



Financial Industry Regulatory Authority

Web CRD

## Individual Form Filing: Form U4

### About Form U4

Web CRD provides entitled users at Broker-Dealer and Investment Adviser firms with the ability to submit electronic filings of Form U4 to fulfill securities registration and licensing requirements for Registered Representatives (RRs) and Investment Adviser Representatives (IARs). For more information regarding the changes to the Individual Forms, please access the Individual Forms Web page at: [www.finra.org/crd/individualformchanges](http://www.finra.org/crd/individualformchanges).

### Accessing Web CRD

Access Web CRD at <https://crd.finra.org> or via FINRA Firm Gateway at <https://firms.finra.org>.

Form filing entitlement privileges are required to submit filings via Web CRD. For questions regarding your entitlement privileges, contact your firm's Super Account Administrator.

### Contents:

- [Form U4 Filing Types](#) (pg. 2)
- [Create a U4 Filing - Search for an individual](#) (pg. 3)
- [Additional Verification for Form U4 Filing](#) (pg. 4)
- [Form U4 Section 1. General Information](#) (pg. 5)
- [Form U4 Section 6. Registration Requests with Affiliated Firms](#) (pg. 6)
- [Form U4 Section 7. Examination Requests](#) (pg. 7)
- [Form U4 Section 11. Residential History](#) (pg. 8)
- [Form U4 Section 12. Employment History](#) (pg. 9)
- [Form U4 Section 13. Other Business](#) (pg. 9)
- [Form U4 Section 14. Disclosure Questions](#) (pg. 10)
- [DRPs/Disclosure Reporting Pages](#) (pg. 11)
- [Allow Rep Edits Feature](#) (pg.14)
- [Submitting Form U4](#) (pg. 16)
- [Retrieving Pending U4 Filings](#) (pg. 18)
- [Viewing Historical U4 Filings](#) (pg. 19)

**Questions on Web CRD? Call the FINRA Gateway Call Center at 301-869-6699**  
8 A.M. - 8 P.M., ET, Monday-Friday.

## Form U4 Filing Types

U4 Filing Type	When to use
<b>Initial</b>	Use this filing type for individuals who have never been registered on CRD or were last registered more than thirty (30) days ago with a previous firm.
<b>Amendment</b>	File an Amendment to add or change information on an individual already registered with the filing firm.
<b>Concurrence</b>	A Concurrence filing is used to concur with and adopt the information submitted by another firm on an individual also registered with the filing firm. It is a read-only filing; only the Signatures section of a Concurrence Filing must be completed. If the firm chooses not to concur with and adopt the information submitted, it can submit a U4 Amendment.
<b>Page 2 Initial for Schedule A/B</b>	<p>Page 2 for BD Schedule A/B is used to submit personal, employment and residential information on a firm's Direct or Indirect Owners who are identified on a firm's Form BD Schedule A or B.</p> <p>This type of filing is referred to as a "Page 2 for BD Schedule A/B" because the Direct or Indirect Owners formerly provided information on "Page 2" of the paper Form U4, used prior to electronic filing through CRD.</p>
<b>Page 2 Amendment for Schedule A/B</b>	<p>Page 2 Amendment for BD Schedule A/B is used to amend personal, employment and residential information on a firm's Direct or Indirect Owners who are identified on the firm's Form BD Schedule A or B.</p> <p>To terminate a Direct or Indirect Owner the firm should file a BD Amendment. Once a BD Amendment is submitted, the system will automatically update the Page 2 to reflect the termination.</p>
<b>Dual</b>	<p>Dual filings are for applicants that intend to maintain registrations with two (2) or more <u>unaffiliated</u> broker-dealer and/or investment adviser firms.</p> <p>(If the applicant intends to maintain registrations with multiple affiliated firms, the filing firm should use Section 6: Registrations with Affiliated Firms instead of a Dual filing.)</p>
<b>Relicense All</b>	Relicense All is for an individual who wishes to register with a new firm within thirty (30) days from the date of termination with the previous firm(s), and intends to be registered SOLELY with the new firm. All other firms with which the applicant has been registered must submit a U5 to terminate his or her employment.
<b>Relicense CRD</b>	Relicense CRD is for an individual who wishes to register as a broker-dealer agent (AG) with a new broker-dealer firm and terminate his or her AG positions with any other firms (i.e., the other firms will submit U5 filings on the individual) but leave any investment adviser associations he or she may have current. (This filing type is not applicable to RAs.)
<b>Relicense IA</b>	Relicense IA is for an individual who wishes to register as a RA with a new investment adviser firm and terminate his or her RA positions with any other firms (i.e., the other firms will submit U5 filings on the individual), but leave any broker-dealer associations he or she may have current. The individual's AG status will not be affected. (This filing type is not applicable to AGs.)

## Create a U4 Filing - Search for an Individual

Prior to creating any individual filing, the system will require you to search for the individual. Enter the individual's CRD Number or type a combination or one of the following: individual's Last Name and at least two (2) characters of the First Name, CRD Number, and/or Social Security Number.

For a more specific search, type a Middle Name and Birth Date to locate the individual or verify that the individual does not exist in CRD.

<b>Individual Search Criteria</b> U4 - Initial			
<b>Search by CRD Number</b>			
CRD Number :	<input type="text"/>		
<b>Search by Social Security Number</b>			
SSN (xxx-xx-xxxx):	<input type="text"/>		
<b>Search by Name</b>			
Last Name:	<input type="text" value="Doe"/>	First Name:	<input type="text" value="John"/>
Middle Name:	<input type="text"/>	Perform "sounds-like" search <input type="checkbox"/>	
<b>Filter by Other Information</b>			
Birthdate (mm/dd/yyyy):	<input type="text"/>	<input type="button" value="Calendar"/>	
<b>Select Number of Rows</b>			
Number of Rows per Page:	25 <input type="button" value="▼"/>		
<input type="button" value="Search"/>			

## Create a New Individual in Web CRD

If the individual does not exist in CRD, enter the individual's SSN, Last Name, First Name, and Birth Date. Click the **Create New ID** button to begin the Form U4 filing for this individual.

<b>Individual Search Criteria</b> U4 - Initial			
<b>Create a New Individual</b>			
SSN:	<input type="text" value="000-00-0000"/>	SSN (again):	<input type="text" value="000-00-0000"/>
<input type="checkbox"/> By selecting this box, I certify that this individual does not have a Social Security number.			
Last Name:	<input type="text" value="Doe"/>	First Name:	<input type="text" value="John"/>
Middle Name:	<input type="text"/>	Suffix: <input type="text"/>	
Birth Date:	<input type="text" value="01/01/1974"/>	<input type="button" value="Calendar"/>	
<input type="button" value="Create New ID"/>			

## Additional Verification for Existing Individuals

If the individual already exists in Web CRD, you may be required to verify the individual before proceeding. The following U4 filing types will require additional verification of the individual's social security number (SSN) and month/day of birth for individuals already in Web CRD:

- Initial
- Dual
- Relicense (all types)
- Page 2 Initial

The verification screen will display after the name hyperlink is selected from the search results. Enter the verification information and click Submit to open the form.

