FINRA
Financial Industry Regulatory Authority

Web CRD | Regulator Form U6 Filing

The Web CRD® and IARD™ systems provide regulators with the capability to electronically create and submit Form U6 filings to provide information and report disclosure events on individuals and organizations.

As of October 1, 2017, the Disclosure Only U6 functionality for non-industry individuals and firms was retired. Regulators now have the ability to create CRD records for non-registered individuals that are subjects of action.

Protecting Personal Information

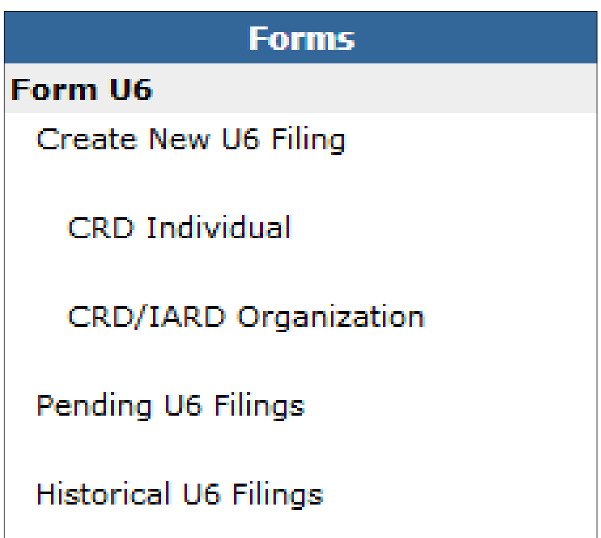
Provide personal information about individuals in response to specific questions that solicit that information. When responding to more general questions that accept narrative responses, use terms that do not disclose personal information (including account numbers). Please review guidance posted on the FINRA website about how to protect this information.

Accessing Form U6

Entitled users should login to Web CRD at: https://crd.finra.org. Enter your user name and password, then proceed using the steps below.

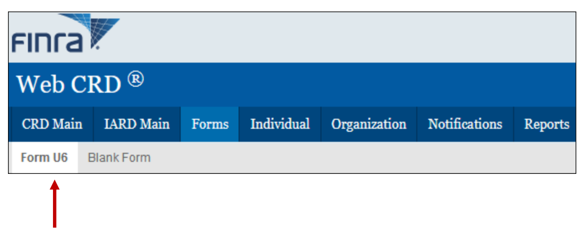
There are two ways to access the functionality in Web CRD:

1. From the Forms section of the Web CRD or IARD Site Map, click directly on the link for the desired filing type.



OR

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



2. Click **U6 Form** from the Sub-menu.

3. Click the appropriate U6 filing type.

NOTE: The **Blank Form** link directs users to http://www.finra.org/crd/forms where they can view blank PDF versions of the Uniform Registration forms.

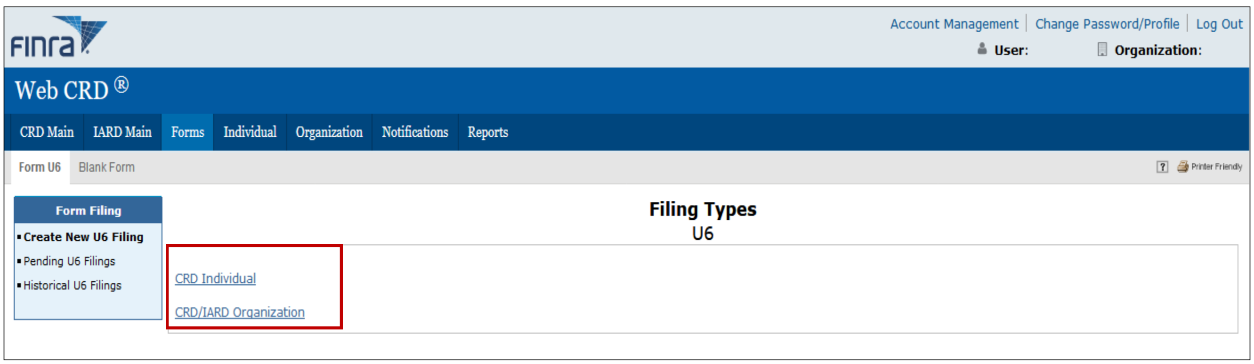
Questions on Web CRD? Call Regulatory User Support at 240-386-4242
9 A.M - 5 P.M (ET) Monday-Friday.

