About the Individual Snapshot Report

As a best practice, former as well as currently registered broker or investment adviser representatives are encouraged to periodically review their CRD® registration and licensing information by requesting an individual Snapshot Report (Snapshot). A Snapshot is derived from information maintained in the Web CRD/IARD systems. Firms conducting pre-registration checks/searches should access Web CRD directly and **must agree to keep on file written consent to review a CRD record** for the purpose of registration or assignment to responsibilities subject to federal law and SEC rules governing statutory disqualification.

The following provides an overview of the information provided in a Snapshot.

What does a Snapshot contain?
Residential History
• Information displays as reported on the latest Form U4 or U5 filing.
Registrations with Current Employer(s)
• **Employment Start Date** – The date employment and/or association began with a specific firm. Note: This is not the date an individual became registered/licensed with a regulator. • **Status Date** – The effective date of registration for a specific regulator and related registration category. • **Registration Status** – The "current state" of the registration. For example, an "Approved" registration denotes that an individual is licensed to conduct business with a specific regulator in a particular capacity, while a "Terminated" registration means an individual is no longer able to conduct business with a specific regulator in a particular capacity. • **Approval Date** – The date that a regulator initially approved a registration.
Registrations with Previous Employer(s)
• This section of the report contains registration and licensing details that pertain to an individual's registration history with all former broker-dealer or investment adviser firms. • **Employment End Date** – The date employment and/or association ceased with a firm. • **Reason For Termination** and **Termination Comment** displays as reported on Form U5.
Professional Designations

• This section of the report will identify designation(s) that are listed on latest Form U4 filing.
• If an individual maintains one of the below professional designations, he/she is exempt from having to pass the Uniform Securities Agent State Law Examination (Series 65). In most states, the Series 65 is used to qualify an individual as an Investment Adviser representative (RA).
  o Certified Financial Planner (CFP)
  o Chartered Financial Consultant (ChFC)
  o Personal Financial Specialist (PFS)
  o Chartered Financial Analyst (CFA)
  o Chartered Investment Counselor (CIC)

Office of Employment Address History
• Captures where the individual is currently located at or supervised from, for broker-dealer or investment adviser firms.
U4 Employment History
• Displays the employment history for the past ten years, as reported on latest Form U4.
Other Business
• Displays other business as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise, as reported on the latest Form U4.

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Exam Information – History

- Displays complete history of securities examinations scheduled and completed through the CRD system. This section includes exam scores and grades.

Exam Appointments

- For currently registered individuals, this section includes the date on which exams and/or Regulatory Element Continuing Education (CE) sessions are scheduled to be taken and the corresponding test center locations.

Exam Waivers

- This section will display when a waiver has been granted by a regulator for any securities examination.

Continuing Education

- Provides current and future CE requirements,

Note: Failed exams, exam scores and current/future CE requirements are **not** available in BrokerCheck and the SEC's Investment Adviser Public Disclosure website.

Current Disclosure Events

- The Snapshot contains a count of current disclosure events (the number of disclosure events that are currently reportable on Forms U4 and U5).
- The Snapshot contains an individual's most recent answers to the Form U4 Disclosure Questions (Section 14).

Disclosure Reporting Pages (DRPs)

- After Current Disclosure Event count, the Snapshot provides the latest DRPs submitted to CRD as part of a Form U4, U5, or U6 filing.

As a best practice, registered individuals should review their disclosure information on a periodic basis to ensure that information is accurate and up-to-date.

Archived Disclosure

- Displays information that is no longer reportable on Forms U4 and U5. For example, archived disclosure may include:
    - An *Investment-related*, consumer-initiated arbitration claim or civil litigation that occurred **more than** 24 months prior to the current date and was not already reported under question 14I(4), or
    - A financial disclosure that occurred **more than** 10 years prior to the current date, or
    - An disclosure event that was filed in error

What to do if you have questions:

Individuals who are currently affiliated with a broker-dealer or investment adviser firm should contact the firm's registration/licensing department if they believe information is inaccurate. If you are no longer registered, please contact the FINRA Gateway Call Center at (301) 590-6500.

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