Form Filing

[?](#) 
[Printer Friendly](#)

### Individual Search Results

<<Previous Next>>  
Rows 1 to 1

U4 - Relicense All		
Name	CRD	Birth Year
DOE, JOHN A	1111111	1970

<<Previous Next>>  
Rows 1 to 1

Form Filing

[?](#) 
[Printer Friendly](#)

### Individual Search

**Verify SSN, Birth Month/Day**

CRD Number:	1111111
First Name:	JOHN
Middle Name:	A
Last Name:	DOE
Suffix:	
Birth Year:	1970

**Please provide the following information. Leave the Verify SSN field blank and select the check box below if the Individual does not have a SSN:**

**This individual does not have a SSN.**

Verify SSN (xxx-xx-xxxx):

111-11-1111

Verify Month/Day of Birth (MM/DD):

01/01

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4

## Form U4 Section: 1. General Information

On an Initial U4 filing, the Employment date field must be populated with a present or past date (i.e., a future date will not be accepted). Once the Initial filing is submitted, the Employment date is a read-only field.

The Firm Billing Code is an optional field that firms can use as applicable to their firm's internal work processes.

There are options to add both a Registered Office of Employment Address and a Non-Registered Office of Employment Address. However, the individual must be associated with at least one 'Located At' address.

If the individual is located at a non-registered office, you must also provide the registered office of employment that supervises the non-registered location.

**1. General Information**

<b>First Name:</b> john  <b>Firm CRD #:</b> 00000  <b>Firm Billing Code:</b> <div style="border: 1px solid #ccc; padding: 5px; width: 100%;"> </div>	<b>Middle Name:</b>  <b>Firm Name:</b> SECURITIES FIRM  <b>Individual CRD #:</b> 1111111	<b>Last Name:</b> doe  <b>Employment Date (MM/DD/YYYY):</b> <div style="border: 1px solid #ccc; padding: 5px; width: 100%;"> </div> <b>Individual SSN:</b> <div style="border: 1px solid #ccc; padding: 5px; width: 100%;">xxxx-xx-xxxx</div> <span style="margin-left: 20px;">View/Edit SSN</span>	<b>Suffix:</b>  
<b>Do you have an independent contractor relationship with the above named firm?:</b> <input type="radio"/> Yes <input type="radio"/> No			
<b>Office of Employment Address:</b>  <div style="text-align: center; border: 1px solid #ccc; padding: 5px; width: 100%;">No Information Filed.</div> <div style="text-align: center; border: 1px solid #ccc; padding: 5px; width: 100%; margin-top: 5px;"> <a href="#">Add Registered Office of Employment Address</a>  <a href="#">Add Non-Registered Office of Employment Address</a> </div>			
<a href="#">« Previous</a>	<a href="#">Save</a>	<a href="#">Next »</a>	

## Form U4 Section: 6. Registration Requests with Affiliated Firms

If the individual seeks registration with firm(s) affiliated with the filing firm, complete the necessary information on the affiliated firm. Information required includes: affiliate firm CRD #, employment start date with the affiliate firm, fingerprint requirements, office of employment, and SRO and Jurisdiction registrations.

The buttons for adding an office of employment address and SRO and Jurisdiction registrations will display after the affiliate firm CRD# is entered and saved.

6. Registration Requests with Affiliated Firms	
<p>If the individual seeks registration with <i>firm(s)</i> affiliated with the <i>filing firm</i>, complete the following to make a request for registration with the additional <i>affiliated firm(s)</i> other than the <i>filing firm</i>.</p>	
<b>Affiliated Firm CRD #</b> <input type="text"/>	<b>Affiliated Firm Name</b> <input type="text"/>
<b>Employment Date</b> (MM/DD/YYYY): <input type="text"/>	<b>Do you have an independent contractor relationship with the above named firm?:</b> <input type="radio"/> Yes <input type="radio"/> No
<b>Affiliated Firm Billing Code:</b> <input type="text"/>	

### Affiliate Firm Fingerprint Information

Select the radio button for the applicable fingerprint option based on registration with the affiliated firm.

If the affiliated firm registration(s) require the submission of a fingerprint card to FINRA (i.e., the affiliated firm does not qualify for one of the exceptions to the fingerprint requirement and the individual is not applying for only investment adviser representative positions with that affiliated firm), and the filing firm's fingerprint card should be applied to the affiliate registration, choose the third radio button:

- “I am not required to submit a fingerprint card at this time because the fingerprint card submitted by the filing firm applies.”

If the filing firm does not select option 3 when the initial filing is submitted, the filing firm has 30 days from the filing submission date to amend the fingerprint options. After 30 days, the affiliate firm will need to submit a separate fingerprint card. Also, the Employment Start Date for the affiliate firm must be the same as the Employment Start Date for the filing firm in order for a single fingerprint card to apply to both firms.

Affiliated Firm Fingerprint Information	
<b>Electronic Filing Representation</b>	
<input type="radio"/> By selecting this option, I represent that I am submitting, have submitted, or promptly will submit to the appropriate SRO a fingerprint card as required under applicable SRO rules; or Fingerprint card barcode <input type="text"/>	
<input type="radio"/> By selecting this option, I represent that I have been employed continuously by the <i>affiliated firm</i> since the last submission of a fingerprint card to CRD and am not required to resubmit a fingerprint card at this time; or,	
<input checked="" type="radio"/> I am not required to submit a fingerprint card at this time because the fingerprint card submitted by the <i>filing firm</i> applies; or,	
<input type="radio"/> By selecting this option, I represent that I have been employed continuously by the <i>affiliated firm</i> and my fingerprints have been processed by an SRO other than FINRA. I am submitting, have submitted, or promptly will submit the processed results for posting to CRD.	

## Form U4 Section: 7. Examination Requests

If the representative needs to qualify by exam for a registration position selected in Form U4 Section 4, the system will automatically schedule the necessary exam.

Therefore, Section 7 should only be completed when:

- Rescheduling an exam (either the representative failed the exam, or the window expired)
- Scheduling a non-FINRA exam
- Scheduling an untracked Continuing Education (CE) session

Please note that scheduling an untracked CE session does not satisfy the representative's regular anniversary (tracked) CE requirement. Please see the [Continuing Education Quick Reference Guide](#) for more information about managing CE requirements.

