Chapter Four: Individual Form Filing

About this Section

This section contains information pertaining to submitting Form U4, Form U5 and NRF filings on Web CRD.

Completion Objectives

At the completion of this section the user will be able to:

- Identify and explain Forms U4, U5 and NRF filing types
- Submit Forms U4, U5 and NRF filings electronically
- Retrieve Pending Forms U4, U5 and NRF filings
- View Historical Forms U4, U5 and NRF filings

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About Forms U4, U5 and NRF

CRD allows firms to create and submit electronic filings of Form U4, Form U5 and Non-Registered Fingerprint (NRF) to fulfill federal and state securities registration and licensing requirements.

CRD automatically performs a Completeness Check to prevent firms from submitting incomplete filings. Firms can perform a Completeness Check on their own, prior to submission, to check filings for completeness of required fields. Firms can also modify or delete a filing for up to sixty (60) days from the filing's creation date. After sixty (60) days, if the filing has not been submitted, CRD automatically deletes the filing. Once the filing has been submitted, CRD keeps an inventory of historical filings. Users can view the most recent changes to a filing by accessing the latest filing (e.g. U4, U5) from the Form Filing History screen and then clicking on View Changes From Previous Filing on the navigation panel. Changes will appear in red font.

Entitlement is required to view Social Security Numbers in Web CRD and IARD. For users who do not have this entitlement, Social Security Numbers will display as "xxx-xx-xxx" throughout the system. Individual searches may still be performed using the Social Security Number as part of the search criteria.

In May 2009 (as part of Web CRD & IARD Release 2009.2), the individual forms were revised and re-versioned. Changes include:

- Modifications to the Customer Complaint Disclosure Summary Questions (i.e. Forms U4 and U5)
- Changes to the Form U4 Regulatory Action Disclosure Summary Questions
- Modifications to Form U5 to allow changes to the Date of and Reason for Termination
- Technical and conforming changes to the Disclosure Summary Pages (DRPs) to clarify the information being elicited by regulators and to facilitate accurate reporting by firms

All DRPs created after May 18, 2009 will display in the new format and are labeled as Rev. DRP (05/2009). DRPs that are amended after May 18, 2009 are updated and submitted in the new format. Previously submitted DRPs that do not require updates will persist in the individual's Filing History in the version it was submitted. Please note, Filing History will not display redlining for the first filing (i.e. Form U4 or U5) submitted in the 2009 version, as redlining does not display across different form versions. Redlining will display for all subsequent filings. For more information regarding the changes to the Individual Forms, please access the Individual Forms Web page at: www.finra.org/crd/individualformchanges.

Throughout the Forms U4 and U5, there are italicized words and phrases. When the cursor is positioned over any part of an italicized word or phrase, the definition of that word or phrase appears in a small box. If the definition is not complete, click the More hyperlink to open a second browser with the complete definition from the Glossary of Terms.

Firms can allow representatives to make edits to pending Form U4 filings. Firms assign representatives full or partial access to the Form U4. Upon completion, the representative returns the form electronically through CRD to the firm for filing.

NOTE: Users should avoid entering personal and/or sensitive information (e.g. social security numbers, bank account numbers and customer names) into any of the free text fields in Forms U4 and U5. This would include sections such as Other Business and the Disclosure Reporting Pages.

After submitting the Form U4 filing electronically, firms have thirty (30) days to submit a fingerprint card to FINRA. Fingerprint cards are also maintained by CRD for non-registered individuals through Non-Registered Fingerprint (NRF) filings. Firms can terminate a relationship with an NRF at any time in CRD.

Form U4 Filing Types

The Form U4 is the Uniform Application for Securities Industry Registration and Transfer. Representatives of broker-dealers, investment advisers, or issuers of securities are required to use the Form U4 to become registered in the appropriate self-regulatory organizations (SROs) and/or jurisdictions.

There are nine (9) Form U4 filing types:

1. **Initial* or Transfer –** Initial or Transfer is for individuals who have never been registered on CRD or were last registered more than thirty (30) days ago with a previous firm.

2. **Amendment** – An Amendment is to add or change information on an individual already registered with the filing firm.

3. **Concurrence** – A Concurrence filing is used to concur with and adopt 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 must be completed. If the firm chooses not to concur with the information submitted, it can submit a U4 Amendment.

5. **Page 2 Initial for Schedule A/B*** – 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. 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.

6. **Page 2 Amendment for Schedule A/B** – 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. This type of filing is referred to as a "Page 2 Amendment 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.

   NOTE: 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.

7. **Dual*** – Dual filings are for applicants that intend to maintain registrations with two (2) or more **unaffiliated** broker-dealer and/or investment adviser firms.

8. **Relicense All*** - 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.

9. **Relicense CRD*** – 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.

10. **Relicense IA*** – This filing type is not applicable to AGs.

*This filing type will require additional verification of the individual's social security number (SSN) and month/day of birth upon creation of the filing.

Form U5 Filing Types

The Form U5 is the Uniform Termination Notice for Securities Industry Registration. Broker-dealers, investment advisers, and issuers of securities are required to use the Form U5 to terminate the registration of an individual in the appropriate self-regulatory organizations (SROs) and/or jurisdictions.

There are three (3) Form U5 filing types:

1. **Full:** Full Form U5 is used when terminating an individual from the firm. All registrations with SROs and Jurisdictions will be terminated. A Full U5 must be filed no later than thirty (30) days after the individual has left the firm's employment. Disclosure answers, date of termination and reason for termination are required fields. Residential addresses can be updated. Branch office address information cannot be updated

2. **Partial:** Partial Form U5 is used to terminate individuals from selected SROs/jurisdictions. The reason for termination and disclosure questions are not included on partial Form U5 filings. Residential addresses can be updated. Branch office address information cannot be updated.

3. **Amendment:** Amendment Form U5 is used to update or amend disclosure and/or Date of and Reason for Termination and/or residential information on an individual already terminated from a firm. Terminated individuals are required to update any residential address changes for two years following an individual's termination date.

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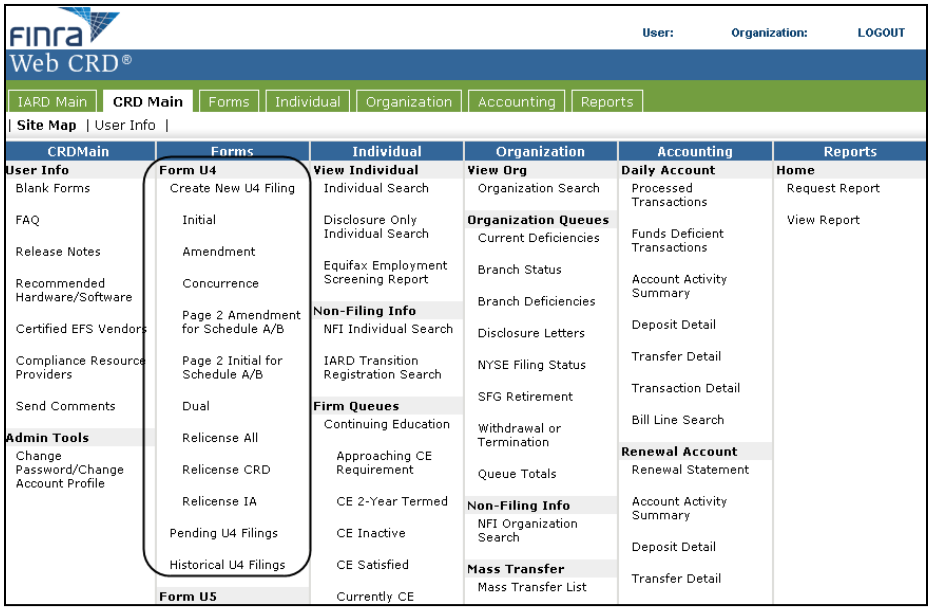
Steps for Creating a Form U4 Filing:

Access U4

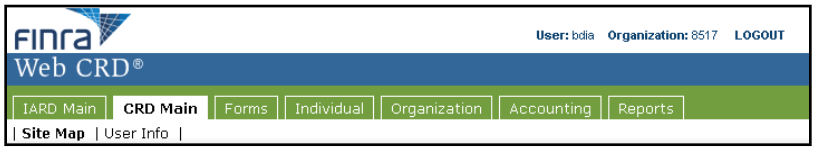
There are two ways to access a Form U4 filing:

1. From the Site Map, click the **Initial**, **Amendment**, **Concurrence**, **Page 2 Initial**, **Page 2 Amendment**, **Dual**, **Relicense All** or **Relicense CRD** hyperlink.



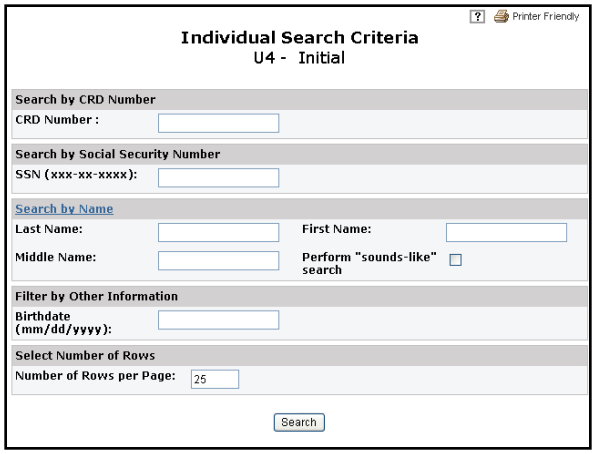
OR

1a. Click the **Forms** Tab from the Tool Bar, choose **U4 Form** from the Sub-Menu and click the **Initial**, **Amendment**, **Concurrence**, **Page 2 Initial**, **Page 2 Amendment**, **Dual**, **Relicense All** or **Relicense CRD** hyperlink.



NOTE: Blank Forms cannot be submitted electronically and are only for printing purposes.

[Result:] The *Individual Search Criteria* screen opens.



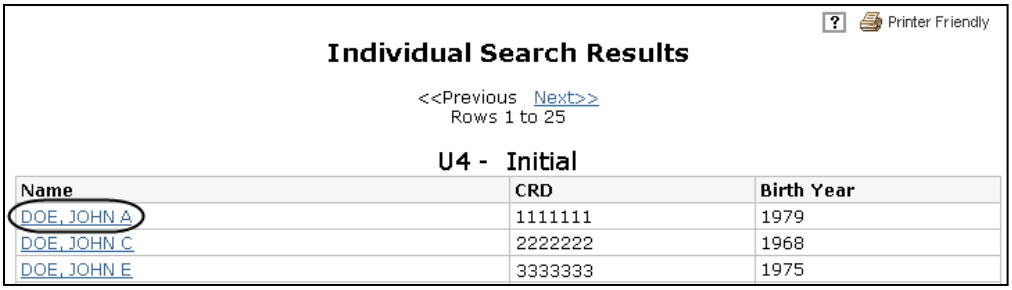
Individual Search

1. 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.\

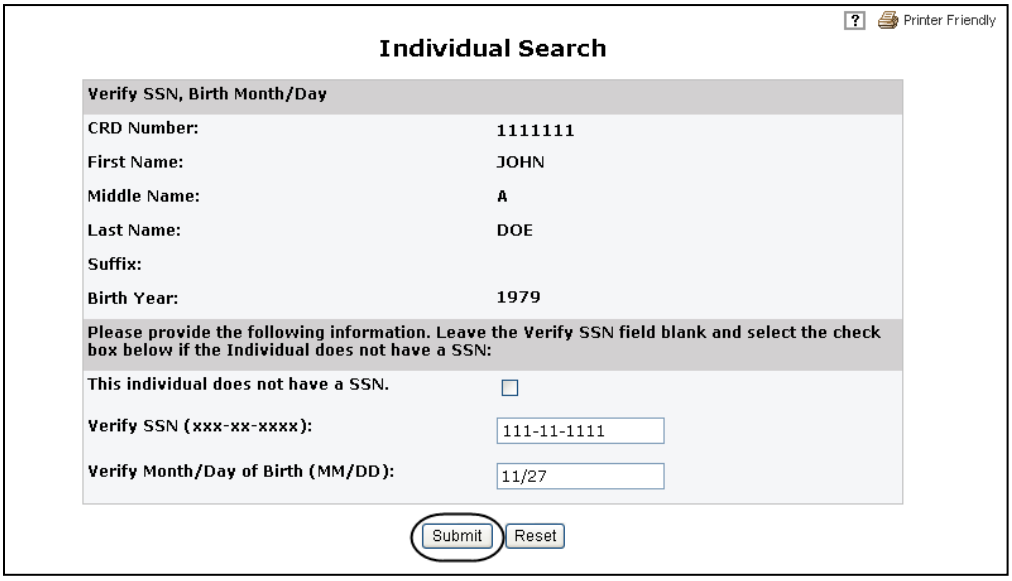
2. Click the **Search** Button.

[Result:] The system provides an individual or list of individuals that match the criteria entered.

3. If the individual exists in CRD, click the **Name** hyperlink to begin the filing.



The following filing types will require additional verification of the individual's social security number (SSN) and month/day of birth once the Name hyperlink is selected: U4 Initial, U4 Dual, U4 Relicense, U4 Page 2 Initial, Initial NRF

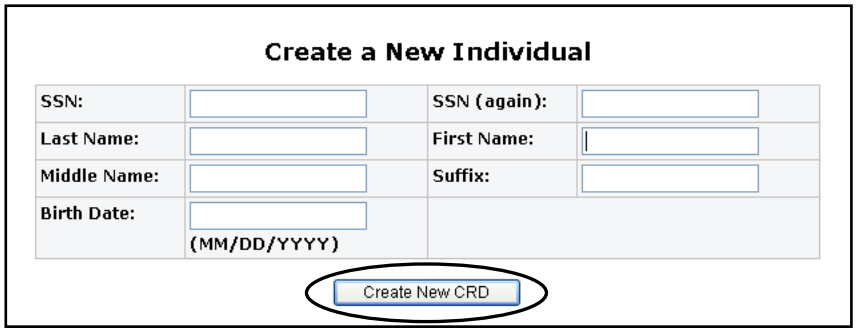


[Result:] The *General Instructions* screen opens.

NOTE: At this point, the Form U4 filing is saved as Pending and can be modified or deleted for two (2) months from the creation date, prior to submission.

Create a New Individual

If there are no individuals listed with the same **SSN** and **Birth Date**, type **SSN** twice, **Last Name**, **First Name**, and **Birth Date** in the **Create a New Individual** fields and click the **Create New ID** button.