Creating a New U6 Filing

Choose **Create New U6 Filing** from the Web CRD Site Map or from the Form Filing navigation panel to begin work on a new filing. Choosing **Create New U6 Filing** provides you with options for choosing the correct filing type:

◊ **CRD Individual** - Choose this filing type to report information on an individual who is currently or has been previously registered in Web CRD. If the person has never been registered in Web CRD, regulators are able to create a new CRD record for the individual using the person's Social Security Number (SSN) and Date of Birth.

◊ **CRD/IARD Organization** - Choose this filing type to report information on a firm that is currently or has been previously registered in Web CRD or IARD.



Searching for an Organization

Conduct the **Search** and select the appropriate firm from the **Organization Search Results** screen to open the Form U6 and begin entering data.

CRD/IARD Organization Search Criteria

U6 - CRD/IARD Organization

Search by CRD/IARD Number

CRD/IARD Number:

Search by Name and Main Office Location

Firm Name: **Type of Search:** **Starts with** / **Contains**

Names to Search: ALL Names

Select Number of Rows

Number of Rows per Page: 25

Search

To open the Organization Form U6, click the CRD/IARD Firm link on the Search Results page.

Organization Search Results

U6 - CRD/IARD Organization

<<Previous Next>>

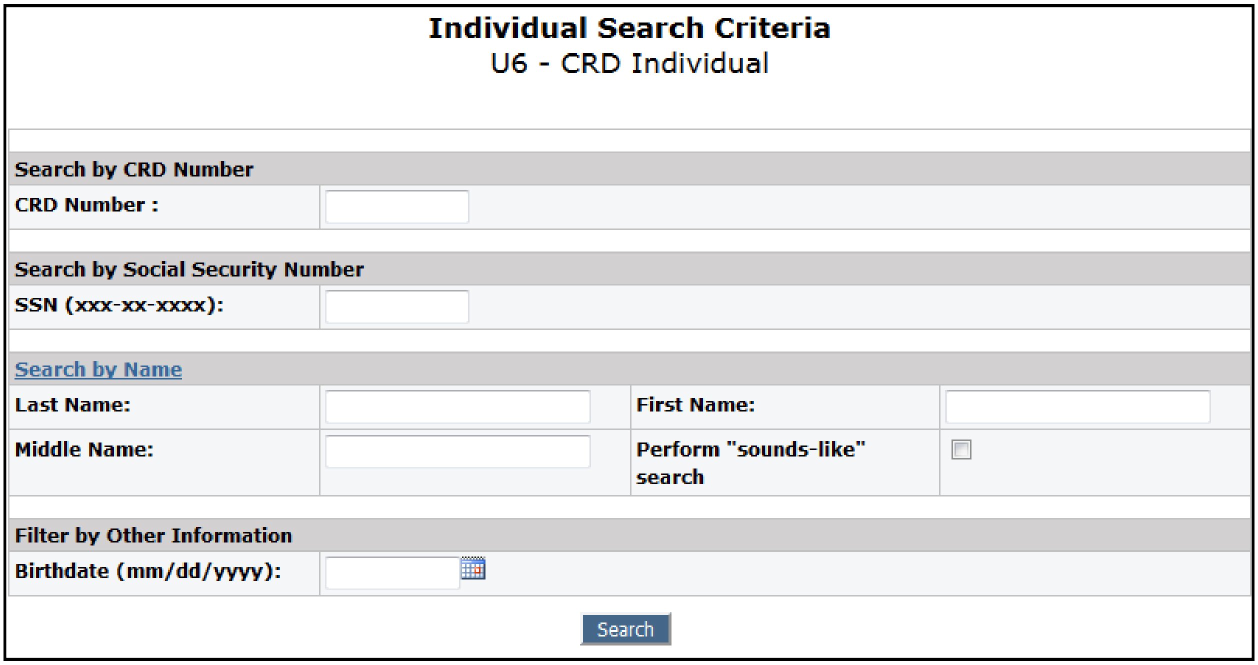
Rows 1 to 2

Primary Business Name	Name Type	CRD Number	Main Address	CRD Firm	IARD Firm	Source of Information
SAMPLE FIRM	IARD Primary Business Name	0000		Yes	Yes	IARD
SAMPLE FIRM	CRD Primary Business Name	0000		Yes	Yes	CRD