7. EXAMINATION REQUESTS																																																																	
<p><b>Scheduling or Rescheduling Examinations</b> Complete this section only if you are scheduling or rescheduling an examination or continuing education session. Do <u>not</u> select the Series 63 (S63) or Series 65 (S65) examinations in this section if you have completed Section 5 (JURISDICTION REGISTRATION) and have selected registration in a <i>jurisdiction</i>. If you have completed Section 5 (JURISDICTION REGISTRATION), and requested an AG registration in a <i>jurisdiction</i> that requires that you pass the S63 examination, an S63 examination will be automatically scheduled for you upon submission of this Form U4. If you have completed Section 5 (JURISDICTION REGISTRATION), and requested an RA registration in a <i>jurisdiction</i> that requires that you pass the S65 examination, an S65 examination will be automatically scheduled for you upon submission of this Form U4.</p> <table border="1"> <tbody> <tr><td><input type="checkbox"/> S3</td><td><input type="checkbox"/> S14</td><td><input type="checkbox"/> S28</td><td><input type="checkbox"/> S42</td><td><input type="checkbox"/> S53</td><td><input type="checkbox"/> S79</td></tr> <tr><td><input type="checkbox"/> S4</td><td><input type="checkbox"/> S16</td><td><input type="checkbox"/> S30</td><td><input type="checkbox"/> S44</td><td><input type="checkbox"/> S55</td><td><input type="checkbox"/> S82</td></tr> <tr><td><input type="checkbox"/> S5</td><td><input type="checkbox"/> S17</td><td><input type="checkbox"/> S31</td><td><input type="checkbox"/> S45</td><td><input type="checkbox"/> S56</td><td><input type="checkbox"/> S86</td></tr> <tr><td><input type="checkbox"/> S6</td><td><input type="checkbox"/> S22</td><td><input type="checkbox"/> S32</td><td><input type="checkbox"/> S46</td><td><input type="checkbox"/> S62</td><td><input type="checkbox"/> S87</td></tr> <tr><td><input type="checkbox"/> S7</td><td><input type="checkbox"/> S23</td><td><input type="checkbox"/> S33</td><td><input type="checkbox"/> S51</td><td><input type="checkbox"/> S63</td><td><input type="checkbox"/> S99</td></tr> <tr><td><input type="checkbox"/> S9</td><td><input type="checkbox"/> S24</td><td><input type="checkbox"/> S34</td><td><input type="checkbox"/> S52</td><td><input type="checkbox"/> S65</td><td><input type="checkbox"/> S101</td></tr> <tr><td><input type="checkbox"/> S10</td><td><input type="checkbox"/> S26</td><td><input type="checkbox"/> S37</td><td></td><td><input type="checkbox"/> S66</td><td><input type="checkbox"/> S106</td></tr> <tr><td><input type="checkbox"/> S11</td><td><input type="checkbox"/> S27</td><td><input type="checkbox"/> S38</td><td></td><td><input type="checkbox"/> S72</td><td><input type="checkbox"/> S201</td></tr> <tr><td></td><td></td><td><input type="checkbox"/> S39</td><td></td><td></td><td><input type="checkbox"/> S501</td></tr> <tr><td></td><td></td><td></td><td></td><td></td><td><input type="checkbox"/> S901</td></tr> </tbody> </table>						<input type="checkbox"/> S3	<input type="checkbox"/> S14	<input type="checkbox"/> S28	<input type="checkbox"/> S42	<input type="checkbox"/> S53	<input type="checkbox"/> S79	<input type="checkbox"/> S4	<input type="checkbox"/> S16	<input type="checkbox"/> S30	<input type="checkbox"/> S44	<input type="checkbox"/> S55	<input type="checkbox"/> S82	<input type="checkbox"/> S5	<input type="checkbox"/> S17	<input type="checkbox"/> S31	<input type="checkbox"/> S45	<input type="checkbox"/> S56	<input type="checkbox"/> S86	<input type="checkbox"/> S6	<input type="checkbox"/> S22	<input type="checkbox"/> S32	<input type="checkbox"/> S46	<input type="checkbox"/> S62	<input type="checkbox"/> S87	<input type="checkbox"/> S7	<input type="checkbox"/> S23	<input type="checkbox"/> S33	<input type="checkbox"/> S51	<input type="checkbox"/> S63	<input type="checkbox"/> S99	<input type="checkbox"/> S9	<input type="checkbox"/> S24	<input type="checkbox"/> S34	<input type="checkbox"/> S52	<input type="checkbox"/> S65	<input type="checkbox"/> S101	<input type="checkbox"/> S10	<input type="checkbox"/> S26	<input type="checkbox"/> S37		<input type="checkbox"/> S66	<input type="checkbox"/> S106	<input type="checkbox"/> S11	<input type="checkbox"/> S27	<input type="checkbox"/> S38		<input type="checkbox"/> S72	<input type="checkbox"/> S201			<input type="checkbox"/> S39			<input type="checkbox"/> S501						<input type="checkbox"/> S901
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## Form U4 Section: 11. Residential History

The current address is mandatory and a minimum of five (5) years of residential history must be provided.

Notes:

- There may not be gaps of more than three (3) months between history records.
- Postal codes must be valid for the state selected.

**11. Residential History**

Starting with the current address, give all addresses for the past 5 years. Report changes as they occur.

From (MM/YYYY)	01/2000
To (MM/YYYY)	PRESENT
Address Street 1:	123 Main St
Address Street 2:	
City:	Rockville
State:	Maryland
Postal Code:	20850
Country:	United States

**Save** **Save & Add Another**

## Form U4 Section: 12. Employment History

A minimum of ten (10) years of employment must be provided. The individual's employment with the filing firm should be the first entry. All fields must be completed on each employment record.

Note: There may not be gaps of more than three (3) months between employment records.

12. Employment History						
	From	To	Name of Firm or Company	Address	Investment Related	Position Held
<a href="#">Edit</a> <a href="#">Delete</a>	01/2015	PRESENT	SSECURITIES FIRM	Rockville, MD United States	Yes	Admin
<a href="#">Edit</a> <a href="#">Delete</a>	02/2000	01/2015	123 Company	Rockville, MD United States	No	Sales Clerk

[« Previous](#) [Create New Employment](#) [Next »](#)

## Form U4 Section: 13. Other Business

Use this section to report business activity that is outside the scope of the registered person's relationship with the firm. You may exclude non investment-related activity that is exclusively charitable, civic, religious or fraternal and is recognized as exempt.

Please refer to the form text for additional guidance on what should be reported. Additionally, guidance on Other Business on Form U4 versus Form BR can be found here: <http://www.finra.org/Industry/Compliance/Registration/CRD/UserSupport/p015338>

13. OTHER BUSINESS
<p>Are you <u>currently</u> engaged in any other business either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise? (Please exclude non <i>investment-related</i> activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.) If YES, please provide the following details: the name of the other business, whether the business is <i>investment-related</i>, the address of the other business, the nature of the other business, your position, title, or relationship with the other business, the start date of your relationship, the approximate number of hours/month you devote to the other business, the number of hours you devote to the other business during securities trading hours, and briefly describe your duties relating to the other business.</p> <p> <input checked="" type="radio"/> Yes <input type="radio"/> No          If 'Yes', please enter details below.       </p> <p>PARTNER OF AN INVESTMENT ADVISER FIRM.</p>

## Form U4 Section: 14. Disclosure Questions

14. DISCLOSURE QUESTIONS	
IF THE ANSWER TO ANY OF THE FOLLOWING QUESTIONS IS 'YES', COMPLETE DETAILS OF ALL EVENTS OR PROCEEDINGS ON APPROPRIATE DRP(S)	
REFER TO THE EXPLANATION OF TERMS SECTION OF FORM U4 INSTRUCTIONS FOR EXPLANATIONS OF ITALICIZED TERMS.	
Criminal Disclosure	
<b>14A. (1) Have you ever:</b>	YES <input type="radio"/> NO <input checked="" type="radio"/>
(a) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to any <i>felony</i> ?	<input type="radio"/> <input checked="" type="radio"/>
(b) been <i>charged</i> with any <i>felony</i> ?	<input type="radio"/> <input checked="" type="radio"/>
<b>(2) Based upon activities that occurred while you exercised <i>control</i> over it, has an organization ever:</b>	YES <input type="radio"/> NO <input checked="" type="radio"/>
(a) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic or foreign court to any <i>felony</i> ?	<input type="radio"/> <input checked="" type="radio"/>
(b) been <i>charged</i> with any <i>felony</i> ?	<input type="radio"/> <input checked="" type="radio"/>

### Questions 14A and B: Criminal Actions

**Questions 14A and 14B** pertain to criminal disclosures against an individual, or against an organization while the individual exercised control over it. The questions address felony convictions and charges and specified misdemeanor convictions and charges. All convictions and charges that meet the threshold of Questions 14A and 14B are reportable **no matter how long ago they occurred** as the questions are prefaced with the wording "have you **ever**..."