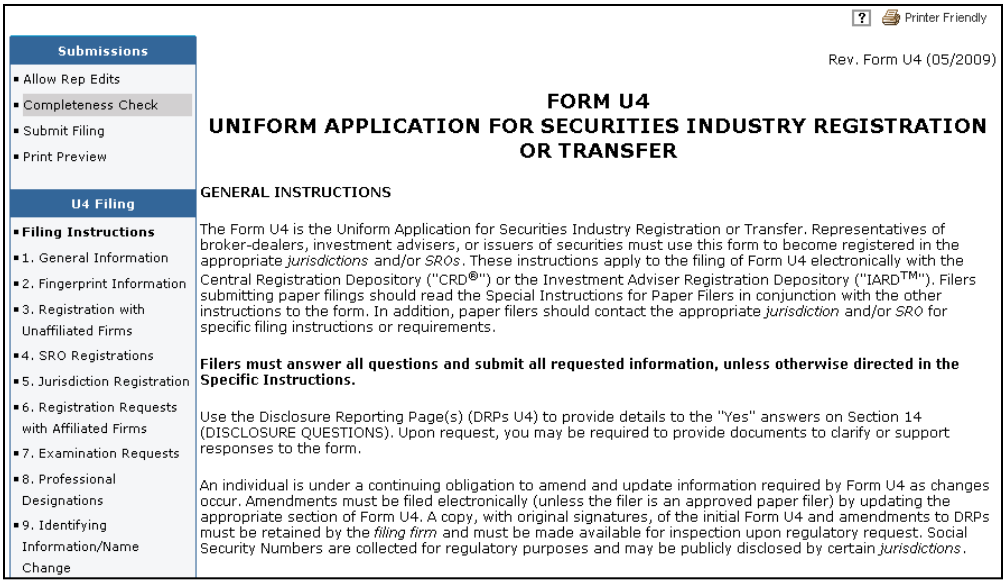
NOTE: The Suffix and Middle Name are optional fields. If the individual does not have a SSN, call the Gateway Call Center at 301-869-6699 to receive a CRD Number.

[Result:] The *General Instructions* screen opens.

NOTE: At this point, the Form U4 filing is saved as Pending and can be modified or deleted for two (2) months from the creation date, prior to submission.

Complete U4 Filing Sections

Click each section of **U4 Filing** from the Navigation Bar, type the appropriate information and click the **Save** button, unless submitting a Concurrence filing. Concurrence filings are read-only, other than the Signatures section, which must be completed.



Complete U4 Filing Sections	**Filing Instructions**: The Filing Instructions displays the **Form U4 Instructions** as well as the **Explanation of Terms** and **Specific Instructions** hyperlinks. **1. General Information**: In this section, the individual's Name, CRD Number, Social Security Number, Firm Name and Firm CRD Number are pre-populated and cannot be changed. The following fields are mandatory and must be completed before the filing is submitted. The Employment date field must be populated, on an Initial U4 filing, 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 view-only field. The independent contractor question must be answered Yes or No. The Firm Billing Code is an optional field that firms can use as applicable. Additionally, 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 registered office of employment (i.e. branch office or main office), or if located at a non-registered office, must provide the registered office of employment that supervises the non-registered location. Within the Add Registered Office of Employment Address fields, the filing firm must check either the "Located At" or "Where Individual is Supervised From" radio button for each registered office of employment that is being added. For example, if the agent is being supervised from the same registered office of employment where he/she is located the "Located At" option should be selected; however, if the agent is being supervised from another location that registered office of employment should be identified and added to the filing by selecting the "Where Individual is Supervised From" option. The Start Date for each registered office of employment that is identified must also be provided. **2. Fingerprint Information**: **(Not Available on a Concurrence filing)** Applicants must select the radio button for the applicable fingerprint option. If a fingerprint card is required based on the option selected, the card must be submitted within thirty (30) days of submitting the Form U4. The Fingerprint card barcode is an optional field. **3. Registration with Unaffiliated Firms**: **(Not Available on a Concurrence filing)** "Dual registration" occurs when an individual chooses to maintain a concurrent registration as a representative with two or more firms (broker-dealer and/or investment adviser firms) that are not affiliated. Consult the applicable rules and statutes of the jurisdictions with which the applicant seeks registration to see whether dual registration is permitted. If an Initial U4 filing type is chosen, the **No** radio buttons will pre-populate. Both 3A and 3B must be answered **Yes** or **No**. **4. SRO Registrations**: **(Not Available on a Concurrence filing)** In SRO Registrations, at least one SRO registration must be requested. **5. Jurisdiction Registrations**: **(Not Available on a Concurrence filing)** Select the jurisdiction(s) where the applicant seeks to register. This section is optional.

Complete U4 Filing Sections (Continued)	**6. Registration Requests with Affiliated Firms**: **(Not Available on a Concurrence filing)** Either the Yes or No radio button must be checked. If the applicant seeks registration with firm(s) affiliated with the filing firm, complete the necessary information on the affiliated firm, save the firm information, and use the SRO and Jurisdiction buttons to select the SRO and/or jurisdictions in which the individual will be registered with the affiliated firm. 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 investment adviser representative positions only 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." **NOTE:** 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. Additionally, there are options to add both a Registered Office of Employment Address and a Non-Registered Office of Employment Address. See the General Information section on page 4-6 for more information. There is also a check box, within the Registered and Non-Registered Office of Employment Address fields to indicate if the affiliated firm's Office of Employment is a private residence. **7. Examination Requests**: **(Not Available on a Concurrence filing)** For Examinations, complete only if rescheduling an exam, scheduling a non-FINRA exam, or an untracked Continuing Education session. **8. Professional Designations**: Professional Designations held by the individual can be disclosed in this section. **9. Identifying Information/Name Change**: This section will be pre-populated with the identifying information provided in the General Information section. First Name, Last Name, Date of Birth, Gender, Height (ft), Height (in), Weight (lbs), Hair Color and Eye Color are mandatory fields. **10. Other Names**: In Other Names, all other names the applicant has been known by since the age of eighteen (18) must be listed. **11. Residential History**: The current address is mandatory and a minimum of five (5) years of residential history must be provided. From, To, Street Address 1, City, State or Country, and Postal Code are mandatory fields. There may not be gaps of more than three (3) months between history records. **12. Employment History**: In Employment History, a minimum of ten (10) years of employment must be provided. All fields must be completed on each employment record. There may not be gaps of more than three (3) months between employment records. **13. Other Business**: In Other Business, the radio buttons must be checked **Yes** or **No**. If answered **Yes**, text describing the other business activity is required. **14. Disclosure Questions**: In Disclosure Questions, all radio buttons must be checked **Yes** or **No**. If a disclosure question is answered **Yes**, then the corresponding Disclosure Reporting Page (DRP) must be completed.

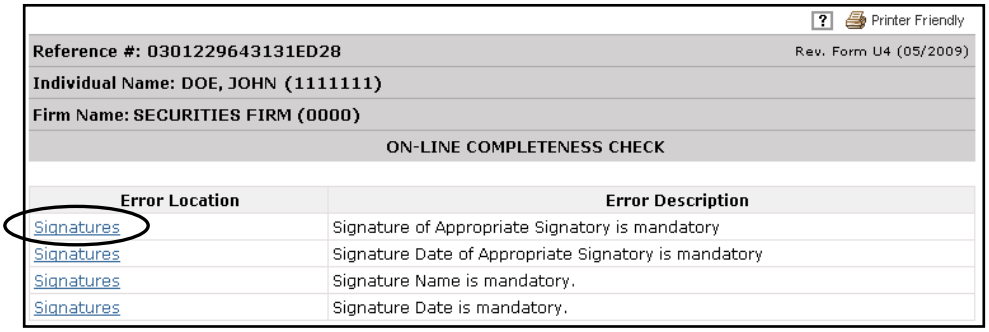
Complete U4 Filing Sections	**DRPs**: Disclosure Reporting Pages must be completed to provide information for all **Yes** answers to disclosure questions. To complete a DRP, see steps 1 through 21 on pages 4-13 through 4-15 of Steps for Completing a Form U4 Disclosure Reporting Page. **15. Signatures**: For the Applicant, enter the date the filing is being signed. For Appropriate Signatory entries, enter the date the filing is being submitted to the CRD system. The Applicant and Appropriate Signatory's full legal name must be entered in the appropriate fields (i.e. Signature of Applicant and Signature of Appropriate Signatory). **NOTE**: The Signature fields in CRD will appear in accordance with the type of form filing the Web CRD user requests. Below are the various signatory fields that will be required depending upon the specific filing type (e.g. Initial, Amendment, Dual, Relicense, etc.) **15A. Individual/Applicant's Acknowledgement and Consent** - This Signature field must be completed on Initial and/or Temporary Registration (i.e. Relicense) form filings. **15B. Firm/Appropriate Signatory Representations –** This Signature field must be completed on all Initial or Temporary Registration form filings. **15C. Temporary Registration Acknowledgement** – This Signature field must be completed on Temporary registration (i.e. Relicense) form filings. **15D. Individual/Applicant's Amendment Acknowledgement And Consent** – This Signature field must be completed on Amendment filings that modify information in the Disclosure section of the filing or on any Disclosure Reporting Pages. **15E. Firm/Appropriate Signatory Amendment Representations** – This Signature field appears on Amendment filings. **15F. Firm/Appropriate Signatory Concurrence** – This Signature filed appears and must be completed on all concurrence form filings. **NOTE:** Choose any section of the U4 Filing at any time. There is no requirement to proceed in the order of the Navigation Bar.

Completeness Check

1. Click **Completeness Check** from the Submissions Menu.

NOTE: You can perform a Completeness Check at any time during the Form Filing process by selecting Completeness Check from the Submissions menu. In addition, attempting to submit the form filing with incomplete fields will open the Completeness Check error screen. If the filing passes a Completeness Check, go to step 8.

[Result:] The following *Error Location* and *Error Description* screen opens.

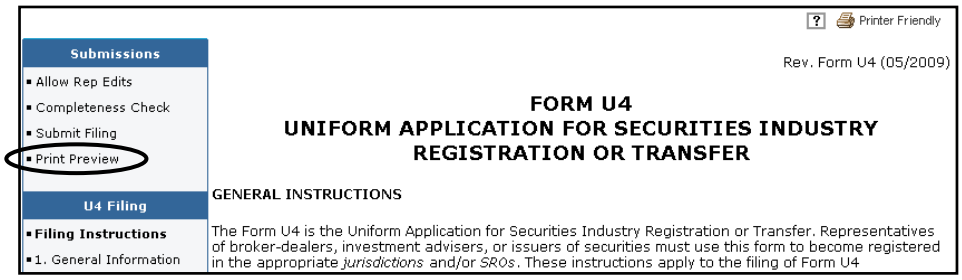


2. Click the **Error Location** hyperlink(s) and complete the necessary fields until all errors have been corrected. **NOTE:** The filing cannot be submitted to the CRD system until all Completeness Check errors are cleared.

Print

1. Click **Print Preview** from the Submissions Menu, click a section from the Navigation Bar to view and print that section or choose **All Pages** to view or print the form in its entirety.

2. Click the Printer Friendly icon and click **Print** on the print dialogue box.



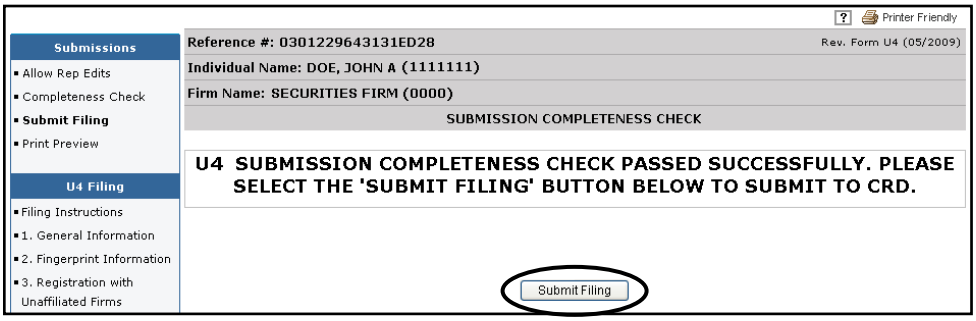
NOTE: Firms are responsible for complying with the "Books and Records" requirements pursuant to Rules 17a-3 and 17a-4 under the Securities Exchange Act of 1934. The Instructions to the Form U4 require that firms retain a copy, with original signatures, of the initial Form U4 and amendments to Section 14 (Disclosure Questions) or Disclosure Reporting Pages (DRPs).

Submit Filing

1. Click **Submit Filing** from the Submissions Menu when ready to submit the filing to CRD.

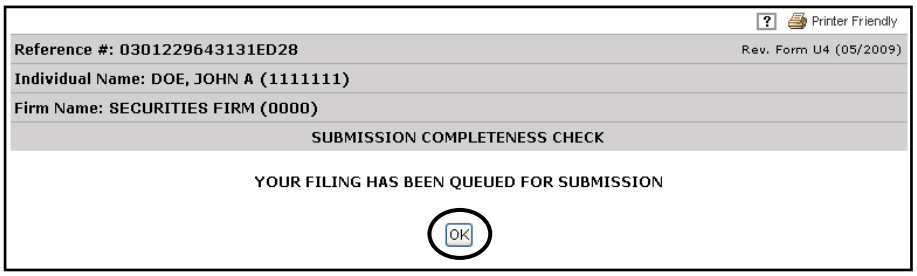
NOTE: When Submit Filing is selected prior to running a Completeness Check, CRD will automatically run a Completeness Check to verify that all required information has been provided. If information has not been completed in the required fields, the Completeness Check will display the error screen with links to the required fields to be completed. To correct Completeness Check errors, see step 7 on page 4-4 of Steps for Creating a Form U4 Filing.

[Result:] The *Submit Filing* screen opens.



