Another.

The following is an example of how the screen will look once Statutory Disqualification Events have been entered.

									Account Management Change Decement/0			
FINCA									User: FPRD203594 Organiz	zation: 203594		
FDDD ™												
FFKD												
FPRD Main												
										🝸 🏼 🚔 Printer Friendly		
Funding Portal								St	atutory Disqualification Events			
Organization Information	Organization I	D Number	: <u>111111</u>						Organization Name: FPRD Firm1			
View Eingerprint Cards	Organization SEC Number: 7-11111											
Statutory	Indicate below whether this Funding Portal or any persons associated with this Funding Portal are subject to statutory disqualification as described in Securities Exchange Act ("SEA") Section 3(a)(39).											
Disqualification Events	Neither this Funding Portal nor any of its associated persons are subject to a statutory disqualification as described in SEA Section 3(a)(39)											
 View Accounting Info 	Openalization Statemen Disource Statement S											
	Organization Statutory Disqualification Events**											
	Edit Event ID	Event Da	te Event D	etails						Expired Date		
	Edit 100002	09/01/20	13 On 09/0 Securiti of \$15,0	01/2013 t es Exchar 000,000,	he U.S. S Ige Act. T and be si	ecurities E he firm w ubject to c	exchange Com as censured, o vertain underta	mission enter rdered to cea kings.	red an Order, Administrative Proceeding File No. 3-99999, in which the firm was found to have violated Section 9(a) of the ase and desist, pay disgorgement of \$4,000,332.60 with prejudgment interest in the amount of \$550,568.77, pay a civil fine			
									Add			
	Individual Sta	tutory Dis	qualificatio	n Events	**							
	No Unexpired I	Individual S	Statutory Di	squalifica	tion Ever	ts Report	ed.					
	Name	<u>CRD</u> Number	SD Status	Inactive	Add E	dit <u>Even</u> ID	t Event Date	e Role/Title	Event Details	Expired Date		
	FPRD, 11111 NONMEMBER	1111117 Requi	7 Requires N Review	es No /	Add							
						Edit 1000	00 09/01/201	5 Sales Manager	Plead guilty on September 1, 2015 of felony Driving While Intoxicated, in violation of New York Vehicle and Traffic Law 1192.3, by the County Court, Westchester County, New York, Case No. 15CR111.	09/15/2015		
						Edit 1000	03 11/21/201	4 Sales Manager	On November 21, 2014 the California Department of Insurance issued an Order of Denial of Application for Unrestricted License and for Issuance of Restricted License with Monetary Penalty and Examination Fee, File No. 9999-AP, against the respondent in which he was issued a restricted license and ordered to pay a monetary penalty and examination fee totaling \$884. The Order included findings that the respondent knowingly or willfull made a misstatement in an application to the Commissioner in violation of Section 1668(h) of the California Insurance Code.	09/15/2015		
						Edit 1000	01 08/31/200	5 Sales Manager	Convicted on August 31, 2005 of misdemeanor False Report to Law Enforcement, in violation of Va. Code Ann. § 18.2-461, in the Circuit Court, Rockbridge County, Virginia, Case No. CR5555.	09/01/2015		
	Indvl, FPRD	11111118		No	Add							
	** For any cri ** For any reg The requested or mailed to: FINRA Registration a	minal matt gulatory m document	ter please platter, pleas tation can b	provide ti se submit pe e-mail ment	he follow t a copy o ed to: <u>Fu</u>	ring court of the alle ndingPort	documents: c gations and fi talDocuments	riminal comp ndings / fina @finra.org	plaint, indictment, or information, plea, plea agreement, judgment and final disposition. al order issued by the agency.			
	Attention: Disc 9509 Key We Rockville, MD	closure Re st Avenue 20850	view (FP) -3rd Floor	ment								
	Please include	the Firm o	name, Firm as terminat	Org ID f	łumber, dividual,	Associate please su	d Person's na Ibmit a signed	me and CRD letter indica	Number with your submission. ating the date of termination. Questions can be directed to the Disclosure Review staff at (240) 386-4180.			
							2					
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							-					

There are instances when firms need to remove a disqualification when either the event is no longer a disqualification, or an event was created in error.

Select the **Event ID hyperlink** of the event that is to be removed.

NOTES:

- Events can be removed for the Organization or for Individuals. The following is an example of removing an event for an individual.
- SD Events cannot be deleted from the system.

	Statutory Disqualification Events											
Organization ID	Number: <u>1111</u>	<u>1</u>	Org	janizati	on Name	: Test Firm 1						
Organization SEC	Number: 7-1	123										
Indicate below whether this Funding Portal or any persons associated with this Funding Portal are subject to statutory disqualification as described in Securities Exchange Act ("SEA") Section 3(a)(39). Neither this Funding Portal nor any of its associated persons are subject to a statutory disqualification as described in SEA Section 3(a)(39)												
Organization Statutory Disqualification Events**												
			A	dd								
Individual Statut	to <mark>ry Disqual</mark> if	fication Events**										
Name	CRD Number	<u>SD Status</u>	<u>Inactive</u>	Add	Event ID	Event Date	Role/Title	Event Details	Expired Date			
Doe, John	'1111111	Timed Suspension/Bar	No	Add	<u>100024</u>	01/01/2016	rep	training				
Doe, Jane	111112		No	Add								

Enter the Expiration Date for the event and select Save.

Add/Edit a statutory d Individual:	squalification event as described in Securities Exchange A Doe, John (111111)	ct ("SEA") Section 3(a)(39).
Event Date (MM/DD/YYYY):	01/01/2016	
Event Details:	training	*
Role/Title:	rep	
Date when this event	nas expired.	
Expiration Date (MM/DD/YYYY):		

The following is an example of how the screen will look once the Expired Date has been entered.

Statutory Disqualification Events										
Organization ID N	umber: <u>1111</u>	<u>1</u>	Org	janizati	on Name	: Test Firm 1				
Organization SEC	Number: 7-1	.23								
Indicate below whether this Funding Portal or any persons associated with this Funding Portal are subject to statutory disqualification as described in Securities Exchange Act ("SEA") Section 3(a)(39).										
Neither this Funding Portal nor any of its associated persons are subject to a statutory disqualification as described in SEA Section 3(a)(39)										
Organization State	utory Disqu	alification Events*	*							
No Unexpired Organization Statutory Disqualification Events Reported.										
Individual Statuto	ry Disqualif	ication Events**								
Name	<u>CRD</u> <u>Number</u>	<u>SD Status</u>	<u>Inactive</u>	Add	Event ID	Event Date	Role/Title	Event Details	Expired Date	
Doe, John	'1111111	Timed Suspension/Bar	No	Add	<u>100024</u>	01/01/2016	rep	training	01/15/2016	
Doe, Jane	111112		No	Add						