**NOTE:** Certain criminal events may subject an individual to a Statutory Disqualification. Please refer to the [Statutory Disqualification Process](#) page online for more information.

### Questions 14C, D, E, F and G: Regulatory Disciplinary Actions

**Questions 14C, D, and E** pertain to findings (see Explanation of Terms for definition of *found*) and/or actions taken by regulators against the individual. Each of the questions correspond to specific regulators:

Regulatory events may require a **Yes** response to more than one question (e.g., an individual is *found* to have been *involved* in a violation of *investment-related* statute and suspended by FINRA; this requires a **Yes** answer to Questions 14E2 and 14E4 and the completion of a Regulatory Action Disclosure Reporting Page).

### Question 14H: Civil Judicial Actions

**Question 14H** pertains to domestic or foreign court findings or actions against the individual involving *investment-related* violations. All disclosures that meet the threshold of **Question 14H(1) (a, b and c)** are reportable **no matter how long ago they occurred**.

### Question 14I: Customer Complaints, Arbitrations, and Civil Litigations

**Question 14I** pertains to consumer-initiated, *investment-related* arbitrations, civil litigations, and complaints. Arbitrations and civil litigations are addressed in **Questions 14I(1)(a), 14I(1)(b), 14I(1)(c), 14I(4)(a), 14I(4)(b), 14I(5)(a) and 14I(5)(b)**. Arbitrations and civil litigations that meet the threshold of 14I (1) are reportable regardless of when the proceeding was filed. Customer Complaints are addressed in **Questions 14I(2) and 14I(3)**.

### Question 14J: Terminations

**Question 14J** pertains to terminations. The termination could be voluntary or involuntary, however, the element that makes the event reportable is that the termination occurred after certain allegations were made as specified in questions 14J(1), (2) or (3).

### Questions 14K, L and M: Financial

**Questions 14K, L and M** pertain to financial information.

## DRPs/Disclosure Reporting Pages

Disclosure Reporting Pages must be completed to provide information on Yes answers to Disclosure Questions. There are nine types of Form U4 DRPs: Bankruptcy/SIPC/Compromise with Creditors, Bond, Civil Judicial, Criminal, Customer Complaint/Arbitration/ Civil Litigation, Investigation, Judgment/Lien, Regulatory Action and Termination.

**Criminal DRP** corresponds to Questions 14a and 14B.

**Regulatory Action DRP** corresponds to Questions 14C, 14Dd, 14E, 14F and 14G(1).

**Investigation DRP** corresponds to Question 14G(2).

**Civil Judicial DRP** corresponds to Question 14H.

**Customer Complaint/Arbitration/Civil Litigation DRP** corresponds to Question 14I.

**Termination DRP** corresponds to Question 14J.

**Bankruptcy/SIPC/Compromise with Creditors DRP** corresponds to Question 14K.

**Bond DRP** corresponds to Question 14L.

**Judgment/Lien DRP** corresponds to Question 14M.

The questions vary based on the corresponding DRPs section (e.g., Civil Judicial, Criminal, Customer Complaint or Investigation); this page serves to assist you in determining which DRP you should complete. The following page displays a Regulatory Action DRP as an example.

- 12. Employment History
- 13. Other Business
- 14. Disclosure Questions
- 15. Signatures
- **DRPs**
  - » **DRP Instructions**
  - » [Bankruptcy / SIPC / Compromise with Creditors](#)
  - » [Bond](#)
  - » [Civil Judicial](#)
  - » [Criminal](#)
  - » [Customer Complaint / Arbitration / Civil Litigation](#)
  - » [Investigation](#)
  - » [Judgment/Lien](#)
  - » [Regulatory Action](#)
  - » [Termination](#)

Form U4 Disclosure Questions and Corresponding DRPs		
Form U4 Question Number	Form U4 Question	Corresponding U4 DRPs for the U4 Disclosure Question
14A(1)(a)	Have you ever been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to any <i>felony</i> ?	Details to question 14A(1)(a) must be reported on the <b>Criminal DRP (U4)</b> .
14A(1)(b)	Have you ever been <i>charged</i> with any <i>felony</i> ?	Details to question 14A(1)(b) must be reported on the <b>Criminal DRP (U4)</b> .
14A(2)(a)	Based upon activities that occurred while you exercised <i>control</i> over it, has an organization ever been convicted of or pled guilty or nolo contendere ("no contest") in a domestic or foreign court to any <i>felony</i> ?	Details to question 14A(2)(a) must be reported on the <b>Criminal DRP (U4)</b> .
14A(2)(b)	Based upon activities that occurred while you exercised <i>control</i> over it, has an organization ever been <i>charged</i> with any <i>felony</i> ?	Details to question 14A(2)(b) must be reported on the <b>Criminal DRP (U4)</b> .
14B(1)(a)	Have you ever been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign or military court to a <i>misdemeanor involving: investments or an investment-related business or any fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses</i> ?	Details to question 14B(1)(a) must be reported on the <b>Criminal DRP (U4)</b> .

Note: The specific DRPs will appear when the DRPs link is selected on the Navigation bar.

## DRPs (continued)

Once you have determined the type of DRP that you need to submit, you have the option to **View**, **Edit** or **Create a New DRP**.

You can **View** an existing DRP to see the information that was previously entered. **Edit** is used to make changes to an existing DRP, **Create New DRP** is used to submit details on a new disclosure event,

U4 - REGULATORY ACTION DRP				
	Occurrence ID#	Date Initiated	Initiator Name	Docket/Case#
<a href="#">View</a> <a href="#">Edit</a>	1390797	01/07/2008	STATE OF WISCONSIN, DEPARTMENT OF FINANCIAL INSTITUTIONS, DIVISION OF SECURITIES	111-1111
<a href="#">View</a> <a href="#">Edit</a>	1361968	07/25/2007	FINRA	2222222

[Next](#) [Create New Regulatory Action DRP](#) [Previous](#)

If you **Edit** a DRP the appropriate question(s) will be pre-populated. If you **Create a New DRP**, you need to check the question(s) that you are responding. Enter the remaining data as needed.