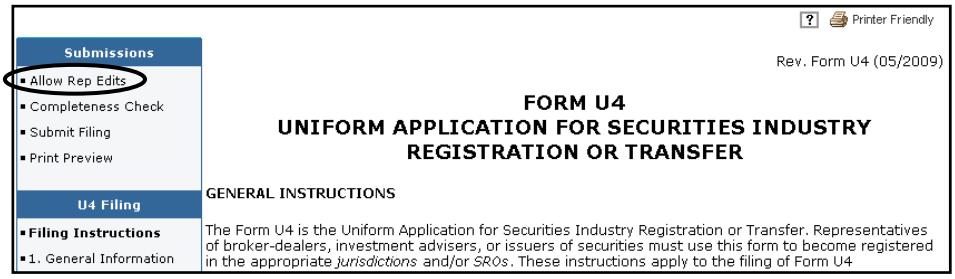
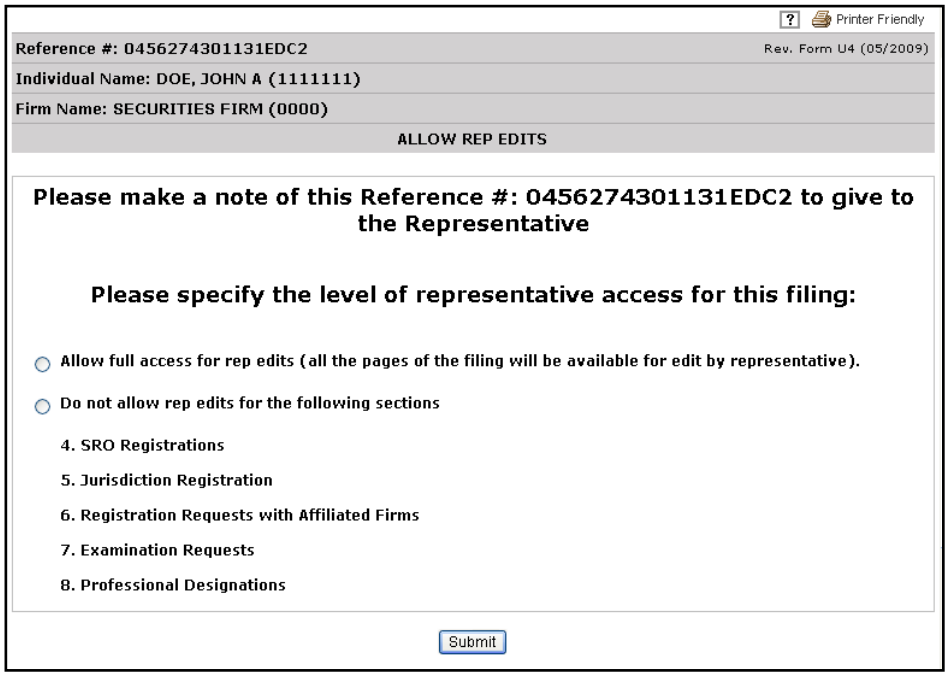
2. Click the **Submit Filing** button.

[Result:] The *Submission Completeness Check* screen displays the following text: "Your filing has been queued for submission".



3. Click the **OK** button.

Steps for Allowing Rep Edits:

Access Allow Rep Edits	**NOTE**: The following procedure for routing a Pending Form U4 electronically to a representative is optional. The filing can be routed to a representative at any point during a U4 Form filing. 1. To **Allow Rep Edits** during an **Initial**, **Amendment**, **Page 2 Initial, Page 2 Amendment**, **Dual**, **Relicense All or Relicense CRD**, see steps 1 through 5 on pages 4-4 through 4-6 of Steps for Creating a U4 Filing. **OR** 1a. To **Allow Rep Edits** for a **Pending** U4 filing, see steps 1 through 4 on pages 4-32 through 4-33 of Steps for Retrieving Pending U4, U5 and NRF Filings.
Allow Rep Edits	2. Click **Allow Rep Edits** from the Submission Menu.  **[Result:]** The *Allow Rep Edits* screen opens.  3. Click the radio button next to **Allow full access for representative edits** to allow the representative to complete all the sections of the electronic U4.

Allow Rep Edits (Continued)	**OR** 3a. Click the radio button next to **Do not allow representative edits for the following sections: 4. SRO Registrations, 5. Jurisdiction Registration, 6. Registration Requests with Affiliated Firms, 7. Examination Requests, 8. Professional Designations**. **NOTE**: Make note of the 14-digit reference number for the filing (the representative will need this number to access the form filing). 4. Click the **Submit** button and provide the representative with the reference number and the URL address: https://filing.crd.finra.org/crdmain. **NOTE:** If a user wants to retrieve the filing after submitting the filing to a representative, see below steps 1 through 5 of Rep Makes Edits.
Rep Makes Edits	To make edits as a Representative: 1. Type the **URL** address from Internet Browser. 2. Click the **Accept** button from the *Terms and Conditions* screen. 3. Type the filing **Reference Number** and click the **Submit** button. 4. Type edits. To complete U4 filing, see steps 5 through 7 on pages 4-6 through 4-8 of Steps for Creating a U4 Filing. 5. Click **Submit to Firm** from the Submissions Menu to return the filing to the firm for submission. **[Result:]** The *Filing Sent* screen opens. The filing has been sent to your firm. OK **NOTE**: The filing returns to Pending. To retrieve a pending filing, see steps 1 through 4 on pages 4-33 through 4-34 of Steps for Retrieving Pending U4, U5 and NRF Filings.

Steps for Completing a Form U4 Disclosure Reporting Page:

Access DRP

NOTE: Disclosure Reporting Pages must be completed to provide information on Yes answers to Disclosure Questions.

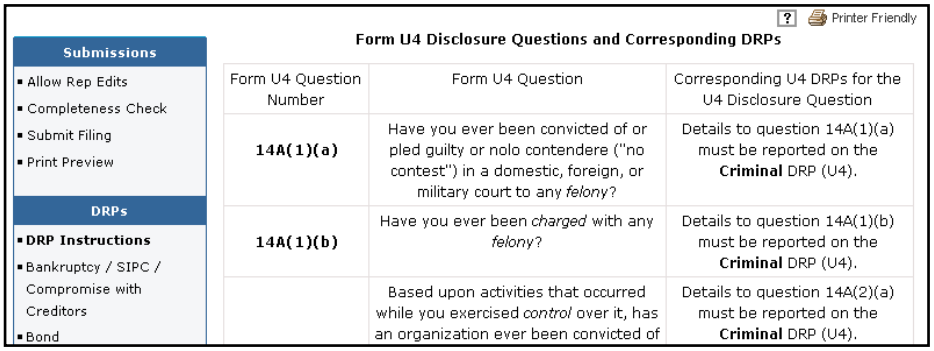
1. To access **DRPs** during an **Initial**, **Amendment**, **Concurrence**, **Dual**, **Relicense All** or **Relicense CRD** U4 filing, see steps 1 through 5 on pages 4-4 through 4-6 of Steps for Creating a Form U4 Filing.

1a. To access **DRPs** for a **Pending** U4 filing, see steps 1 through 4 on pages 4-33 through 4-34 of Steps for Retrieving Pending U4, U5 and NRF Filings.

View DRP

2. Click **DRPs** from the Navigation Bar.

[Result:] The *Form U4 Disclosure Questions and DRPs* screen opens.



NOTE: 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 is an example of how to edit a Regulatory Action DRP:

3. Click **Regulatory Action** from the Navigation Bar.

[Result:] The *Regulatory Action DRP* screen opens.

4. Click the **Edit** hyperlink to update an existing DRP.

4a. Click the **View** hyperlink to open a read-only copy of the latest DRP filed.

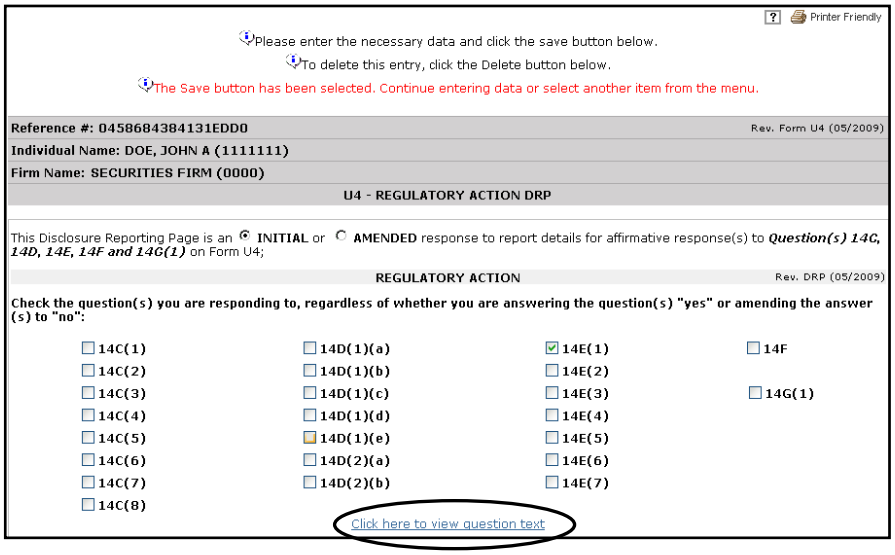
4b. Click the **Create New** button to enter a new DRP.

Complete DRP

[Result:] The *corresponding DRP* opens.

NOTE: The Initial or Amended radio buttons are pre-populated to reflect the DRP filing type and will display once data is saved.

5. Select the box next to the **Disclosure Question** that requires more detailed information. The **Click here to view question text** hyperlink can be used to view the question.

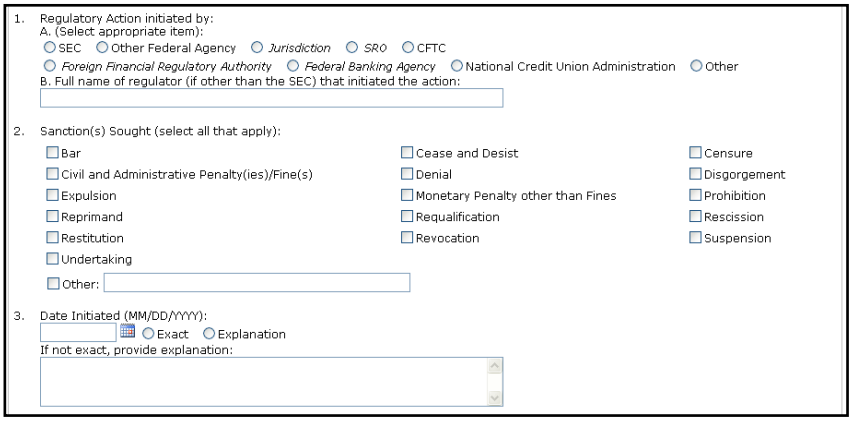


NOTE: If the DRP being edited was previously submitted in a pre-2009.2 DRP version, certain fields in the edited version will be populated with data provided in the last filing.

6. Select the appropriate **Regulatory Action initiated by** radio button and enter the full name of the regulatory authority in the text box.

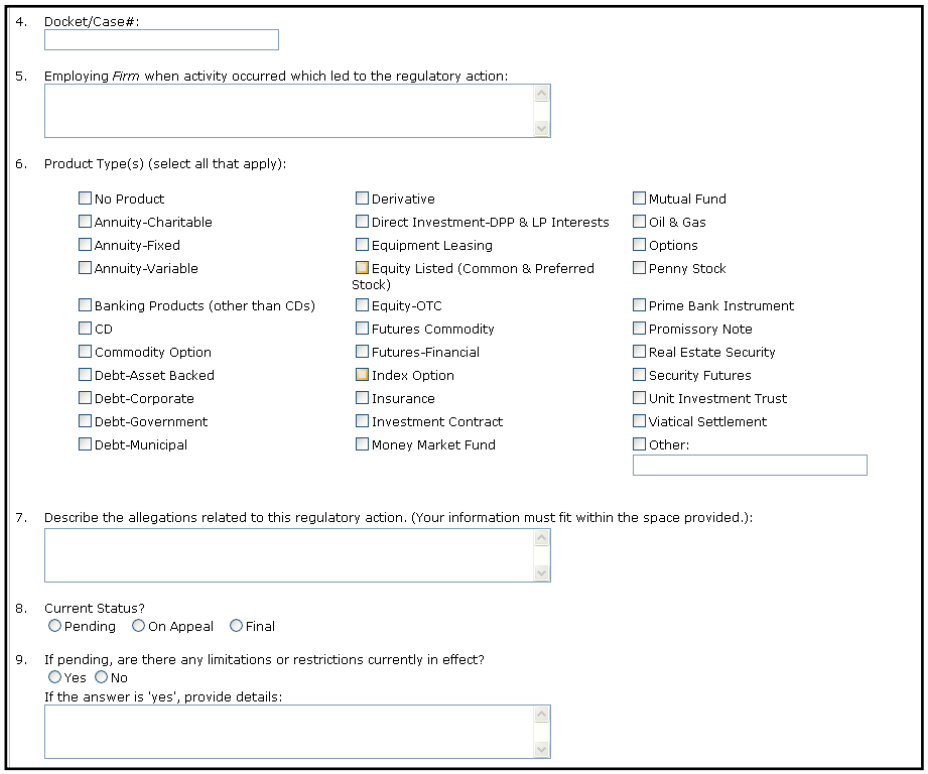
7. Select the appropriate **Sanction(s) Sought** checkbox. If **Other** is selected, enter an explanation in the text box provided.

8. Enter the **Date Initiated** (MM/DD/YYYY format) in the text box or use the calendar control feature to populate the date and select the **Exact** radio button. If unsure of the date, select the **Explanation** radio button, enter an approximate date and provide an explanation in the text box.



Complete DRP (Continued)

9. Enter the **Docket/Case #** in the text box.
10. Enter the name of the **Employing Firm when activity occurred which led to the regulatory action** in the text box.
11. Select the appropriate **Product Type(s)** checkbox. If **Other** is selected, enter an explanation in the text box provided.
12. Enter the **Description of the allegations related to this regulatory action** in the text box.
13. Select the **Pending, On Appeal** or **Final** radio button. If the **Pending** radio button is selected, see step 14 below. If **On Appeal** radio button is selected, see step 15 below. If **Final** radio button is selected, see step 16 below.
14. If Pending, select the **Yes** or **No** radio button to denote if **there are any limitations or restrictions currently in effect**. If **Yes**, enter an explanation in the text box provided.



NOTE: A maximum of 2000 characters, including spaces can be entered.

Complete DRP
(Continued)

15. If on Appeal:

    a. Select the appropriate **Action appealed to** radio button and enter the full name of the organization to which the regulatory action was appealed in the text box.

    b. Enter the **date the appeal was filed** (MM/DD/YYYY format) in the text box and select the **Exact** radio button. If unsure of the date, select the **Explanation** radio button and enter an approximate date with an explanation in the text box.