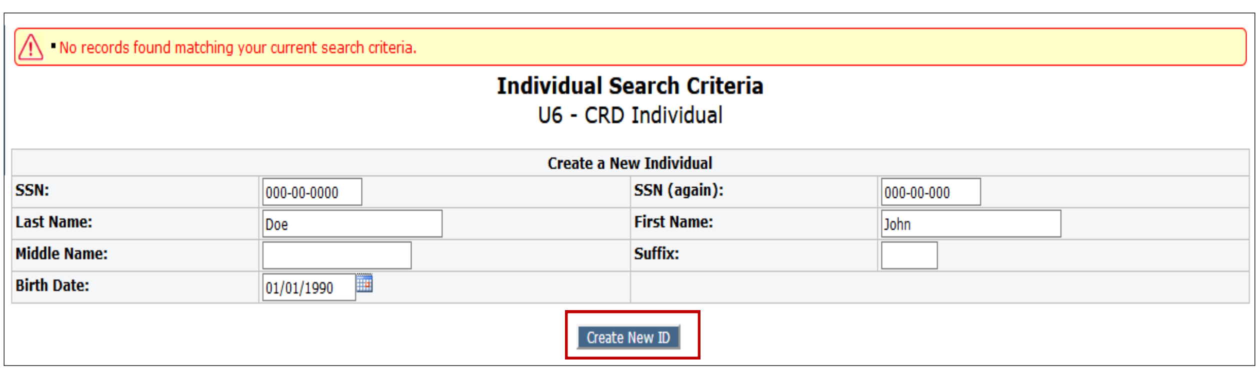
Searching for an Individual

NOTE: For illustration purposes, the rest of this document will demonstrate how to submit a Form U6 Filing for an Individual. The steps for Firm U6 filings are similar.

Conduct the **Search** and select the appropriate person from the **Individual Search Results** screen to open the Form U6 and begin entering data.

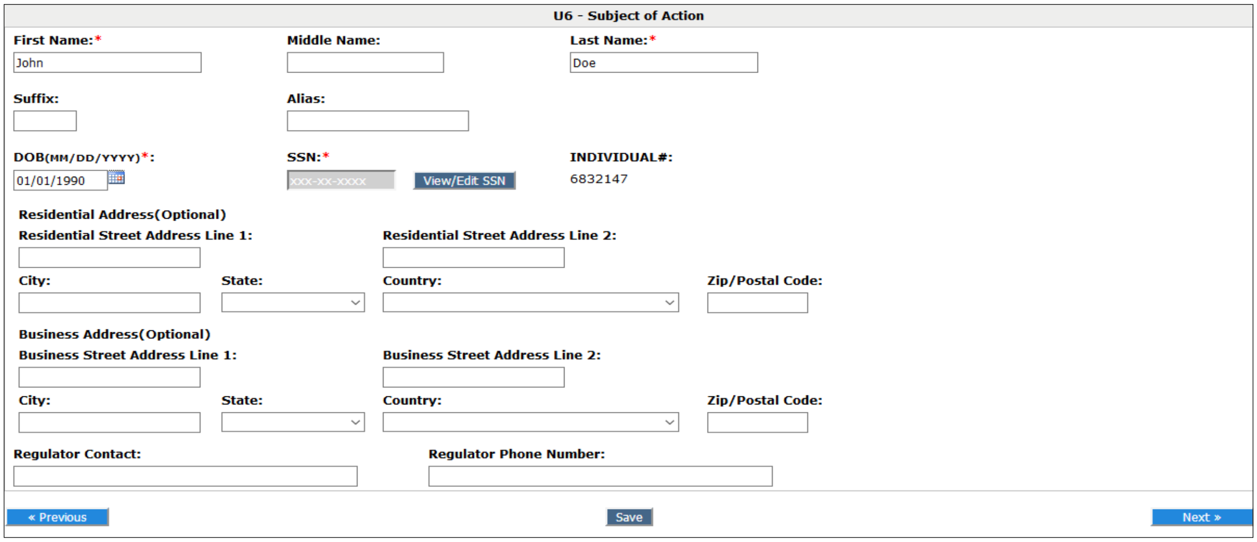


If the individual does not already have a CRD record, enter the person's SSN and Date of Birth. Then click the **Create New ID** button to create a new CRD record and proceed with Form U6.