REGULATORY ACTION				Rev. DRP (05/2009)																																
<p>Check the question(s) you are responding to, regardless of whether you are answering the question(s) "yes" or amending the answer(s) to "no":</p> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 25%; padding: 5px;"><input type="checkbox"/> 14C(1)</td> <td style="width: 25%; padding: 5px;"><input type="checkbox"/> 14D(1)(a)</td> <td style="width: 25%; padding: 5px;"><input type="checkbox"/> 14E(1)</td> <td style="width: 25%; padding: 5px;"><input type="checkbox"/> 14F</td> </tr> <tr> <td><input type="checkbox"/> 14C(2)</td> <td><input type="checkbox"/> 14D(1)(b)</td> <td><input type="checkbox"/> 14E(2)</td> <td></td> </tr> <tr> <td><input type="checkbox"/> 14C(3)</td> <td><input type="checkbox"/> 14D(1)(c)</td> <td><input type="checkbox"/> 14E(3)</td> <td><input type="checkbox"/> 14G(1)</td> </tr> <tr> <td><input type="checkbox"/> 14C(4)</td> <td><input type="checkbox"/> 14D(1)(d)</td> <td><input type="checkbox"/> 14E(4)</td> <td></td> </tr> <tr> <td><input type="checkbox"/> 14C(5)</td> <td><input type="checkbox"/> 14D(1)(e)</td> <td><input type="checkbox"/> 14E(5)</td> <td></td> </tr> <tr> <td><input type="checkbox"/> 14C(6)</td> <td><input type="checkbox"/> 14D(2)(a)</td> <td><input type="checkbox"/> 14E(6)</td> <td></td> </tr> <tr> <td><input type="checkbox"/> 14C(7)</td> <td><input type="checkbox"/> 14D(2)(b)</td> <td><input type="checkbox"/> 14E(7)</td> <td></td> </tr> <tr> <td><input type="checkbox"/> 14C(8)</td> <td></td> <td></td> <td></td> </tr> </table> <p style="text-align: center;"><a href="#">Click here to view question text</a></p>					<input type="checkbox"/> 14C(1)	<input type="checkbox"/> 14D(1)(a)	<input type="checkbox"/> 14E(1)	<input type="checkbox"/> 14F	<input type="checkbox"/> 14C(2)	<input type="checkbox"/> 14D(1)(b)	<input type="checkbox"/> 14E(2)		<input type="checkbox"/> 14C(3)	<input type="checkbox"/> 14D(1)(c)	<input type="checkbox"/> 14E(3)	<input type="checkbox"/> 14G(1)	<input type="checkbox"/> 14C(4)	<input type="checkbox"/> 14D(1)(d)	<input type="checkbox"/> 14E(4)		<input type="checkbox"/> 14C(5)	<input type="checkbox"/> 14D(1)(e)	<input type="checkbox"/> 14E(5)		<input type="checkbox"/> 14C(6)	<input type="checkbox"/> 14D(2)(a)	<input type="checkbox"/> 14E(6)		<input type="checkbox"/> 14C(7)	<input type="checkbox"/> 14D(2)(b)	<input type="checkbox"/> 14E(7)		<input type="checkbox"/> 14C(8)			
<input type="checkbox"/> 14C(1)	<input type="checkbox"/> 14D(1)(a)	<input type="checkbox"/> 14E(1)	<input type="checkbox"/> 14F																																	
<input type="checkbox"/> 14C(2)	<input type="checkbox"/> 14D(1)(b)	<input type="checkbox"/> 14E(2)																																		
<input type="checkbox"/> 14C(3)	<input type="checkbox"/> 14D(1)(c)	<input type="checkbox"/> 14E(3)	<input type="checkbox"/> 14G(1)																																	
<input type="checkbox"/> 14C(4)	<input type="checkbox"/> 14D(1)(d)	<input type="checkbox"/> 14E(4)																																		
<input type="checkbox"/> 14C(5)	<input type="checkbox"/> 14D(1)(e)	<input type="checkbox"/> 14E(5)																																		
<input type="checkbox"/> 14C(6)	<input type="checkbox"/> 14D(2)(a)	<input type="checkbox"/> 14E(6)																																		
<input type="checkbox"/> 14C(7)	<input type="checkbox"/> 14D(2)(b)	<input type="checkbox"/> 14E(7)																																		
<input type="checkbox"/> 14C(8)																																				
<p><input type="checkbox"/> By selecting this box, I hereby request that the data on this Form U4 filing be used to satisfy my firm's reporting obligation pursuant to the applicable provision of FINRA Rule 4530(a)(1).</p>																																				
<p>One event may result in more than one affirmative answer to the above items. Use only one DRP to report details related to the same event. If an event gives rise to actions by more than one regulator, provide details to each action on a separate DRP.</p> <p>1. Regulatory Action initiated by:            A. (Select appropriate item):  <input type="radio"/> SEC <input type="radio"/> Other Federal Agency <input type="radio"/> Jurisdiction <input type="radio"/> SRO <input type="radio"/> CFTC  <input type="radio"/> Foreign Financial Regulatory Authority <input type="radio"/> Federal Banking Agency <input type="radio"/> National Credit Union Administration <input type="radio"/> Other            B. Full name of regulator (if other than the SEC) that initiated the action:  <input type="text"/> </p>																																				

**NOTE:** Regulatory Actions, Civil/Judicial Actions, Criminal and Customer Complaints DRPs have an optional checkbox that allows the information that is submitted on the DRP automatically apply for reporting for FINRA Rule 4530. Details are described in FINRA [Regulatory Notice 13-08](#).

## DRPs (continued)

### When completing DRPs:

- You must complete the appropriate **Date** fields. If unsure of the exact date, select the **Explanation** radio button, enter an approximate date and provide an explanation in the text box.
- Select the **Pending**, **On Appeal** or **Final** radio button depending on the status of the event you are reporting.
- If desired, enter a brief summary of the details related to the circumstances of the action and its status, disposition and/or finding(s) in the **Comment** text box at the bottom of the DRP.

Additional information on disclosure reportability can be found on the [Forms U4 and U5 Interpretive Questions and Answers](#) page.

## Allow Rep Edits Feature

Allow Rep Edits is an optional feature that allows firms to route a pending Form U4 electronically to a representative for completion. The firm has the option to allow the rep to access the full Form U4 filing or restrict access to sections 4 through 8. The representative will not be able to submit the filing to regulators, but rather submits the filing back to the firm for final review and submission.

1. After selecting the Allow Rep Edits link on the left navigation panel, make a note of the filing Reference # and provide it to the representative. **Be sure to click Submit on this page to send the filing to the representative.**

**Submissions**

- Allow Rep Edits**
- Completeness Check
- Submit Filing
- Print Preview

**U4 Filing**

- Filing Instructions
- 1. General Information
- 2. Fingerprint Information
- 3. Registration with Unaffiliated Firms
- 4. SRO Registrations
- 5. Jurisdiction Registration
- 6. Registration Requests with Affiliated Firms
- 7. Examination Requests
- 8. Professional Designations
- 9. Identifying Information/Name Change
- 10. Other Names

Reference #: 9366842837B0E5

Individual Name: DOE, JOHN A (1111111)

Firm Name: BROKER-DEALER

ALLOW REP EDITS

**Please make a note of this Reference #: 9366842837B0E5 to give to the Representative**

**Please specify the level of representative access for this filing:**

Allow full access for rep edits (all the pages of the filing will be available for edit by representative).  
 Do not allow rep edits for the following sections  
 4. SRO Registrations  
 5. Jurisdiction Registration  
 6. Registration Requests with Affiliated Firms  
 7. Examination Requests  
 8. Professional Designations

Submit

2. Representatives access the filing via the Web CRD Registered Representative Site: <https://filing.crd.finra.org/crdmain/>. (Note: No email notifications are sent as part of this process.)