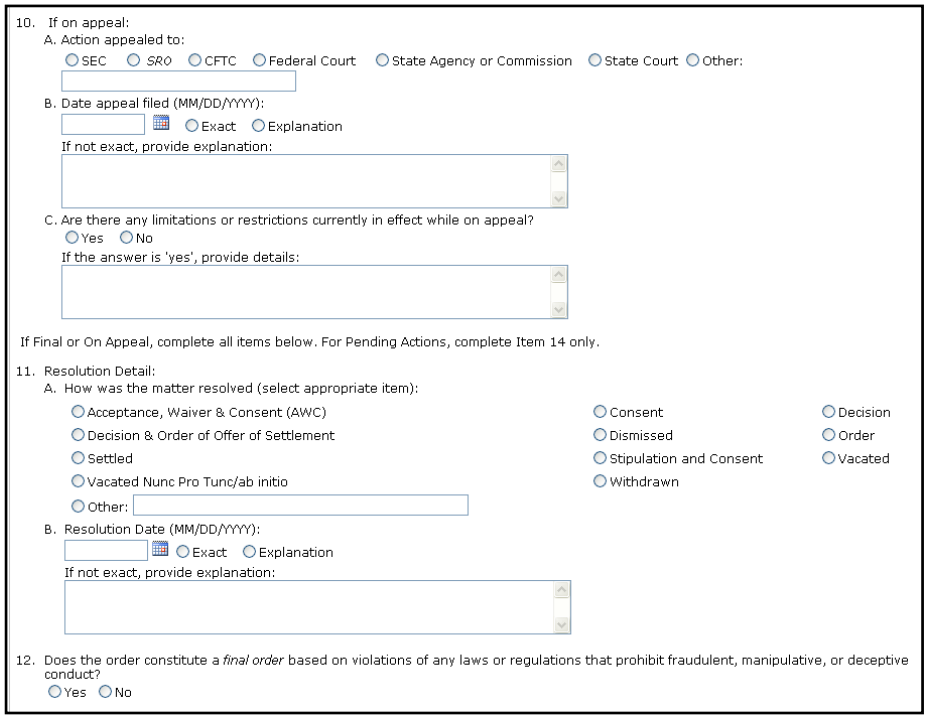
    c. Select the **Yes** or **No** radio button to denote if **there are any limitations or restrictions currently in effect while on appeal**. If **Yes** is selected, enter an explanation in the text box provided.

16. Resolution Detail:

    d. Select the appropriate radio button for **how the matter was resolved**. If **Other** is selected, enter an explanation in the text box provided.

    e. Enter the **resolution date** (MM/DD/YYYY format) in the text box and select the **Exact** radio button. If unsure of the date, select the **Explanation** radio button and enter an approximate date with an explanation in the text box.

17. Select the **Yes** or **No** radio button to denote if **the order constitutes a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct**.



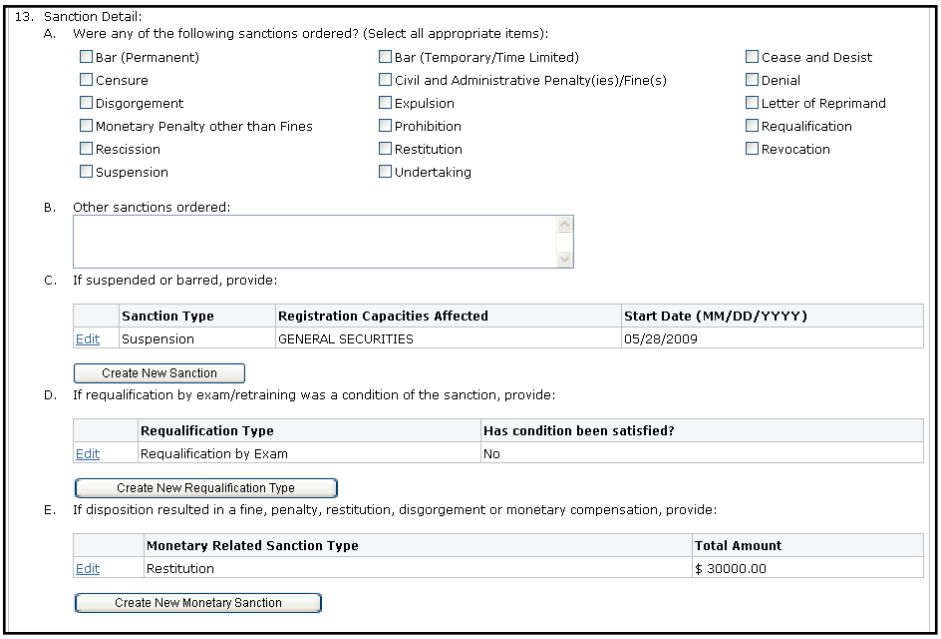
Complete DRP
(Continued)

18. Sanction Detail

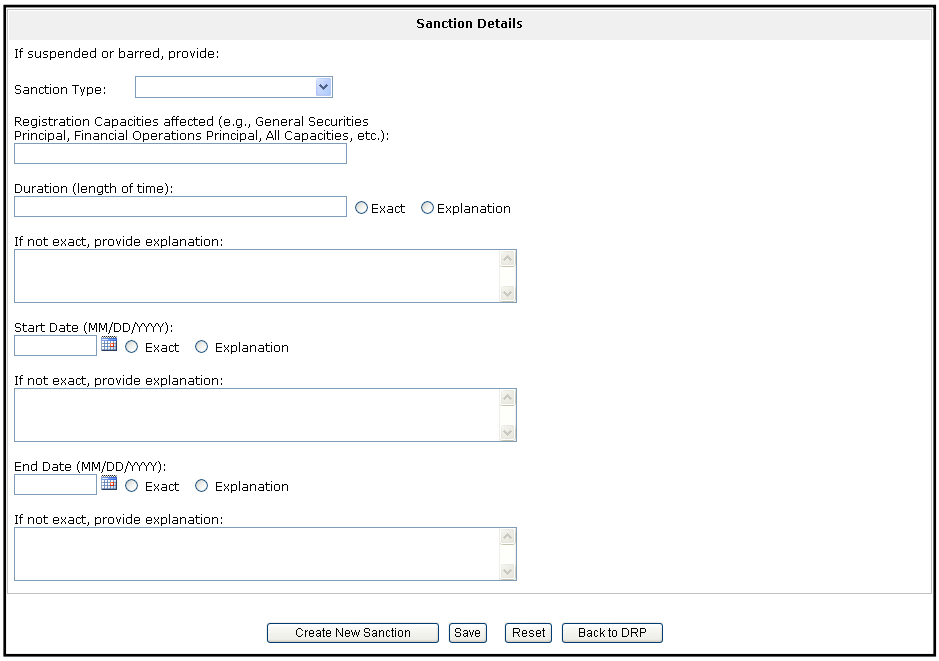
a. Select the appropriate **sanction(s) ordered** checkbox**.**

b. Enter an explanation of **other sanctions are ordered** in the text box provided.

c. Click the **Edit** hyperlink to edit Sanction Details, Requalification Details, or Monetary Sanction Details previously reported.



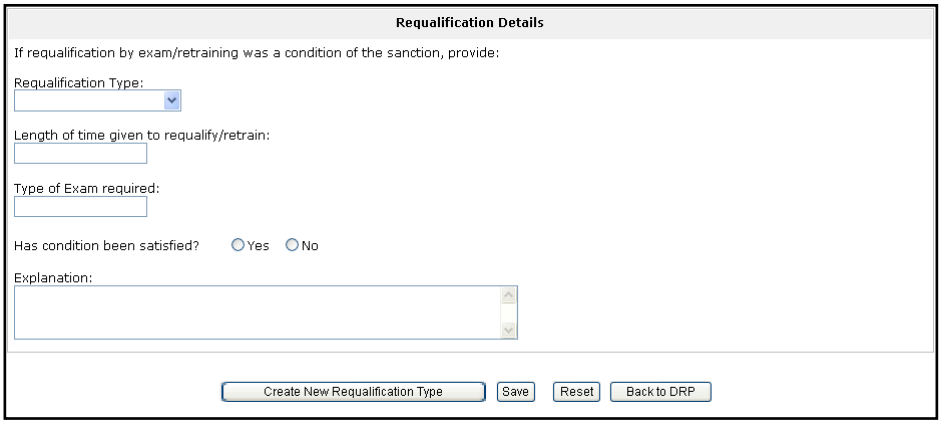
d. If suspended or barred, click the **Create New Sanction** button to provide Sanction Details.



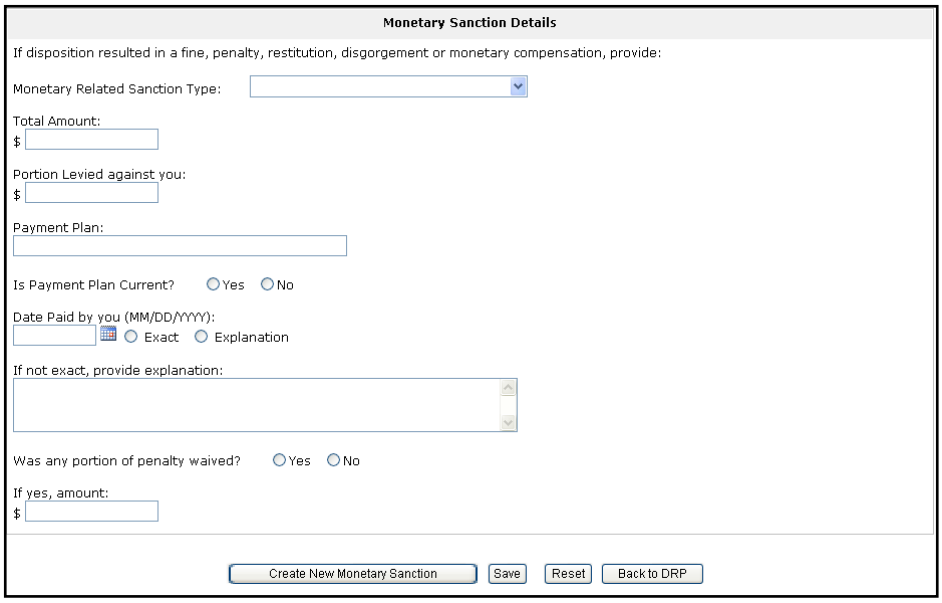
Complete DRP (Continued)

Sanction Detail (Continued):

e. Click the **Create New Requalification Type** to enter Requalification Details for a new Requalification item.



f. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, click the **Create New Monetary Sanction** button to provide Monetary Sanction Details.



19. 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.
20. Click the **Save** button on the DRP.
21. Click **Return to Form** from the Navigation Bar to complete the U4 filing.

OR

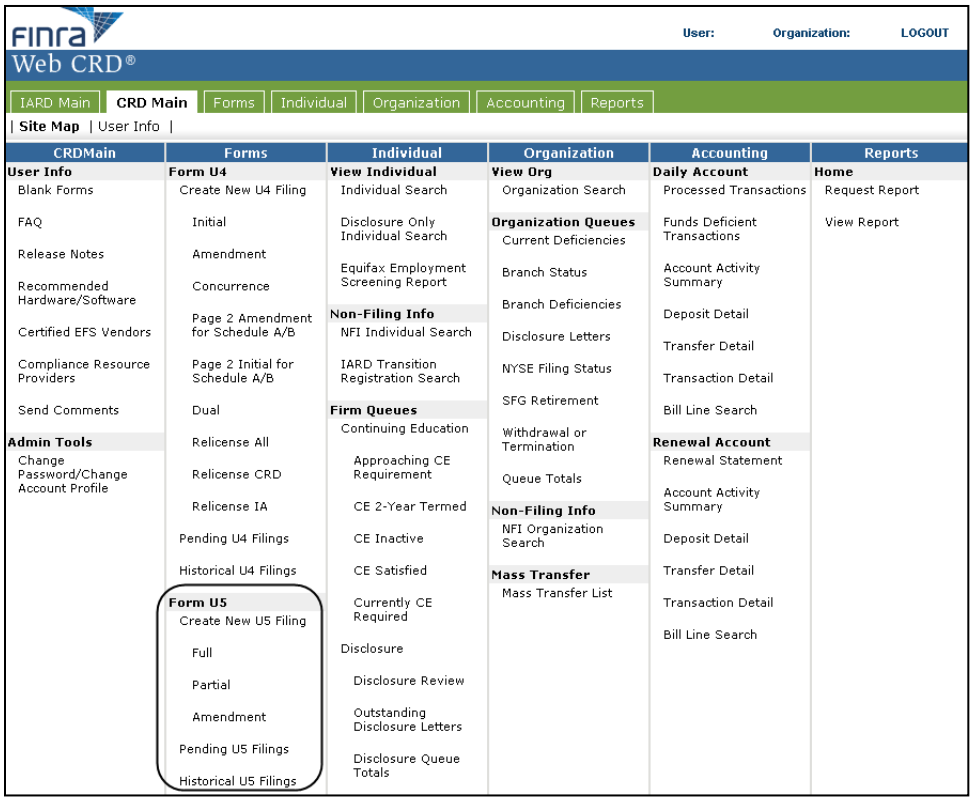
22. Click **Submit Filing** from the Submissions Menu to submit the filing.

Steps for Creating a Form U5 Filing:

Access U5

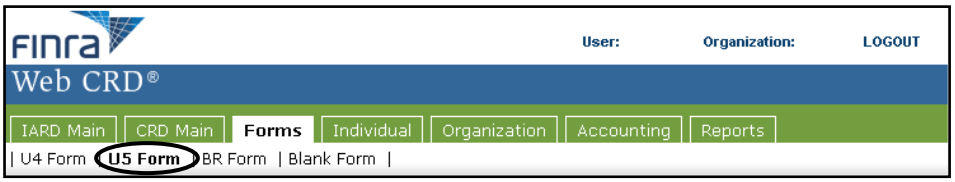
There are two ways to access a Form U5 filing:

1. From the Site Map, click the **Full**, **Partial** or **Amendment** hyperlink.



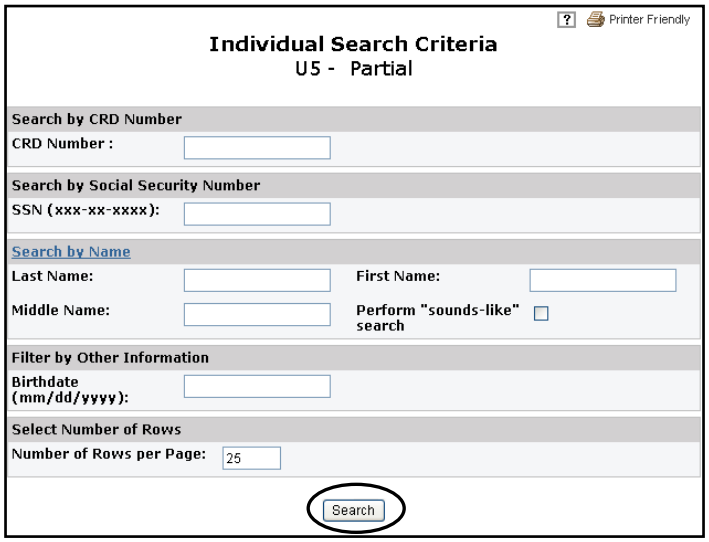
OR

1a. Click the **Forms** Tab from the Tool Bar, choose **U5 Form** from the Sub-menu and click the **Full**, **Partial** or **Amendment** hyperlinks.



