

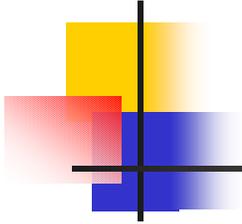
IARD Main	Forms	Organization	Accounting
Info	ADV	View Organization	Daily Account Information
Broadcast Messages	New Filing	Identifying Information	Processed Transactions
Terms And Conditions	Pending Filing	Registration Status	Funds Deficient Transactions
Q	Historical Filing	Notice Filing Status	Account Activity Summary
Release Notes	ADV-W	Answers to Questions	Deposit Detail
Recommended Hardware/Software	New Filing	Form of Organization	Transfer Detail
Send Message to WebIARD	Pending Filing	Business Information	Transaction Detail
Admin Tools	Historical Filing	Assets Under Management	Bill Line Search
Change Password		Client Transactions	Renewal Account Information
		Direct Owners / Executive Officers	Account Activity Summary
		Indirect Owners	Deposit Detail
		Other Business Names	Transfer Detail
		Name Change History	Transaction Detail
		Other Offices	Bill Line Search
		Other Business	
		Succession	
		Custody Information	
		Control Persons	
		Industry Affiliations	
		Locations of Books and Records	
		Disclosures	
		Filing History	
		Small Businesses	





Daily Account Information screen:

Daily Account Queues	Daily Organization Information
Processed Transactions	CRD Number : 120527
Funds Deficient Transactions	Organization Name: INVESTMENT ADVISER TRAINING FIRM
Daily Account Information	Account Status: Sufficient
Account Activity Summary	Balance: \$-40000.00
Deposit Detail	Balance As Of: 4/11/2002 2:06:40 PM
Transfer Detail	REMINDER: Your firm's Initial Daily Balance MUST be a CREDIT Balance (a negative amount) in order for registration transactions to be processed. (Account Status: SUFFICIENT).
Transaction Detail	
Bill Line Search	