3. After accepting the terms & conditions, the representative will be prompted to enter the filing reference number and click Submit to enter the filing.

FINRA

Web CRD ®

CRD Main Forms

Form Filing

[Click here for U4 Filing Hints](#)

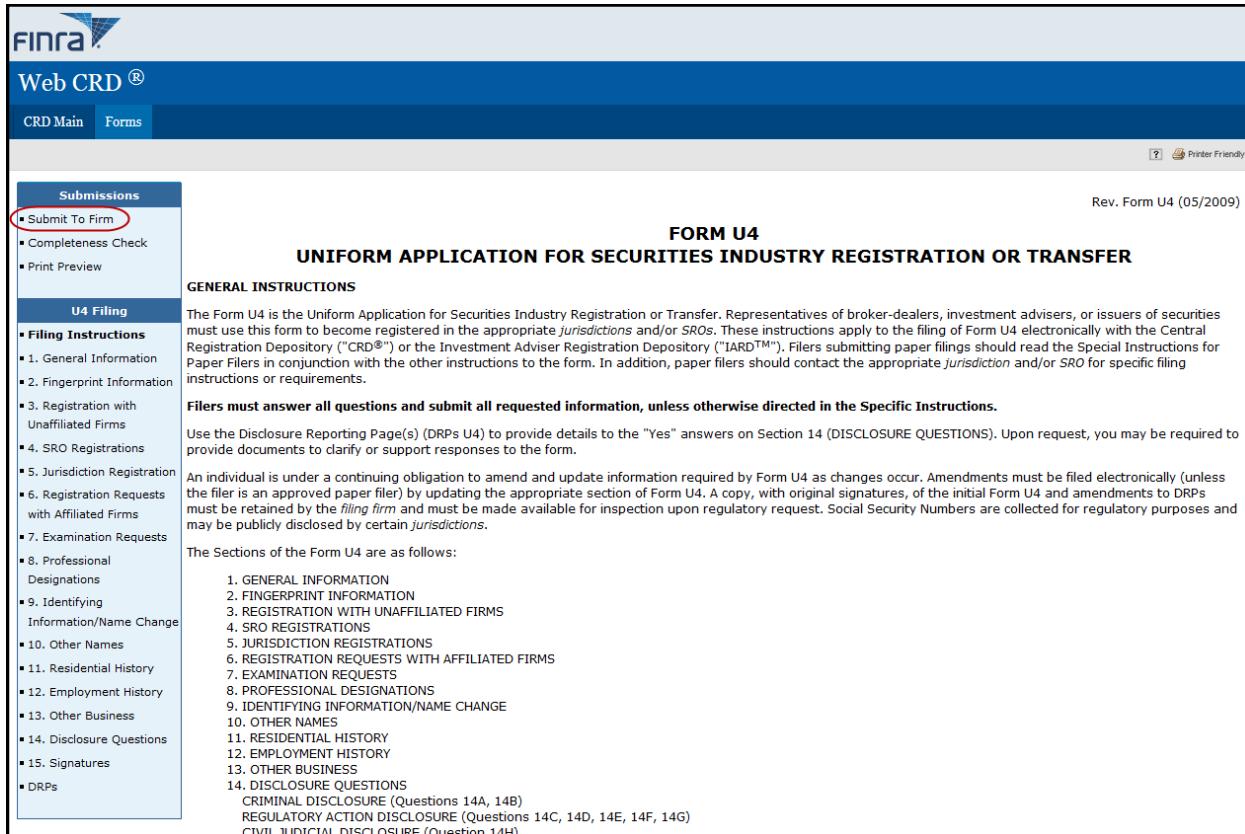
Please enter your filing reference number below:

Submit

## Allow Rep Edits Feature (continued)

The representative will be able to access the allowed sections of the firm using the left navigation panel.

Upon completion, the representative submits the filing back to the firm using the **Submit To Firm** link in the top-left of the navigation panel. The filing will then be available in the firm's Pending U4 Filings queue.



The screenshot shows the FINRA Web CRD Registered Representative Site. The left navigation panel includes 'Submissions' (with 'Submit To Firm' circled in red), 'Completeness Check', and 'Print Preview'. Under 'U4 Filing', there are sections for 'Filing Instructions' (1. General Information through 15. Signatures) and 'DRPs'. The main content area is titled 'FORM U4' and 'UNIFORM APPLICATION FOR SECURITIES INDUSTRY REGISTRATION OR TRANSFER'. It contains 'GENERAL INSTRUCTIONS' and details about the form's purpose and filing requirements. The 'Rev. Form U4 (05/2009)' is noted at the top right.

### Tip

At any time the firm can retrieve a filing sent to a representative by following the same steps to access the Web CRD Registered Representative Site, entering the reference number and clicking **Submit To Firm** in the top-left of the navigation panel. The filing will then be available in the firm's Pending U4 Filings queue.

## Submitting Form U4

When the firm is ready to submit the filing to Web CRD, the submission menu for Form U4 can be found in the top-left of the navigation panel.

**Completeness Check** - A firm can manually perform a Completeness Check, prior to submission, to check filings for completeness of required fields. If the filing does not pass the completeness check, the system will display a description of the error and a link to the error location. Clicking the error location link will automatically take the user to the page where the error exists.

<b>Submissions</b> <ul style="list-style-type: none"> <li>▪ Allow Rep Edits</li> <li>▪ <b>Completeness Check</b></li> <li>▪ Submit Filing</li> <li>▪ Print Preview</li> </ul>	<p>Reference #: 9536177149B0E6 Rev. Form U4 (05/2009)</p> <p>Individual Name: DOE, JOHN (1111111) Firm Name: SECURITIES FIRM (0000)</p> <p style="text-align: center;"><b>ON-LINE COMPLETENESS CHECK</b></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: center; background-color: #f2f2f2;">Error Location</th> <th style="text-align: center; background-color: #f2f2f2;">Error Description</th> </tr> </thead> <tbody> <tr> <td style="text-align: center;"><a href="#">General Information</a></td> <td>The Employment Date in General Information is mandatory.</td> </tr> <tr> <td style="text-align: center;"><a href="#">General Information</a></td> <td>The question, Do you have an independent contractor relationship with the above named firm? Must be explicitly answered Yes or No.</td> </tr> <tr> <td style="text-align: center;"><a href="#">Signatures</a></td> <td>Signature of Appropriate Signatory is mandatory</td> </tr> <tr> <td style="text-align: center;"><a href="#">Signatures</a></td> <td>Signature Date of Appropriate Signatory is mandatory</td> </tr> <tr> <td style="text-align: center;"><a href="#">Signatures</a></td> <td>Signature Name is mandatory.</td> </tr> <tr> <td style="text-align: center;"><a href="#">Signatures</a></td> <td>Signature Date is mandatory.</td> </tr> </tbody> </table>	Error Location	Error Description	<a href="#">General Information</a>	The Employment Date in General Information is mandatory.	<a href="#">General Information</a>	The question, Do you have an independent contractor relationship with the above named firm? Must be explicitly answered Yes or No.	<a href="#">Signatures</a>	Signature of Appropriate Signatory is mandatory	<a href="#">Signatures</a>	Signature Date of Appropriate Signatory is mandatory	<a href="#">Signatures</a>	Signature Name is mandatory.	<a href="#">Signatures</a>	Signature Date is mandatory.	<a href="#">?</a> <a href="#">Printer Friendly</a>
Error Location	Error Description															
<a href="#">General Information</a>	The Employment Date in General Information is mandatory.															
<a href="#">General Information</a>	The question, Do you have an independent contractor relationship with the above named firm? Must be explicitly answered Yes or No.															
<a href="#">Signatures</a>	Signature of Appropriate Signatory is mandatory															
<a href="#">Signatures</a>	Signature Date of Appropriate Signatory is mandatory															
<a href="#">Signatures</a>	Signature Name is mandatory.															
<a href="#">Signatures</a>	Signature Date is mandatory.															

