



FINRA Gateway Reports Firm Data Definitions

Version 0.2

11-05-20

DATE	AUTHOR	VERSION	DESCRIPTION
10-04-19	Sarah Rose	0.1	Initial draft.
11-05-20	Sarah Rose	0.2	Changed name from "FINRA Gateway Reports" to "FINRA Gateway Reports."

About the Data Dictionary

- Referring to the table below, the rows of data shown on a white background are available to add to the main table within FINRA Gateway Reports. The rows of data shown with a blue background are hierarchical and will appear in a subtable. The rows of data that are blue and white indicate the data point you will click on to expand the subtable.
- When you want to export data to a CSV file, you can include the main table (white rows) plus one subtable (blue rows). The export will flatten the hierarchy and present all data points in a single row.
- Sample values are listed for each field. If you want to know all the values available for a given field, you can use the Group tool in FINRA Gateway Reports and group by the given field. The grouped view will show you all values for that field available within your data at that point in time.
- If there is no data for a given field, it may show as "Missing" or "Other."

Data Field	Data Description	Sample Value(s)
CRD ID	The firm CRD ID	1344
Organization Applicant Name	The name of the organization.	Firm ABC
Organization SEC 8#	The organization SEC 8#	8-35000
Firm Type Code	The type of firm, such as broker-dealer (BD), investment advisor (IA), or Joint.	Joint
Organization FINRA District	The FINRA district for the organization.	10-New York
FIRM REGISTRATIONS	The number of firm registrations	10
Regulator Name	The regulator with which the organization is registered.	California
Registration Type	The type of registration, such as BD or IA.	BD
Registration Status Name	The registration status, such as approved, terminated, suspended, or pending approval.	Approved
Status Effective Date	The date the status became effective.	YYYY-MM-DD
Registration Current?	Is the firm's registration current?	Yes No