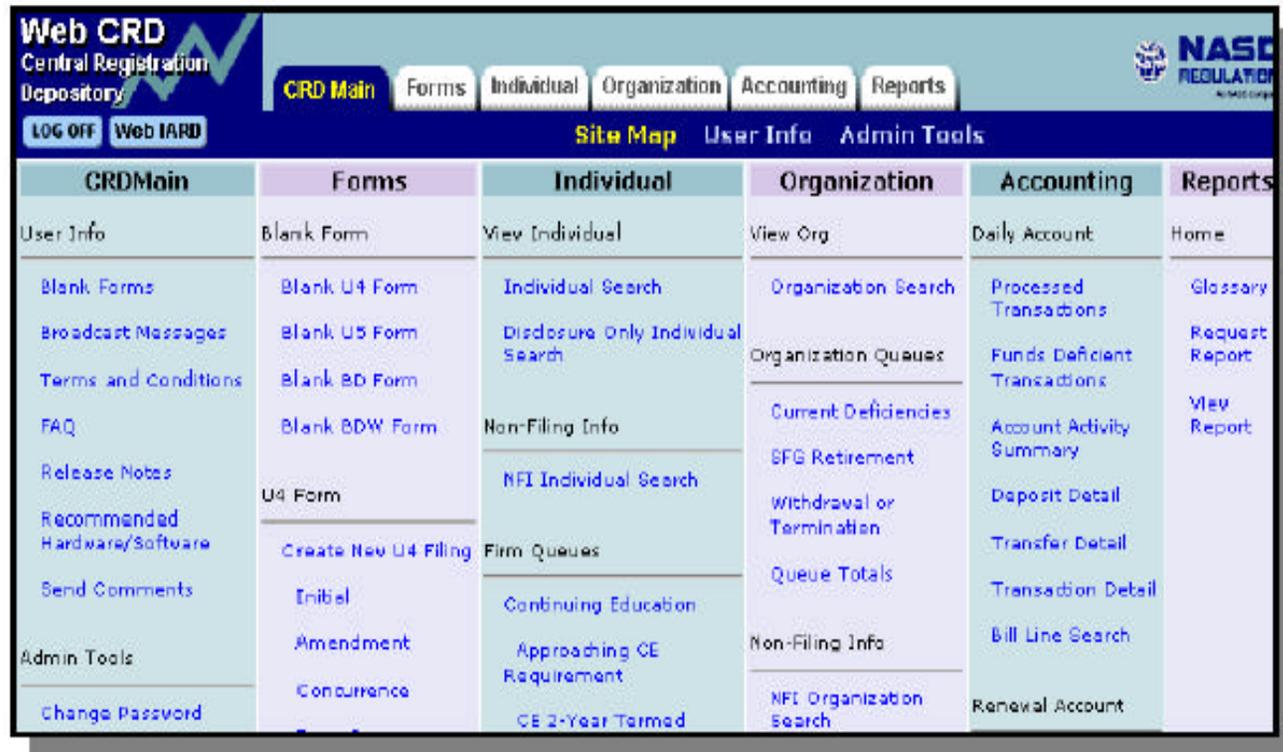


If there is a credit balance (-) and a “Sufficient” status, you may proceed with the transitioning of your RAs. To transition your RAs, you will need to be on the CRD site map. Click the “Web CRD” button, on the top left corner of the IARD site map.

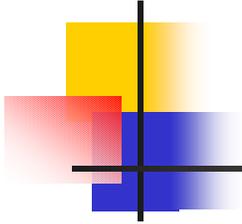
1. From any screen in IARD, click the **Web CRD** button in the top left hand corner.



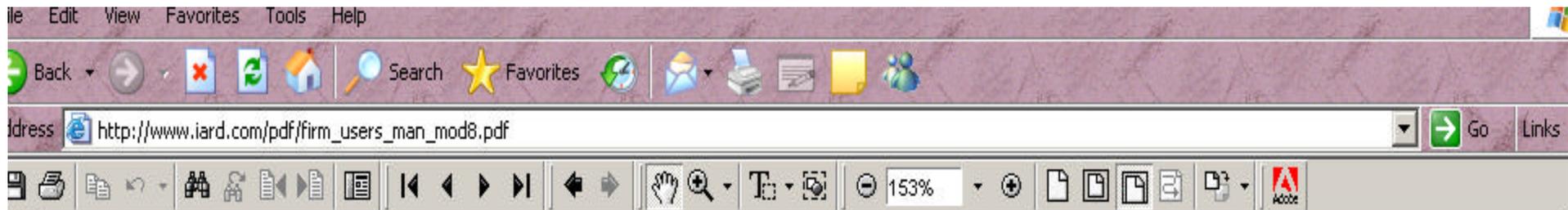
[Result:] The *CRD Site Map* opens.



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From the CRD site map, click *IARD
Transition Registration Search* link
under Non-Filing Info under “Individual”.



Steps for Creating a Transition Filing for an Existing Investment Adviser Representative (RA):

Access IARD Transition Registration

There are two ways to access IARD Transition Registration:

1. From the CRD Site Map, click the **IARD Transition Registration Search** hyperlink.



NOTE: To access CRD from IARD, see Steps for Accessing CRD from IARD, page 20.

[Result:] The *IARD Transition Registration Search Criteria* screen opens.

Transition Registration Search Criteria

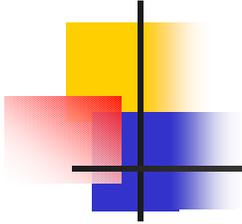
Search by CRD Number
CRD Number:

Search by Social Security Number
SSN (xxx-xx-xxxx):

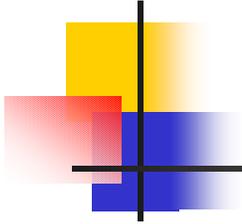
Search by Name
Last Name: First Name:
Middle Name: Perform "sounds-like" search:

Filter by Other Information
Birthdate (mm/dd/yyyy):

Select Number of Rows
Number of Rows per Page:



If the individual has a CRD number, type the individual's CRD number and click the "Search" button. If the person does not have a CRD number, type the person's last name, first name and/or SSN.



If the individual's name appears on the *Transition Registration Search Results* screen, click on the Name link. If it does not appear, you will need to create a New Individual. See the following screen.

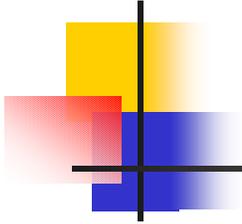
Transition Registration Search

2. Type a combination or one of the following: individual's **CRD Number**, **Last Name**, and/or **Social Security Number**. For a more specific search, type a **First Name**, **Middle Name**, **Birth Date** and/or **Number of Rows** per page.
3. Click the **Search** button.