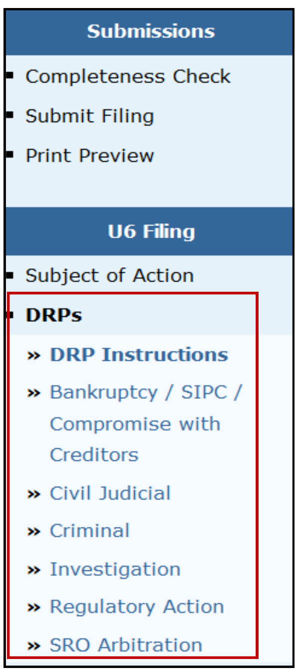


U6 Subject of Action

Add any optional data you may have (data will be pre-populated if available).



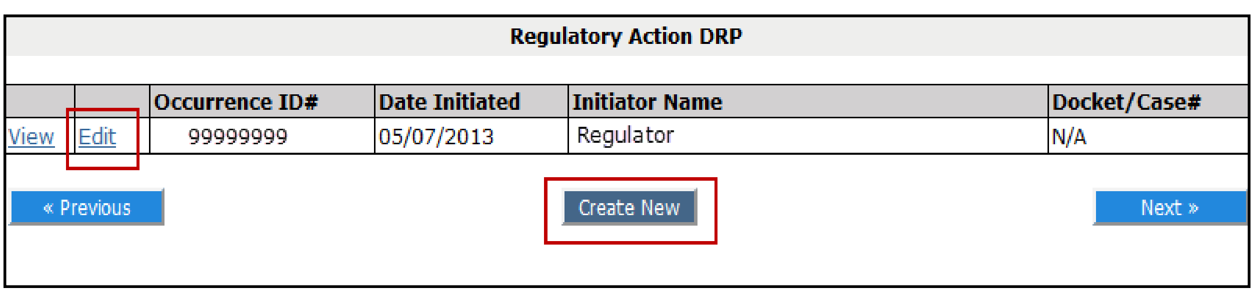
Adding/Editing Disclosures



Select **DRPs** from the Navigation Bar. The **DRP Instructions** and **DRP Types** will appear.

Choose the appropriate **DRP** type for this filing. To report a <u>new event</u>, click **Create New** on the next screen and complete the DRP as needed.

However, if you are adding additional details or a final disposition to an <u>existing event</u>, please do not create a duplicate DRP. Click the **Edit** link next to the original occurrence and update the DRP as needed. (See below.)



Regulatory Action DRP

		Occurrence ID#	Date Initiated	Initiator Name	Docket/Case#
View	Edit	99999999	05/07/2013	Regulator	N/A

Printing a Filing

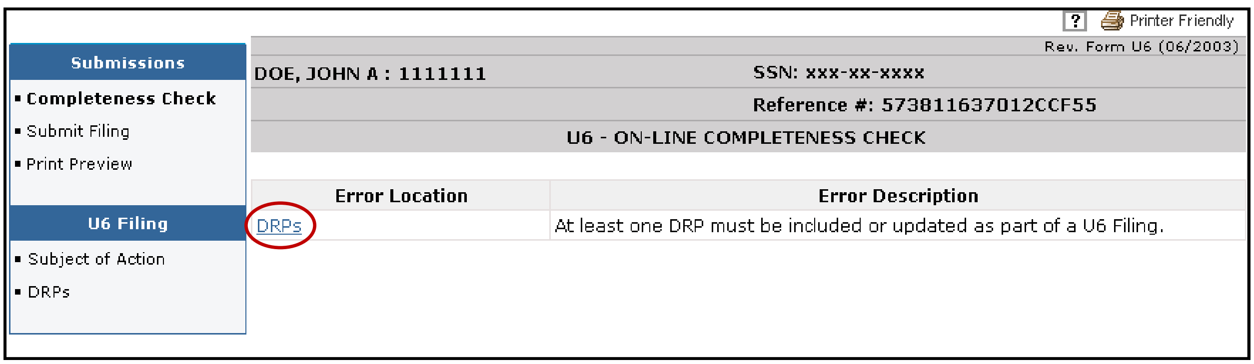
Select **Print Preview** to view a filing prior to printing. You can choose to view a specific section or the entire filing.