Individual Search

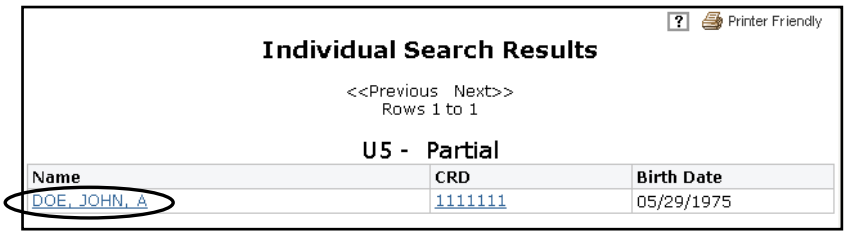
[Result:] The *Individual Search Criteria* screen opens.



2. Enter at least one of the following: individual's **CRD Number**, **Last Name** and/or **Social Security Number**. For a more specific search, enter a **First Name, Middle Name** and/or **Birth Date** to locate the individual.

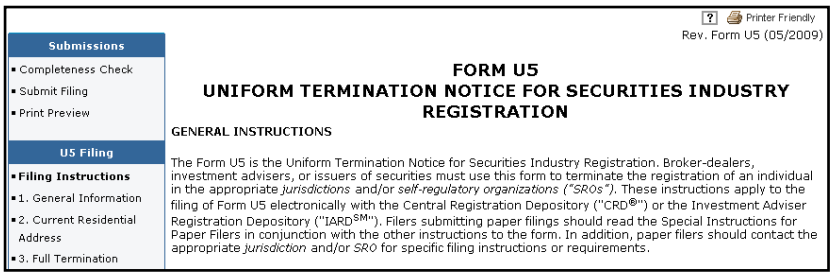
3. Click the **Search** Button.

[Result:] The system provides an individual or list of individuals that match the criteria entered.



4. Click the **Name** hyperlink.

[Result:] The *General Instructions* section opens.



NOTE: At this point, the Form U5 filing is saved as Pending and can be modified or deleted for sixty (60) days from the creation date prior to submission.

5. Click each section of U5 Filing from the Navigation Bar, type the appropriate information and click the **Save** button.

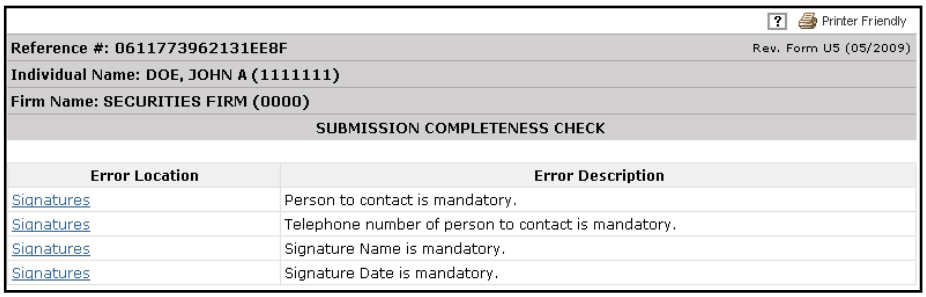
Complete U5 Filing Sections	**Filing Instructions**: The Filing Instructions displays the Form U5 Instructions and Explanation of Terms hyperlink. **1. General Information**: In General Information, all of the fields are pre-populated and cannot be changed. **2. Current Residential Address**: Current Residential Address pre-populates with the current residential address entered in the Residential History section of the Form U4. The address can be modified. Users can also add an additional address. A current address is mandatory unless the Reason for Termination is Deceased. **3. Full Termination: (Not Available on a Partial U5 filing)** In Full Termination, the Reason for Termination is a mandatory field. A **Yes** response will terminate all registrations with jurisdictions. If the reason for termination is Permitted to Resign, Discharged or Other, an explanation of the reason for termination is mandatory. **4. Date Terminated**: Date Terminated is a mandatory field for both partial and full terminations. The date provided should be the actual date (i.e. MM/DD/YYYY) in which the termination is effective. **5a. SRO Partial Termination**: **(Not Available on a U5 Amendment or Full U5 filing)** SRO Partial Terminations pre-populates with the SRO registrations entered on the Form U4 filing. Select the SRO(s) with which the applicant wishes to terminate registration. **5b. Jurisdiction Partial Termination**: **(Not Available on a U5 Amendment or Full U5 filing)** Jurisdiction Partial Terminations pre-populates with the Jurisdiction registrations entered on the Form U4 filing. Select the jurisdiction(s) with which the applicant wishes to terminate registration. **6. Affiliated Firm Termination**: **(Not Available on a U5 Amendment filing)** Affiliated Firm Terminations pre-populates with the Affiliated Firms data and information from the Form U4 and must be answered **Yes** or **No**. If **Yes** is selected, at least one (1) firm in the affiliated firms section must be selected for a Full U5, and at least one (1) jurisdiction must be selected in at least one (1) affiliated firm for a Partial U5. **7. Disclosure Questions**: **(Not Available on a Partial U5 filing)** In the Disclosure Questions section, all radio buttons must be checked **Yes** or **No**. If a Disclosure Question is answered **Yes**, then the corresponding Disclosure Reporting Page (DRP) must be completed. Firms may select the Disclosure Certification checkbox to certify that the information provided on the latest Form U4 is current. **8. Signature**: The Firm Acknowledgement Section (8A) must be completed for all U5 form filings submitted by a firm. The Individual Acknowledgement and Consent Section (8B) must be completed on Amendment U5 form filings where the individual is submitting changes to Part II of the Internal Review DRP or changes to Section 2 (Current Residential Address). **DRPs: (Not applicable on a Partial U5)** A Disclosure Reporting Page must be completed to provide information for a **Yes** answer to a disclosure question. To complete a DRP, see steps 1 through 21 on pages 4-22 through 4-25 of Steps for Completing a Form U5 Disclosure Reporting Page. **NOTE**: You can choose any section of the U5 Filing at any time. You do not have to go in the order of the Navigation Bar.

Completeness Check

1. Click **Completeness Check** from the Submission Menu.

NOTE: You can perform a Completeness Check at any time during the Form Filing process by selecting Completeness Check. In addition, attempting to submit the form filing with incomplete fields will open the Completeness Check error screen. If the filing passes a Completeness Check, go to step 8.

[Result:] The following *Error Location* and *Error Description* screen opens.

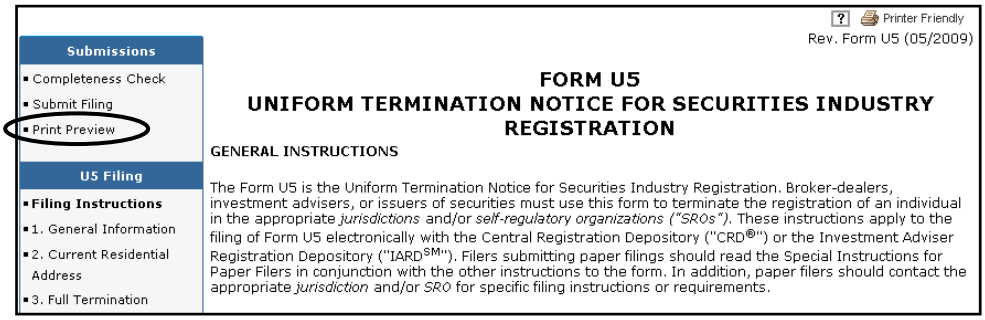


2. Click the **Error Location** hyperlink(s) and complete the necessary fields until all errors have been corrected.

Print

1. Click **Print Preview** from the Submissions Menu, click a section from the Navigation Bar to view and print that section or choose **All** Pages to view or print the form in its entirety.

2. Click the Printer Friendly icon and click **Print** on the system print box.



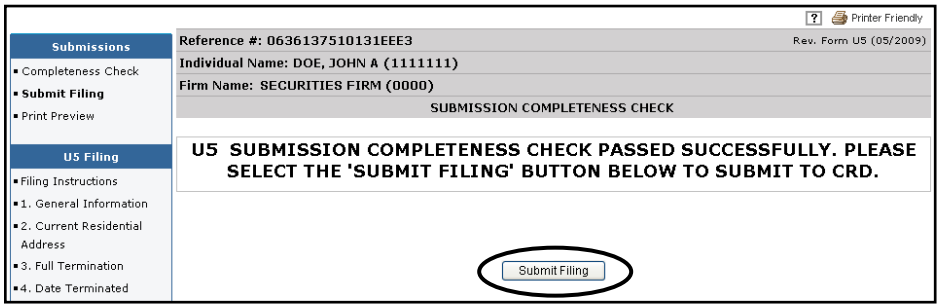
NOTE: A paper copy of the form, with original manual signatures, is required to be retained by the filing firm and made available for inspection upon regulatory request. Check the General Instructions for specific retention requirements.

Submit Filing

3. Click **Submit Filing** from the Submissions Menu when ready to submit the filing to CRD.

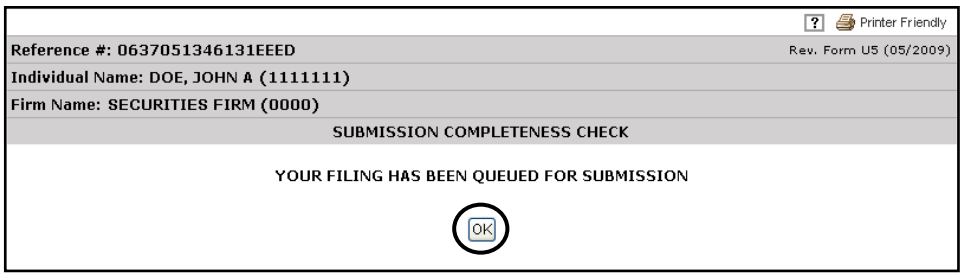
NOTE: When Submit Filing is selected prior to running a Completeness Check, CRD will automatically run a Completeness Check to verify that all required information has been provided. If information has not been completed in the required fields, the Completeness Check will display the error screen with links to the required fields to be completed. To correct Completeness Check errors, see step 7 on page 4-20 of Steps for Creating a Form U5 Filing.

[Result:] The *Submit Filing* screen opens.



4. Click the **Submit Filing** button.

[Result:] The *Submission Completeness Check* screen displays the following text: "Your filing has been queued for submission".



5. Click the **OK** button.

Steps for Completing a Form U5 Disclosure Reporting Page:

Access DRPs

NOTE: Disclosure Reporting Pages must be completed to provide information on Yes answers to Disclosure Questions.

1. To access **DRPs** during a **Full** or **Amendment** U5 filing, see steps 1 through 4 on pages 4-16 through 4-18 of Steps for Creating a Form U5 Filing.

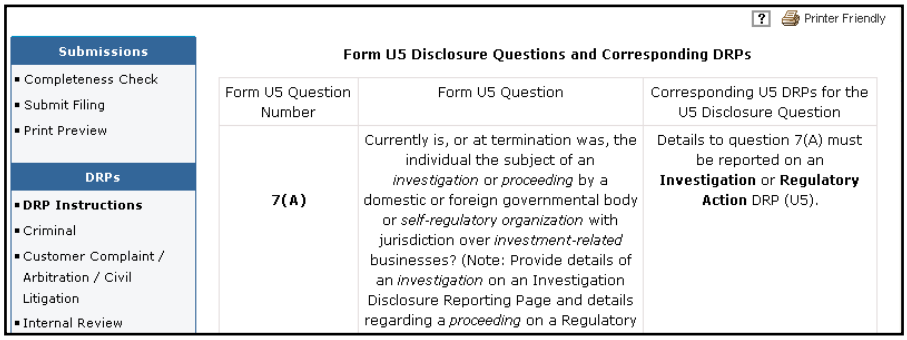
OR

1a. To access **DRPs** for a **Pending** U5 filing, see Steps for Retrieving Pending U4, U5 and NRF Filings, Chapter 4.

View DRP

2. Click **DRPs** from the Navigation Bar.

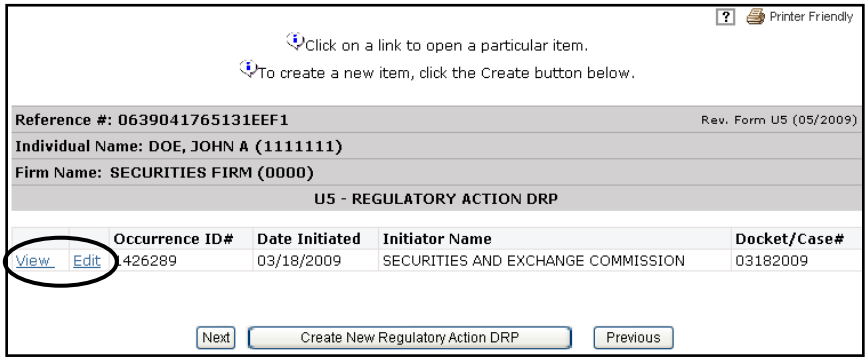
[Result:] The *Form U5 Disclosure Questions and Corresponding DRPs* screen opens.



NOTE: The questions vary based on the corresponding DRPs section (i.e., Investigation, Internal Review, Criminal, Regulatory Action or Customer Complaint); this page serves to assist you in determining which DRP you should complete. The following is an example of how to edit a Regulatory Action DRP:

3. Click **Regulatory Action** from the Navigation Bar.

[Result:] The *Regulatory Action DRP* screen opens.



4. Click the **Edit** hyperlink to update an existing DRP.

4a. Click the **View** hyperlink to open a read-only copy of the latest DRP filed.