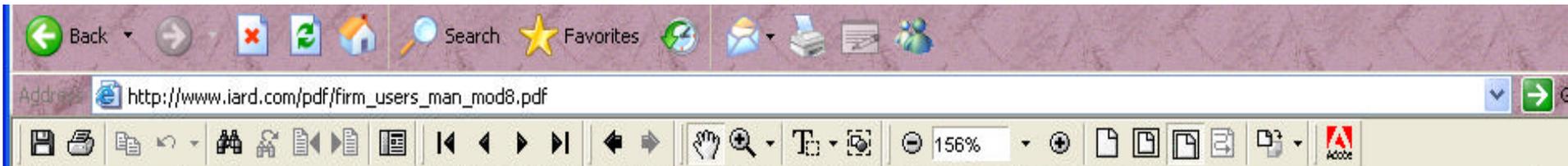
[Result:] The *Transition Registration Search Results* screen opens providing a list of names that you can page through to find the individual.

Transition Registration Search Results			
<< Previous Next >> Rows 1 to 3			
Name	CRD	Birth Date	
AFANDE, K	4475489	04/01/1968	
AFANDE, JIP	4475579	01/01/1944	
AFANDE, KONRAD	4475636	02/09/1900	
<< Previous Next >> Rows 1 to 3			
Create a New Individual			
SSN:	<input type="text"/>	SSN (again):	<input type="text"/>
Last Name:	afande	First Name:	k
Middle Name:	<input type="text"/>	Suffix:	<input type="text"/>
Birth Date:	<input type="text"/>	(MM/DD/YYYY)	
<input type="button" value="Create New ID"/>			

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Type in the Employment Start Date, Office of Employment Address (physical address and check the jurisdictions in which the individual is licensed as an RA on the *NFI Transition Registration Search* screen. You may omit the Billing Code as this applies only to BD firms.



Create a New Individual (Continued)

[Result:] The NFI Transition Registration Request screen opens.

Submit Request

Employment Information

Individual SSN#: 555-99-8888

Employment Start Date:

Firm Billing Code:

Office of Employment Address:

Street 1:

Street 2:

City:

State:

Country:

Postal Code:

Private Residence Check Box: If the Office of Employment address is a private residence, check this box.

JURISDICTION	RA	JURISDICTION	RA	JURISDICTION	RA	JURISDICTION	RA
Alabama	<input type="checkbox"/>	Hawaii	<input type="checkbox"/>	Montana	<input type="checkbox"/>	Puerto Rico	<input type="checkbox"/>
Alaska	<input type="checkbox"/>	Idaho	<input type="checkbox"/>	Nebraska	<input type="checkbox"/>	Rhode Island	<input type="checkbox"/>
Arizona	<input type="checkbox"/>	Illinois	<input type="checkbox"/>	Nevada	<input type="checkbox"/>	South Carolina	<input type="checkbox"/>
Arkansas	<input type="checkbox"/>	Indiana	<input type="checkbox"/>	New Hampshire	<input type="checkbox"/>	South Dakota	<input type="checkbox"/>
California	<input type="checkbox"/>	Iowa	<input type="checkbox"/>	New Mexico	<input type="checkbox"/>	Texas	<input type="checkbox"/>
Colorado	<input type="checkbox"/>	Kansas	<input type="checkbox"/>	North Carolina	<input type="checkbox"/>	Utah	<input type="checkbox"/>
Connecticut	<input type="checkbox"/>	Kentucky	<input type="checkbox"/>	North Dakota	<input type="checkbox"/>	Vermont	<input type="checkbox"/>
Delaware	<input type="checkbox"/>	Maryland	<input type="checkbox"/>	Ohio	<input type="checkbox"/>	Virginia	<input type="checkbox"/>
District of Columbia	<input type="checkbox"/>	Massachusetts	<input type="checkbox"/>	Oklahoma	<input type="checkbox"/>	Washington	<input type="checkbox"/>
Florida	<input type="checkbox"/>	Mississippi	<input type="checkbox"/>	Oregon	<input type="checkbox"/>	West Virginia	<input type="checkbox"/>
Guam	<input type="checkbox"/>	Missouri	<input type="checkbox"/>	Pennsylvania	<input type="checkbox"/>	Wisconsin	<input type="checkbox"/>

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NOTE: If the individual you are transitioning is also a Broker/Dealer Agent with your firm, only