1. Select **Print Preview**.
2. Choose **All Sections** from the Navigation Bar.
3. Click the **Printer Friendly** icon located in the upper right corner of the screen.
4. Click the **Print** button.

NOTE: To continue with updates, click **Return To Data Entry**.

Submitting a Filing

1. Select **Submit Filing** from the navigation panel**.** CRD will automatically perform a completeness check when **Submit Filing** is selected. If the filing does not pass the completeness check, the screen will display the error location and error description. Clicking the **Error Location**, will link you directly to the screen to correct the error. If the filing passes the completeness check, you can proceed in submitting the filing to CRD.

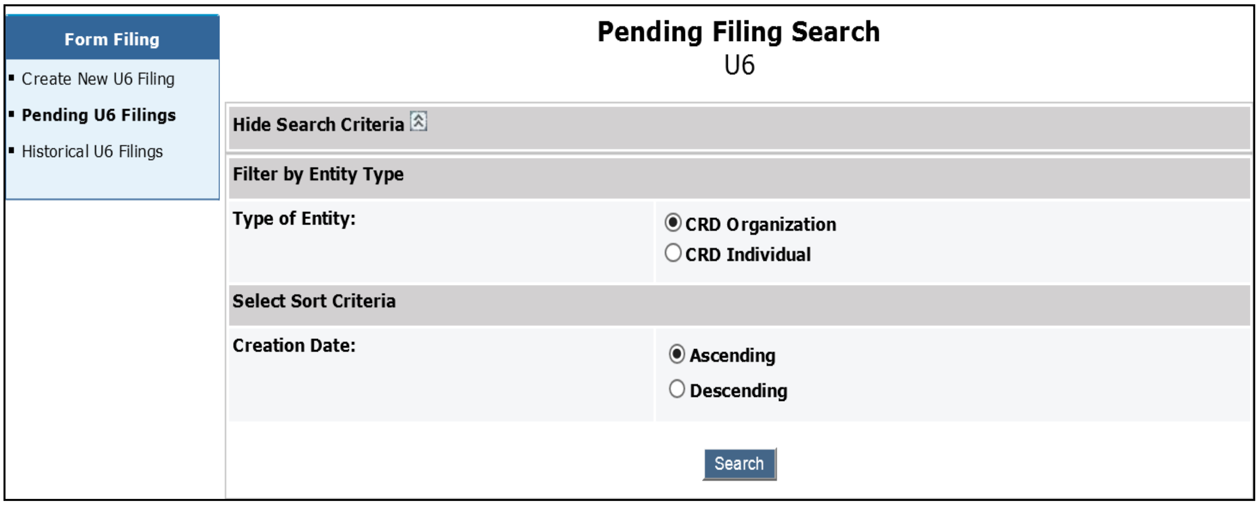


2. Once the filing passes the completeness check, a second **Submit Filing** button will appear in the middle of the page. Clicking the second **Submit Filing** button will display a message that the filing has been successfully submitted.
3. Click **OK** to return to the original Form U6 creation page.

Pending U6 Filings

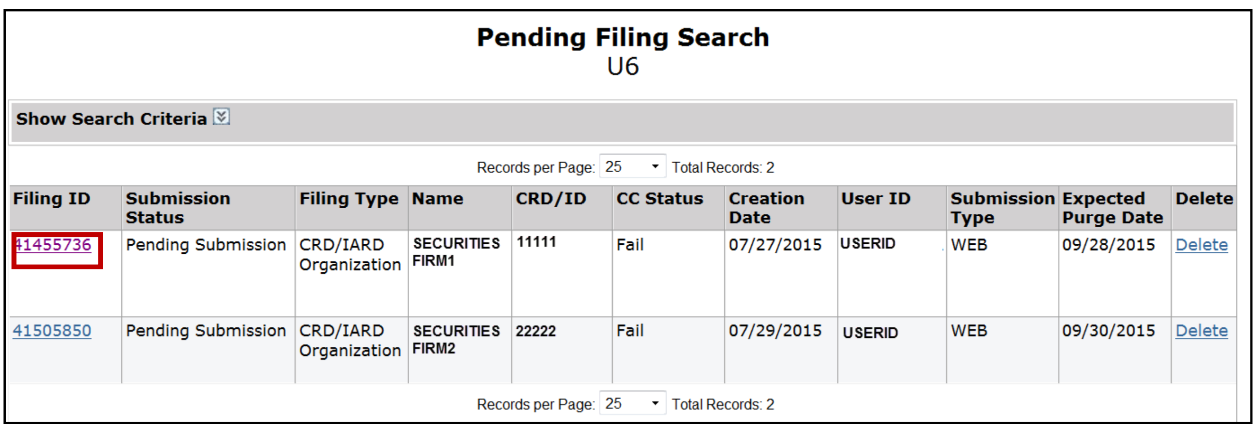
1. Choose **Pending U6 Filings** to retrieve or view a filing that has already been started, but not yet completed or submitted to Web CRD or IARD.