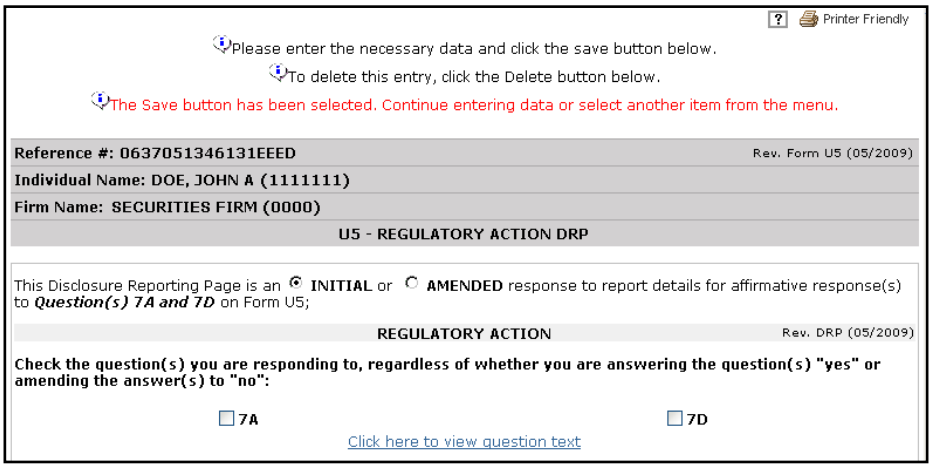
4b. Click the **Create New** button to enter a new DRP.

Complete DRP

[Result:] The *corresponding DRP* opens.

NOTE: The Initial or Amended radio buttons are pre-populated to reflect the DRP filing type and will display once data is saved.

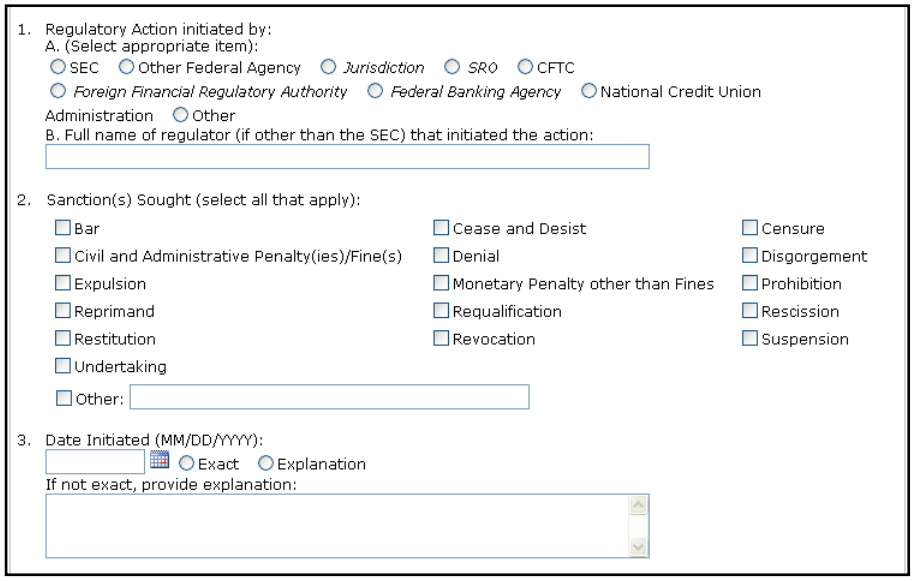
5. Select the box next to the **Disclosure Question** that requires more detailed information. The **Click here to view question text** hyperlink can be used to view the question.



6. Select the appropriate **Regulatory Action initiated by** radio button and enter the full name in the text box.

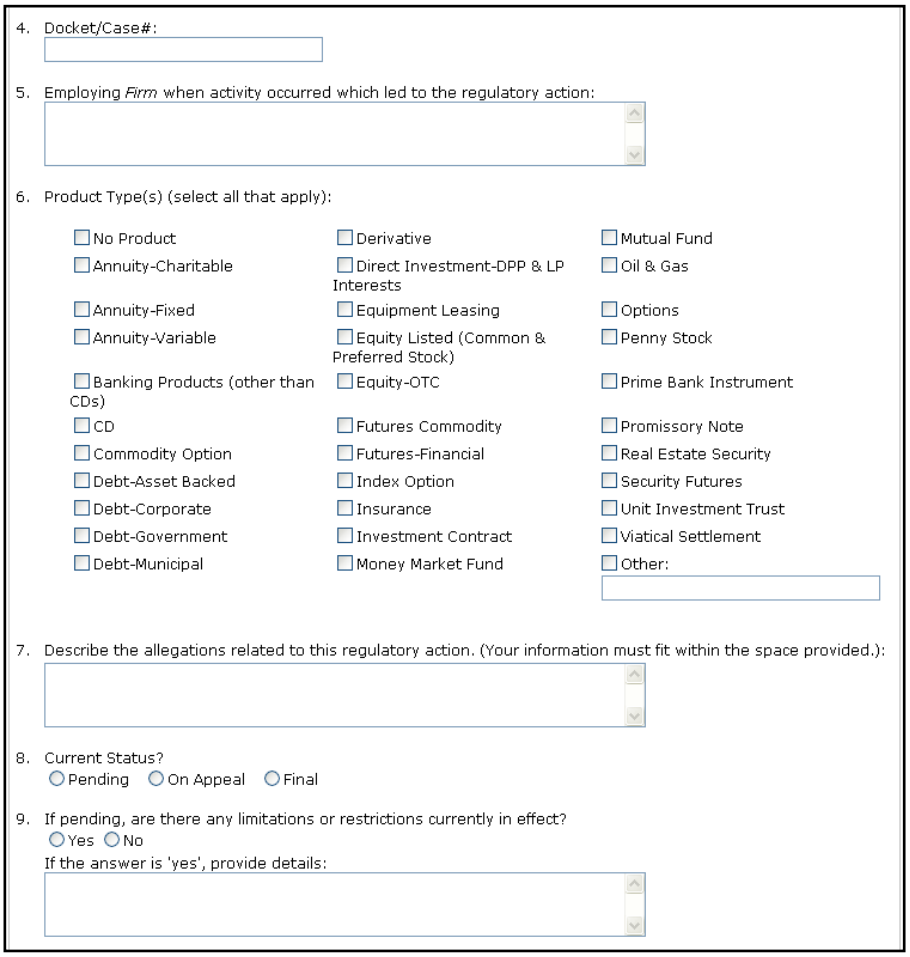
7. Select the appropriate **Sanction(s) Sought** checkbox. If **Other** is selected, enter an explanation in the text box provided.

8. Enter the **Date Initiated** (MM/DD/YYYY format) in the text box and select the **Exact** radio button. If unsure of the date, select the **Explanation** radio button, enter an approximate date and provide an explanation in the text box.



Complete DRP (Continued)

9. Enter the **Docket/Case #** in the text box.
10. Enter the name of the **Employing Firm when activity occurred which led to the regulatory action** in the text box.
11. Select the appropriate **Product Type(s)** checkbox**.** If **Other** is selected, enter an explanation in the text box provided.
12. Enter the **Description of the allegations related to this regulatory action** in the text box.
13. Select the **Pending, On Appeal** or **Final** radio button. If the **Pending** radio button was chosen, see step 14 below. If **On Appeal** radio button was chosen, see step 15 below. If **Final** radio button was chosen, see step 16 below.
14. If Pending, select the **Yes** or **No** radio button to denote if **there are any limitations or restrictions currently in effect**. If **Yes**, enter an explanation in the text box provided.


4. Docket/Case#:

5. Employing *Firm* when activity occurred which led to the regulatory action:

6. Product Type(s) (select all that apply):

No Product	Derivative	Mutual Fund
Annuity-Charitable	Direct Investment-DPP & LP Interests	Oil & Gas
Annuity-Fixed	Equipment Leasing	Options
Annuity-Variable	Equity Listed (Common & Preferred Stock)	Penny Stock
Banking Products (other than CDs)	Equity-OTC	Prime Bank Instrument
CD	Futures Commodity	Promissory Note
Commodity Option	Futures-Financial	Real Estate Security
Debt-Asset Backed	Index Option	Security Futures
Debt-Corporate	Insurance	Unit Investment Trust
Debt-Government	Investment Contract	Viatical Settlement
Debt-Municipal	Money Market Fund	Other:

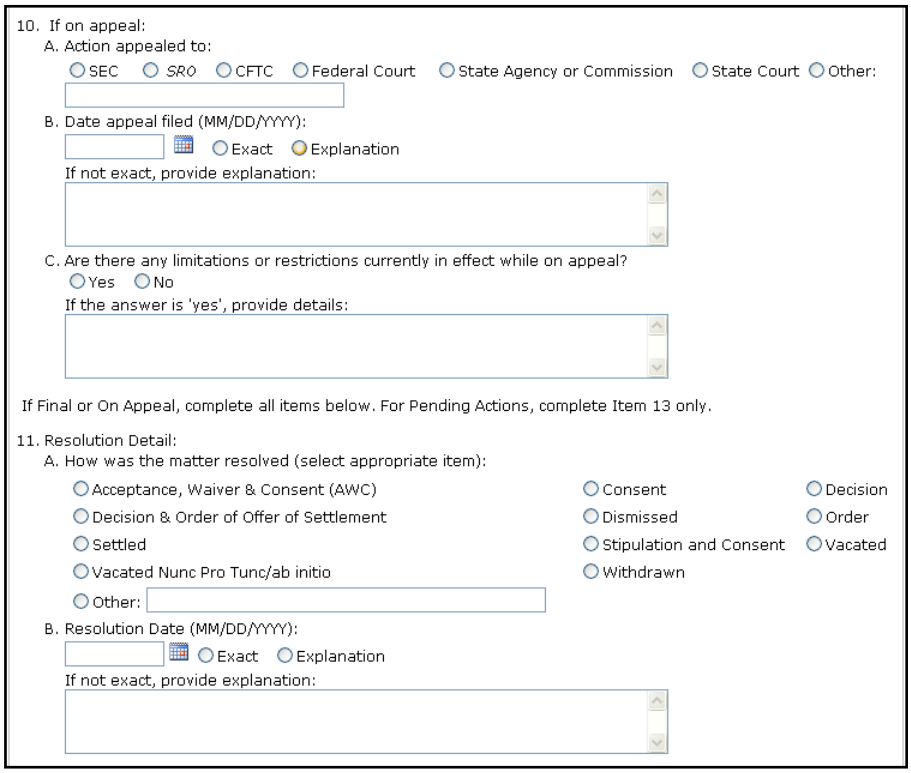
7. Describe the allegations related to this regulatory action. (Your information must fit within the space provided.):

8. Current Status?
Pending On Appeal Final

9. If pending, are there any limitations or restrictions currently in effect?
Yes No
If the answer is 'yes', provide details:

Complete DRP
(Continued)

15. If on Appeal:
    a. Select the appropriate **Action appealed to** radio button and enter the full name of the organization to which the regulatory action was appealed in the text box.
    b. Enter the **date the appeal was filed** (MM/DD/YYYY format) in the text box and select the **Exact** radio button. If unsure of the date, select the **Explanation** radio button and enter an approximate date with an explanation in the text box.
    c. Select the **Yes** or **No** radio button to denote if **there are any limitations or restrictions currently in effect while on appeal**.
16. Resolution Detail:
    a. Select the appropriate radio button for **how the matter was resolved**. If **Other** is selected, enter an explanation in the text box provided.
    b. Enter the **resolution date** (MM/DD/YYYY format) in the text box and select the **Exact** radio button. If unsure of the date, select the **Explanation** radio button and enter an approximate date with an explanation in the text box.
17. Select the **Yes** or **No** radio button to denote if **the order constitutes a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct**.



Complete the DRP
(Continued)

18. Sanction Detail

a. Select the appropriate **sanction(s) ordered** checkbox**.**

b. Enter an explanation of **other sanctions are ordered** in the text box provided.

c. Select the **Yes** or **No** radio button to denote if **the action resulted in a finding of a willful violation or failure to supervise.** This question is only applicable if the regulator provided in Step 6 (Question 1A) is the SEC, CFTC, or an SRO.

If **Yes**, respond to the three willful violation specific questions.

d. Click the **Edit** hyperlink to edit Sanction Details, Requalification Details, or Monetary Sanction Details previously reported.

13. Sanction Detail:

A. Were any of the following sanctions ordered? (Select all appropriate items):

☐ Bar (Permanent)	☐ Bar (Temporary/Time Limited)	☐ Cease and Desist
☐ Censure	☐ Civil and Administrative Penalty(ies)/Fine(s)	☐ Denial
☐ Disgorgement	☐ Expulsion	☐ Letter of Reprimand
☐ Monetary Penalty other than Fines	☐ Prohibition	☐ Requalification
☐ Rescission	☐ Restitution	☐ Revocation
☐ Suspension	☐ Undertaking	

B. Other sanctions ordered:

C. If the regulator provided in Question 1A above is the SEC, CFTC, an *SRO*, did the action result in a finding of a willful violation or failure to supervise?