**Print Preview** - Used to view the entire filing for printing purposes. You can choose to print a specific page or the entire filing.

1. Select **Print Preview** from the Submission menu.

<b>Submissions</b> <ul style="list-style-type: none"> <li>▪ Allow Rep Edits</li> <li>▪ <b>Completeness Check</b></li> <li>▪ Submit Filing</li> <li>▪ <b>Print Preview</b></li> </ul>	<p>Reference #: 9536177149B0E6 Rev. Form U4 (05/2009)</p> <p>Individual Name: DOE, JOHN (1111111) Firm Name: SECURITIES FIRM (0000)</p> <p style="text-align: center;"><b>ON-LINE COMPLETENESS CHECK</b></p> <p style="text-align: center;"><b>U4 ON - LINE COMPLETENESS CHECK PASSED SUCCESSFULLY.</b></p>	<a href="#">?</a> <a href="#">Printer Friendly</a>
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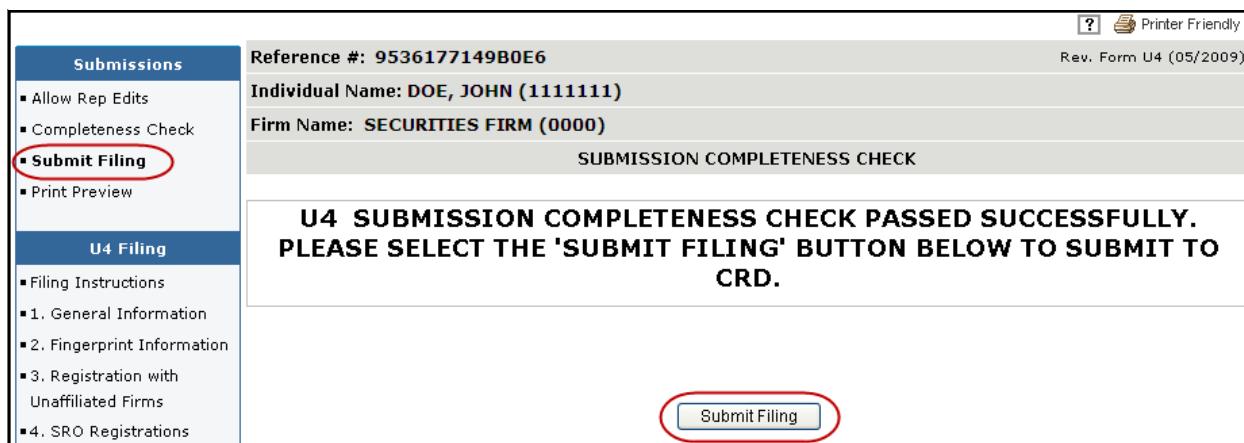
2. To print the entire form filing select **All Sections** from the navigation panel. Otherwise, select the Form U4 section you wish to print.
3. Click the **Printer Friendly** icon located on the right side of the screen

<b>Submissions</b> <ul style="list-style-type: none"> <li>▪ Completeness Check</li> <li>▪ Submit Filing</li> <li>▪ Return to Data Entry</li> </ul> <b>View Form Sections</b> <ul style="list-style-type: none"> <li>▪ <b>All Sections</b></li> <li>▪ 1. General Information</li> </ul>	<p style="text-align: center;"><b>FORM U4</b> <b>UNIFORM APPLICATION FOR SECURITIES INDUSTRY REGISTRATION OR TRANSFER</b></p> <p>Reference #: 9536177149B0E6 Rev. Form U4 (05/2009)</p> <p>Individual Name: DOE, JOHN (1111111) Firm Name: SECURITIES FIRM (0000)</p> <p style="text-align: center;">1. GENERAL INFORMATION</p>	<a href="#">?</a> <a href="#">Printer Friendly</a>
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## Submitting Form U4 (continued)

**Submit Filing** - Submitting a filing is a two-step process: Web CRD automatically runs a completeness check when Submit Filing is selected. If the filing passes the completeness check, the system allows you to continue with the submission process, if the filing does not pass the completeness check, return to the screens where the errors have occurred and correct them.

1. Select **Submit Filing**.
2. Once the filing has passed the completeness check, select **Submit Filing** a second time.



Reference #: 9536177149B0E6  
 Individual Name: DOE, JOHN (1111111)  
 Firm Name: SECURITIES FIRM (0000)  
 SUBMISSION COMPLETENESS CHECK

**U4 SUBMISSION COMPLETENESS CHECK PASSED SUCCESSFULLY.  
 PLEASE SELECT THE 'SUBMIT FILING' BUTTON BELOW TO SUBMIT TO CRD.**

**Submit Filing**

**Submissions**

- Allow Rep Edits
- Completeness Check
- Submit Filing**
- Print Preview

**U4 Filing**

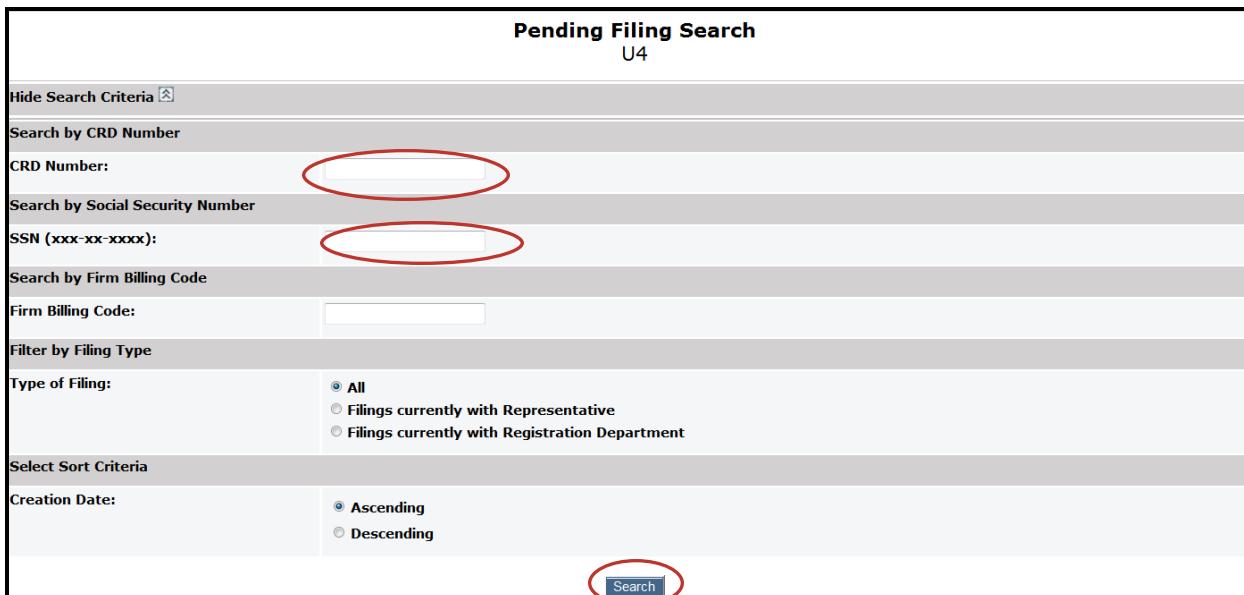
- Filing Instructions
- 1. General Information
- 2. Fingerprint Information
- 3. Registration with Unaffiliated Firms
- 4. SRO Registrations