2. Conduct a search by selecting CRD Organization or CRD Individual, entering identifying information (if applicable), and clicking the **Search** button.



3. Click the **Filing ID** link of the filing you wish to view or complete.

NOTE: If you no longer wish to submit this filing, use the **Delete** on the far right to delete the filing from the system.



Pending Filing Search
U6

Show Search Criteria

Records per Page: 25 Total Records: 2

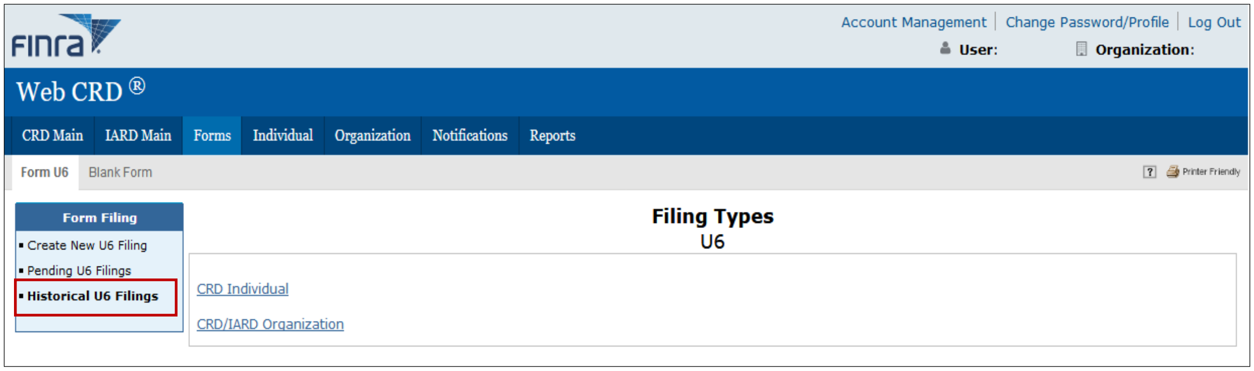
Filing ID	Submission Status	Filing Type	Name	CRD/ID	CC Status	Creation Date	User ID	Submission Type	Expected Purge Date	Delete
41455736	Pending Submission	CRD/IARD Organization	SECURITIES FIRM1	11111	Fail	07/27/2015	USERID	WEB	09/28/2015	Delete
41505850	Pending Submission	CRD/IARD Organization	SECURITIES FIRM2	22222	Fail	07/29/2015	USERID	WEB	09/30/2015	Delete

Records per Page: 25 Total Records: 2

NOTE: Form U6 filings can remain pending for up to 60 days. After this period, any pending U6 filings that have not been submitted will be automatically deleted from the system and <u>cannot be recovered</u>.