○ Yes ○ No

If yes, was the subject *found* to have:

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

○ Yes ○ No

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

○ Yes ○ No

(3) failed reasonably to supervise another person subject to the subject's supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

○ Yes ○ No

D. If suspended or barred, provide:

	Sanction Type	Registration Capacities Affected	Start Date (MM/DD/YYYY)
Edit	Suspension	GENERAL SECURITIES PRINCIPAL	04/01/2009

Create New Sanction

E. If requalification by exam/retraining was a condition of the sanction, provide:

	Requalification Type	Has condition been satisfied?
Edit	Requalification by Exam	No

Create New Requalification Type

F. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide:

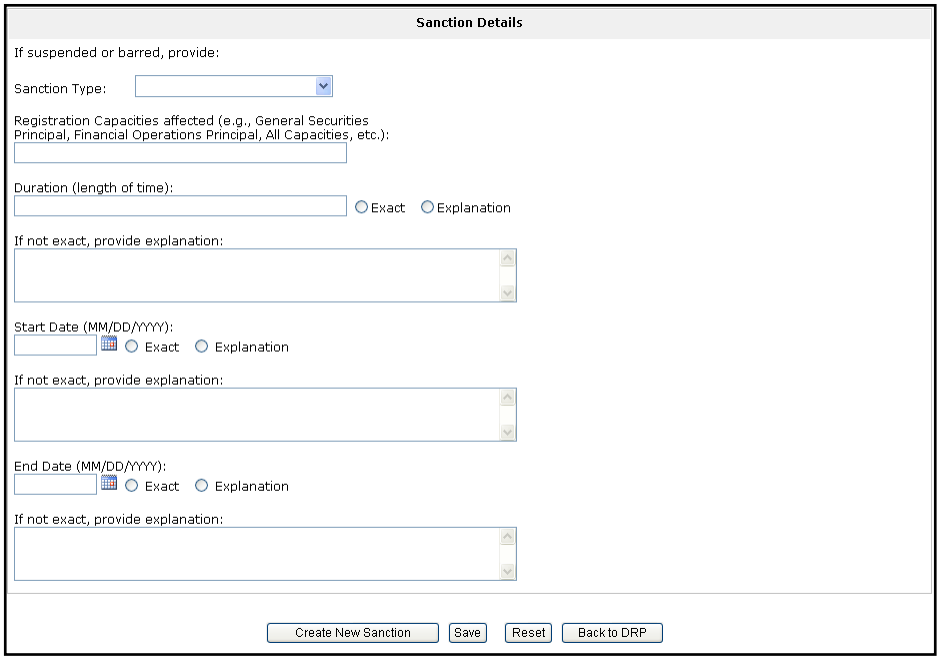
	Monetary Related Sanction Type	Total Amount
Edit	Restitution	$25,000.00

Create New Monetary Sanction

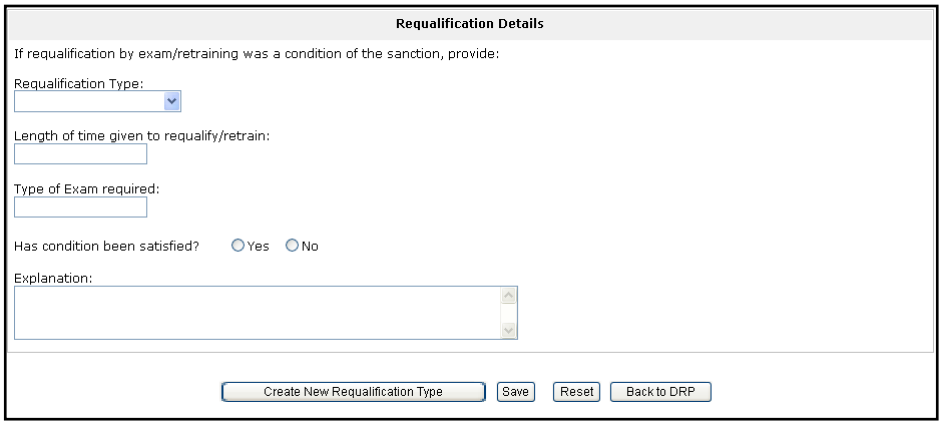
Complete the DRP (Continued)

Sanction Detail (Continued)

e. If suspended or barred, click the **Create New Sanction** button to provide Sanction Details. Click the **Edit** hyperlink to edit Sanction Details previously reported.



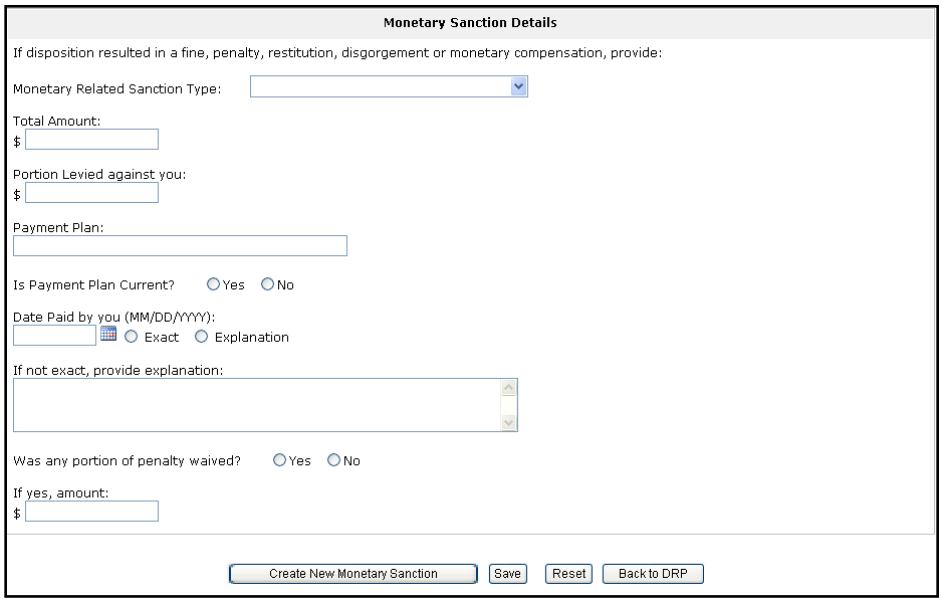
f. Click the **Create New Requalification Type** to enter Requalification Details for a new Requalification item. Click the **Edit** hyperlink to edit Requalification Details previously reported.



Complete the DRP (Continued)

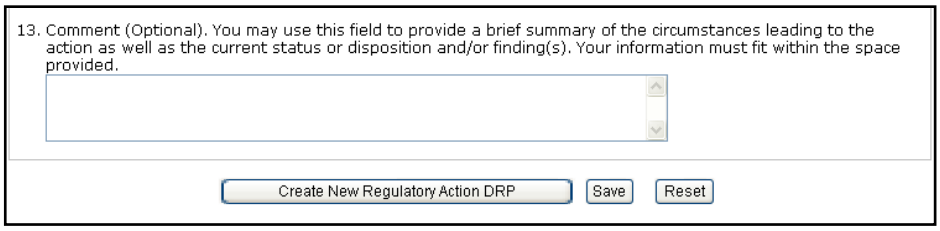
Sanction Detail (Continued)

g. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, click the **Create New Monetary Sanction** button to provide Monetary Sanction Details. Click the **Edit** hyperlink to edit Monetary Sanction Details previously reported.



19. 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.

20. Click the **Save** button on the DRP.



21. Click **Return to Form** from the Navigation Bar to complete the U4 filing.

<u>OR</u>

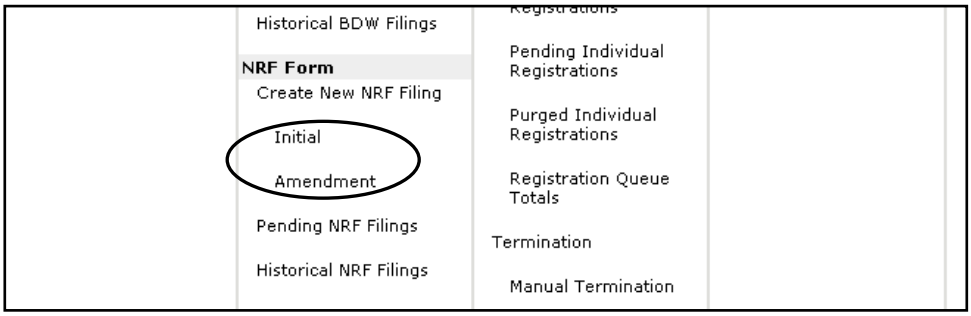
22. Click **Submit Filing** from the Submissions Menu to submit the filing.

Steps for Creating a NRF Filing:

Access NRF

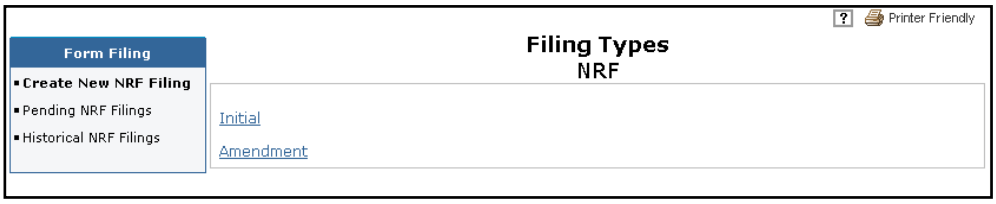
There are two ways to access a NRF filing:

1. From the Site Map, click the **Initial** or **Amendment** hyperlink.

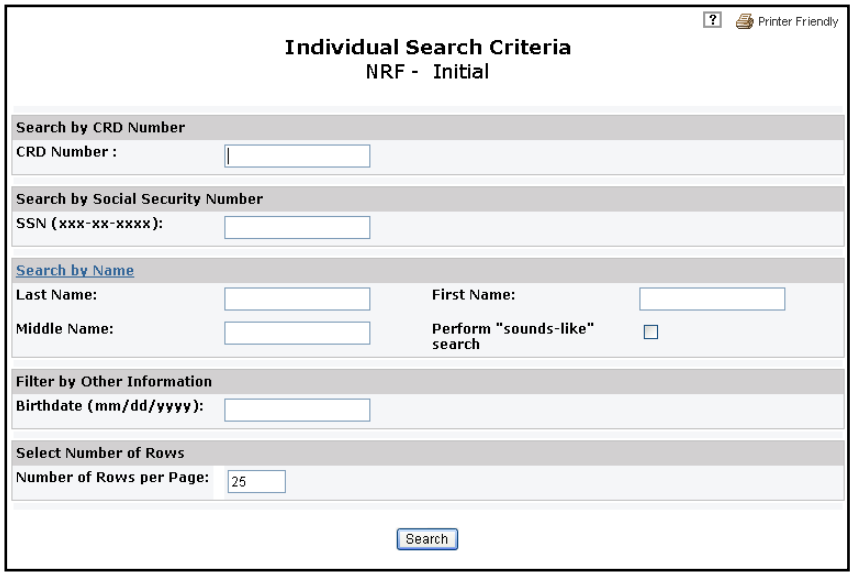


OR

1a. Click the **Forms** Tab from the Tool Bar, choose **NRF Form** from the Sub-menu and click the **Initial** or **Amendment** hyperlink.



[Result:] The *Individual Search Criteria* screen opens.



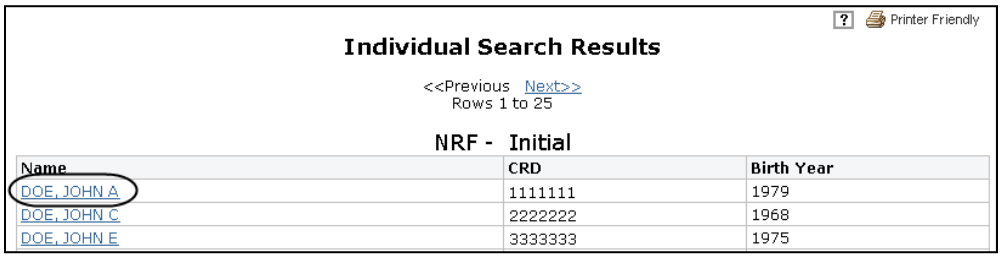
Individual Search

1. Type a combination or one of the following: the individual's **CRD Number**, **Last Name** and/or **Social Security Number**. For a more specific search, type a **First Name**, **Middle Name** and/or **Birth Date** to locate the individual or verify that the individual does not exist in CRD.

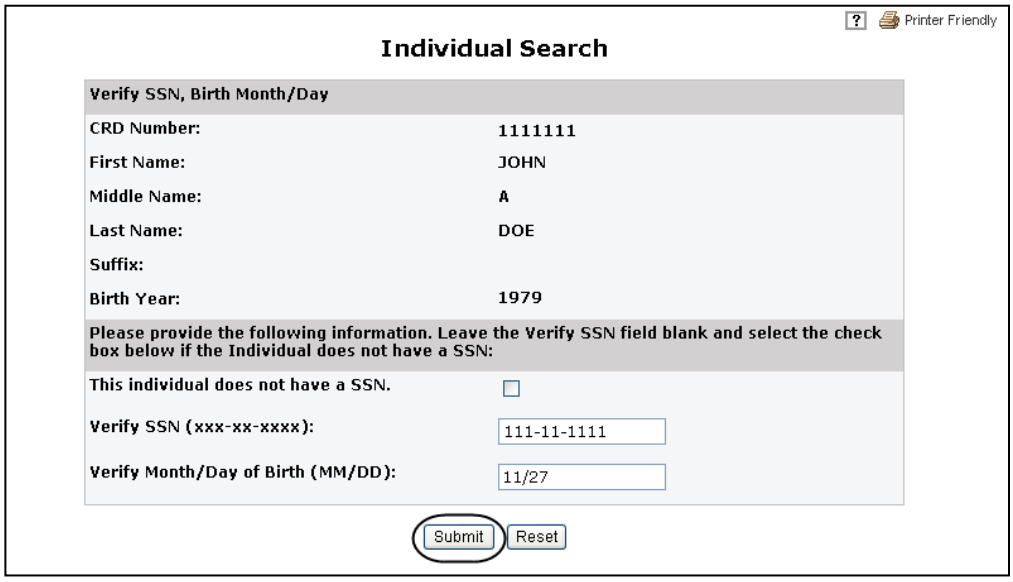
2. Click the **Search** Button.

[Result:] The system provides an individual or list of individuals that match the criteria entered.

3. If the individual has an existing record in CRD, click the **Name** hyperlink.



The NRF Initial filing type will require additional verification of the individual's social security number (SSN) and month/day of birth once the Name hyperlink is selected.



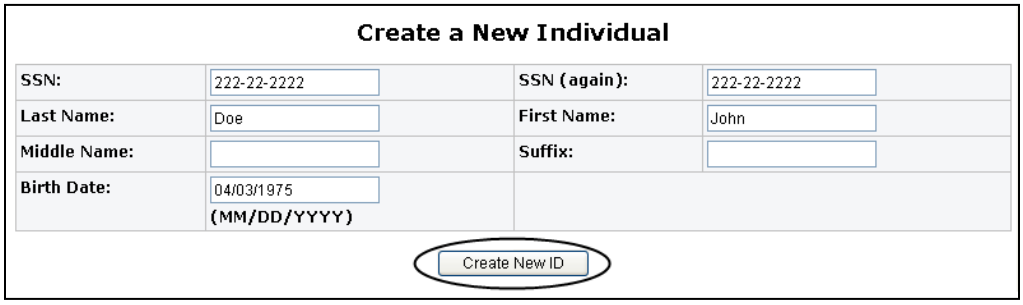
[Result:] The *General Instructions* screen opens.

NOTE: At this point, the NRF filing is saved as Pending and can be modified or deleted for two (2) months from the creation date, prior to submission.

Create a New Individual

If there are no individuals listed with the same **SSN** and **Birth Date**, you will need to create a new individual.

1. Enter the individual's **SSN** twice.
2. Enter the **Last Name**, **First Name** and **Birth Date**
3. Click the **Create New ID** button.



NOTE: The Suffix and Middle Name are optional fields. If the individual does not have a SSN, call the Gateway Call Center at 301-869-6699 to receive a CRD Number.

[Result:] The *NRF General Information* screen opens.

Complete NRF Filing Sections	Access each section of the **NRF Filing** from the Navigation Bar, type the appropriate information and click the **Save** button. **General Information:** 1. Enter the individual's initial date of employment with the firm 2. Enter the address of the individual's office. 3. Enter the individual's position or title with the firm. 4. Enter the individual's 10-digit fingerprint barcode **Personal Information**: 5. Enter the Country or State of Birth, Gender, Height (ft), Height (in), Weight (lbs), Hair Color and Eye Color. **Other Names: (optional)** 6. If applicable, enter other names the individual is known as.