Printer Friendly Rev. Form U4 (05/2009)

## Retrieving Pending Filings

Filings that have been started but not submitted are considered pending filings. Once a filing is created, it remains in a pending, or draft state for 60 days from the creation date. Firms can access their pending U4 filings through the Site Map or the Forms tab.

Enter the individual's **CRD Number** or **SSN** and click **Search**.



**Pending Filing Search**  
 U4

Hide Search Criteria 

Search by CRD Number  
 CRD Number:

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

Search by Firm Billing Code  
 Firm Billing Code:

Filter by Filing Type  
 Type of Filing:  All  
 Filings currently with Representative  
 Filings currently with Registration Department

Select Sort Criteria  
 Creation Date:  Ascending  
 Descending

**Search**

## Retrieving Pending Filings (continued)

Click the **Filing ID** hyperlink to continue working on the filing. If you no longer wish to submit this filing, you have the option to **Delete** the filing.

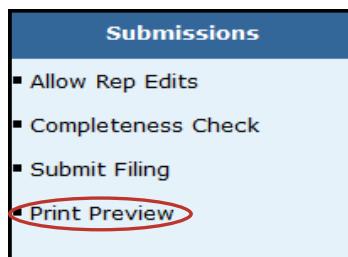
**NOTE:** To see the Reference ID number for “Allow Rep Edits Filings”, hover over the Filing ID number.

The **Expected Purge Date** indicates the day the filing will be deleted from the Pending Filing queue.

Pending Filing Search U4											
Show Search Criteria <a href="#">▼</a>											
Records per Page: <a href="#">25</a> Total Records: 1											
Filing ID	Submission Status	Filing Type	Name	CRD	SSN	Billing Code	CC Status	Creation Date	User ID	Expected Purge Date	Delete
<a href="#">41505843</a>	Pending Submission	Amendment	Doe, John	1111111	xxx-xx-xxxx	<a href="#">View SSN</a>	Fail	07/29/2015	USERID	09/30/2015	<a href="#">Delete</a>

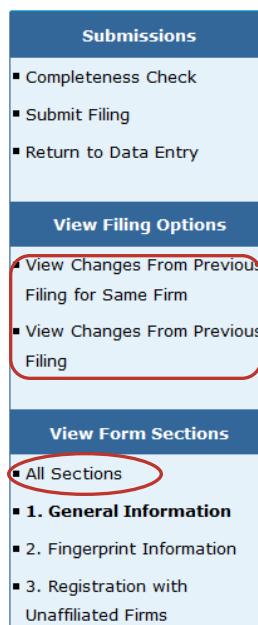
Records per Page: 25 Total Records: 1

Select **Print Preview** from the Submissions menu.



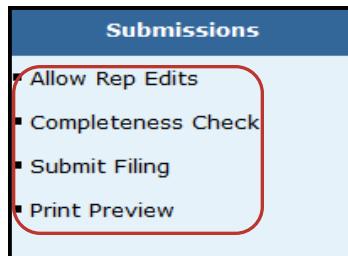
Users will have the option to view the full filing or view changes in “redline mode” by selecting one of the “View Changes” options.

**NOTE:** Redlining will not display across form versions.



## Retrieving Pending Filings (continued)

Select an option from the Submissions menu to continue.



## Viewing Historical Filings

The **Historical Filings** feature allows users to view and/or print Form U4 filings submitted by your firm for a specific individual. The **User ID** of the user that submitted the filing will display. Firms can access historical U4 filings from the Site Map or the Forms tab.

**NOTE:** Non-FINRA users will only see the ID of users from their own organization.

Select the filing **ID** to view the filing.

Historical Filing Search					
U4					
Individual: Doe, John (1111111)					
Show Search Criteria <span style="font-size: small;">▼</span>					
Records per Page: <span style="border: 1px solid black; padding: 2px;">25</span> Total Records: 2					
ID	Date	Type	Submitted by	User ID	
<a href="#">41265715</a>	07/20/2015	U4 Amendment	SECURITIES FIRM (0000)	USER1234	
<a href="#">41265713</a>	07/20/2015	U4 Initial	SECURITIES FIRM (0000)	USER1234	
Records per Page: <span style="border: 1px solid black; padding: 2px;">25</span> Total Records: 2					

Users will have the option to view the full filing or view changes in “redline mode” by selecting one of the “View Changes” options.

**NOTE:** Redlining will not display across form versions.

View Filing Options		U4 - AMENDMENT 11/18/2009			Rev. Form U4 (05/2009)												
<ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> View Changes From Previous Filing for Same Firm</li> <li><input checked="" type="checkbox"/> View Changes From Previous Filing</li> </ul>		<p>Individual Name: <b>DOE, JOHN (1111111)</b></p> <p>Firm Name: <b>SECURITIES FIRM (0000)</b></p>			[?]												
<ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> All Sections</li> <li><input type="checkbox"/> 1. General Information</li> <li><input type="checkbox"/> 2. Fingerprint Information</li> <li><input type="checkbox"/> 3. Registration with Unaffiliated Firms</li> </ul>		<p><b>1. GENERAL INFORMATION</b></p> <table border="0"> <tr> <td>First Name: <b>JOHN</b></td> <td>Middle Name:</td> <td>Last Name: <b>DOE</b></td> <td>Suffix:</td> </tr> <tr> <td>Firm CRD #:</td> <td><b>0000</b></td> <td>Firm Name:</td> <td><b>SECURITIES FIRM</b></td> </tr> <tr> <td>Firm Billing Code:</td> <td><b>1111111</b></td> <td>Individual CRD #:</td> <td><b>000-00-0000</b></td> </tr> </table> <p><b>Do you have an independent contractor relationship with the above named firm?</b></p> <p><input type="radio"/> Yes <input checked="" type="radio"/> No</p>			First Name: <b>JOHN</b>	Middle Name:	Last Name: <b>DOE</b>	Suffix:	Firm CRD #:	<b>0000</b>	Firm Name:	<b>SECURITIES FIRM</b>	Firm Billing Code:	<b>1111111</b>	Individual CRD #:	<b>000-00-0000</b>	
First Name: <b>JOHN</b>	Middle Name:	Last Name: <b>DOE</b>	Suffix:														
Firm CRD #:	<b>0000</b>	Firm Name:	<b>SECURITIES FIRM</b>														
Firm Billing Code:	<b>1111111</b>	Individual CRD #:	<b>000-00-0000</b>														