Historical U6 Filings

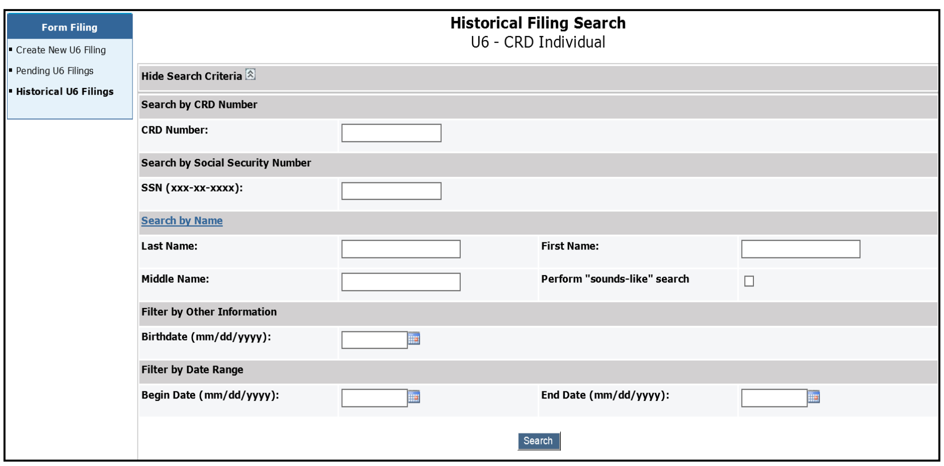
1. Choose **Historical U6 Filing** to view or print previously submitted filings.
2. Choose the correct filing type.



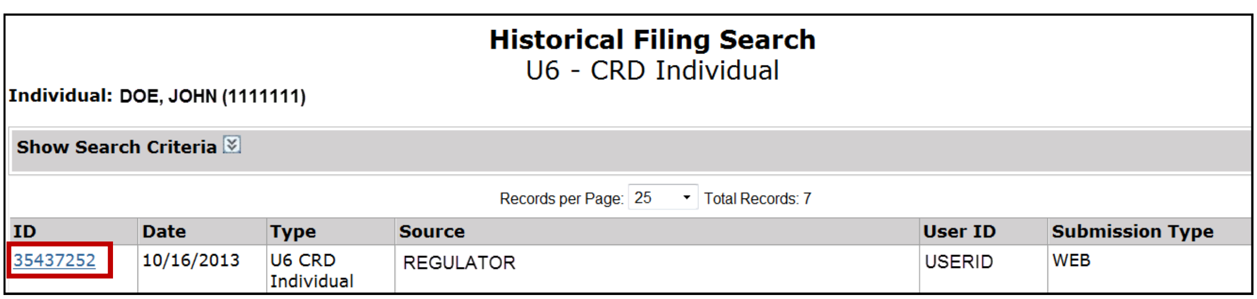
3. Perform a search by entering necessary data on the Historical Filing Search Criteria screen.

NOTE: The following steps demonstrate how to search for a Form U6 Filing for a CRD Individual.

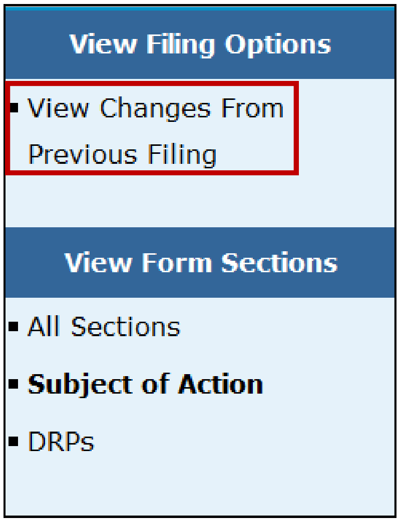
4. Click **Search**.



5. Click the **ID** number to display the historical U6 filing you wish to view.

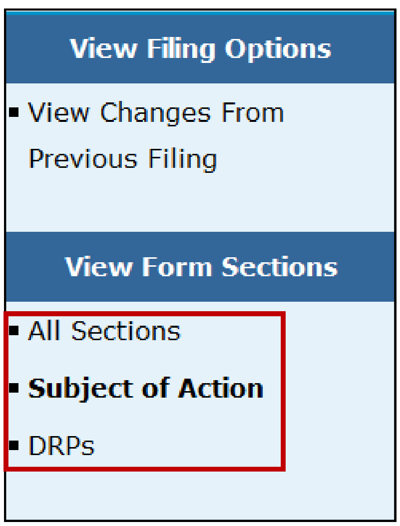


Historical U6 Filings (cont.)



To view changes in redline mode, select **View Changes from Previous Filing** located on the Navigation Bar.

The form can be viewed section by section or select **All Sections** to view the entire form.



NOTE: In order to view previously submitted Disclosure Only U6 filings, please use the Disclosure Online Individual Search and Disclosure Only Organization Search links on the CRD Main page.

Disclosure Only U6 filings submitted prior to October 1, 2017 will remain in a read-only format for a period of 5 years pursuant to FINRA's record retention rules.