Re-Associate a Fingerprint Card

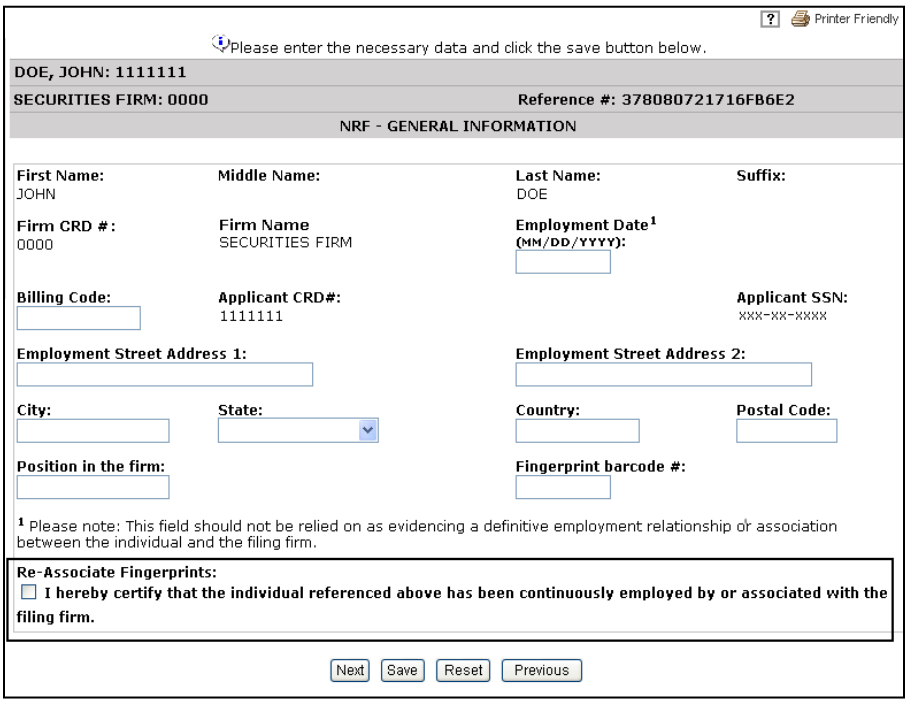
On an initial NRF filing, firms may re-associate a fingerprint barcode for a previously registered representative (RR) with the same firm (i.e., the individual has been continuously associated with the filing firm). Firms may only re-associate the most recently terminated fingerprint barcode for the individual.

A fingerprint card is eligible to be Re-Associated when all of the following conditions are met:

- The fingerprint card is associated with the individual's most recent RR (or Joint RR/RA) employment/filing firm association;
- The fingerprint card was submitted by the filing firm;
- The fingerprint card had one of the following statuses prior to 'TERM': CLER,COMP, CLRX, CMPX, EXCX, NMCK, RECP, RECR, LGCY, XMPT;
- When multiple barcodes exist for the RR (or Joint RR/RA) individual/filing firm association, the barcode has the most recent Received Date.

To Re-Associate a Fingerprint Barcode:

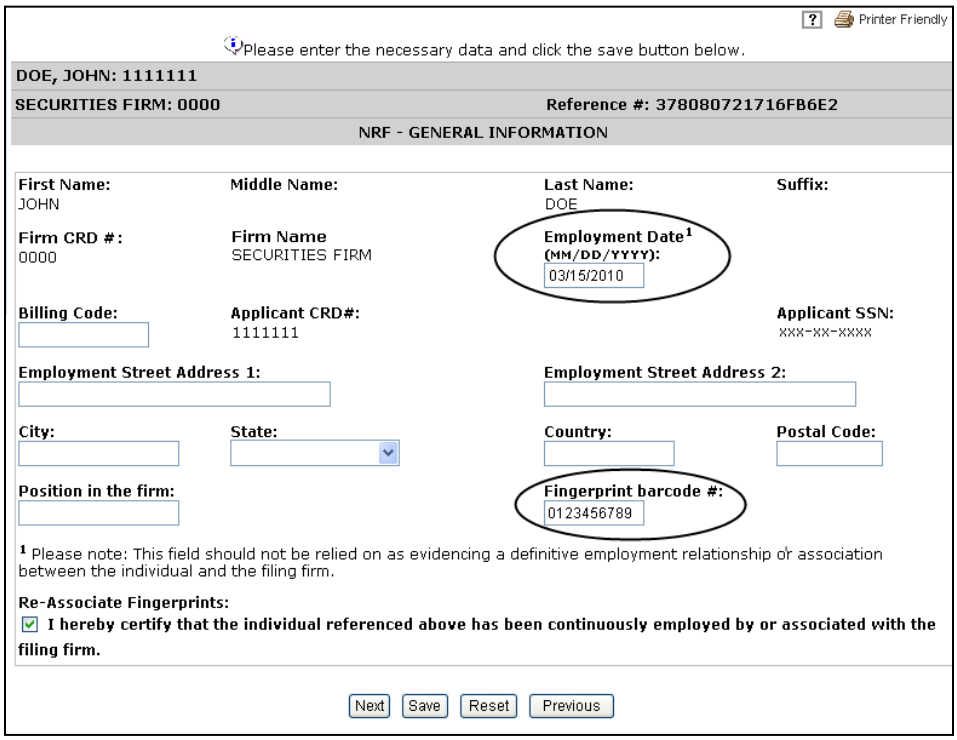
1. Access an initial NRF filing (refer to pages 4-32 through 4-33)
2. In the General Information section, select the **Re-Associate Fingerprints** checkbox.



[Result:] The **Employment Date** field will be populated with the employment date for the individual's most recent RR (Joint RR/RA) filing firm association. The **Fingerprint barcode #** field will be populated with the eligible barcode.

*Please note the **Employment Date** on the NRF filing must match the **Employment Start** date listed in Section 1 of the most recently filed Form U4 for the individual's last registration with the filing firm.*

Re-Associate a Fingerprint Card (Continued)



3. Enter the address of the individual's office.
4. Enter the individual's position or title with the firm
5. Click Save

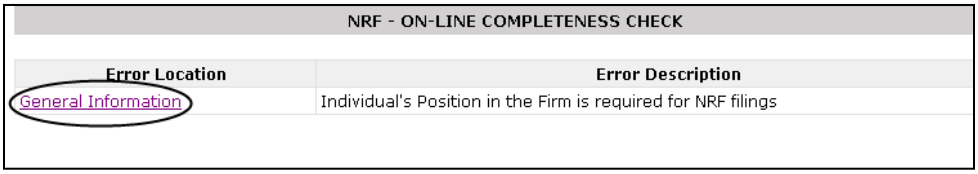
Note: The Personal Information section of the NRF filing will be pre-populated.

Completeness Check

6. Click **Completeness Check** from the Submissions Menu.

NOTE: You can perform a Completeness Check at any time during the Form Filing process by selecting Completeness Check. In addition, attempting to submit the form filing with incomplete fields will open the Completeness Check error screen.

[Result:] The following *Error Location* and *Error Description* screen opens.

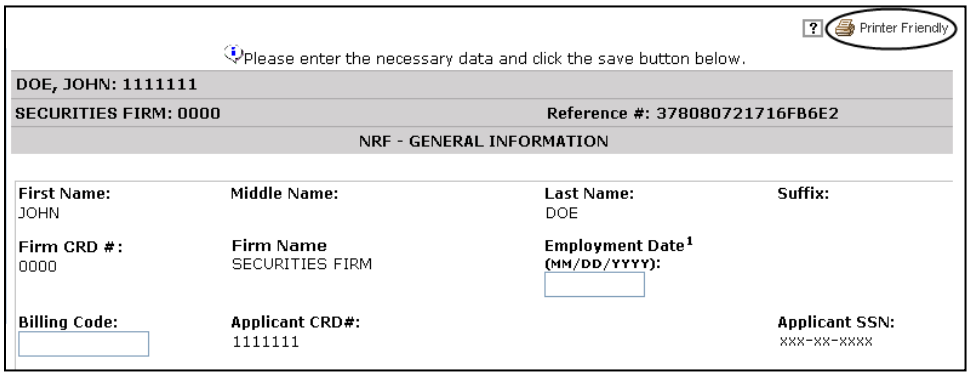


7. Click the **Error Location** hyperlink(s) and complete the necessary fields until all errors have been corrected.

Print

8. Click **Print Preview** from the Submissions Menu, click a section from the Navigation Bar to view or print that section or choose **All Sections** to view or print the form in its entirety.

9. Click the Printer Friendly icon and click **Print** on the system print box.

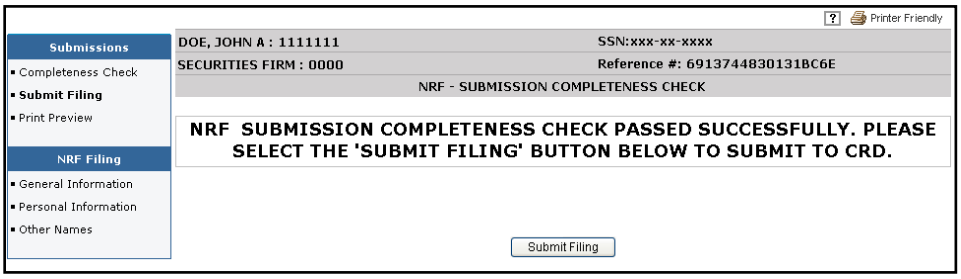


Submit Filing

10. Click **Submit Filing** from the Submissions Menu when ready to submit the filing to the CRD.

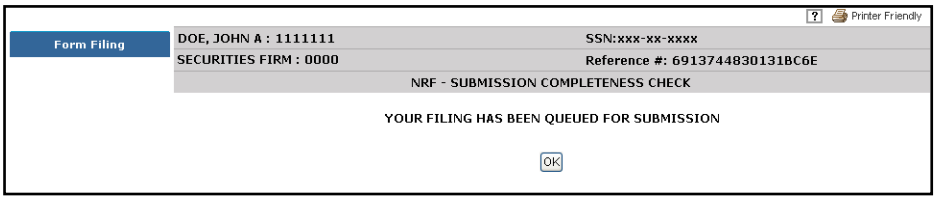
NOTE: When Submit Filing is selected prior to running a Completeness Check, CRD will automatically run a Completeness Check to verify that all required information has been provided. If information has not been completed in the required fields, the Completeness Check will display the error screen with links to the required fields to be completed. To correct Completeness Check errors, see step 7 on page 4-28 of Steps for Creating an NRF Filing.

[Result:] The *Submit Filing* screen opens.



11. Click the **Submit Filing** button.

[Result:] The *Submission Completeness Check* screen displays the following text: "Your filing has been queued for submission".



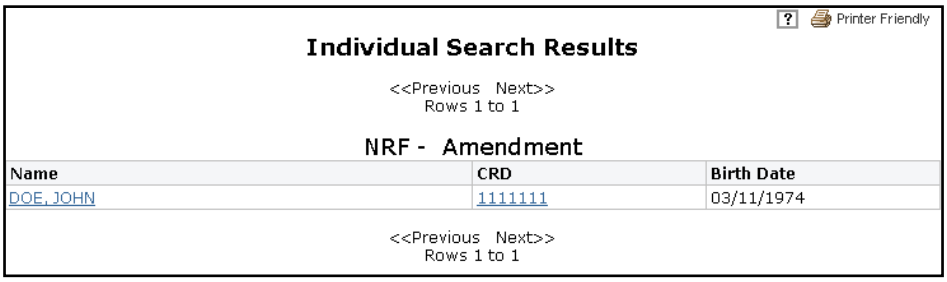
12. Click the **OK** button.

Steps for Terminating a NRF Filing:

Access NRF Amendment

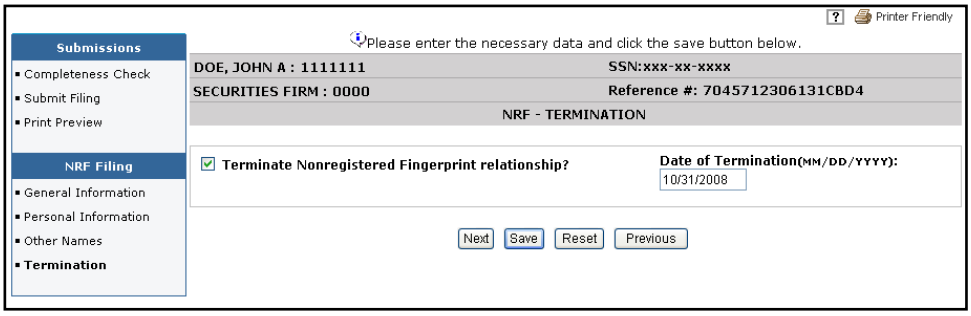
1. To access a **NRF Amendment**, see steps 1 through 3 on pages 4-26 through 4-27 of Steps for Creating an NRF Filing.

2. Click the **Name** hyperlink for the individual to be terminated.



Complete NRF Termination

3. Click the **Termination** section of the **NRF Filing** from the Navigation Bar, place a check mark in the **Terminate Non-Registered Fingerprint relationship** box, type a **Date of Termination** (MM/DD/YYYY format) in the text box, and click the **Save** button.



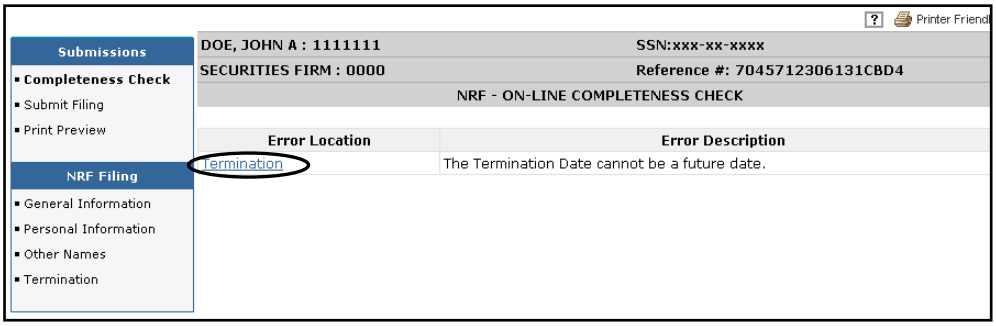
NOTE: On a Termination, the **Personal Information** fields are optional.

Completeness Check

4. Click **Completeness Check** from the Submissions Menu.

NOTE: You can perform a Completeness Check at any time during the Form Filing process by selecting Completeness Check. In addition, attempting to submit the form filing with incomplete fields will open the Completeness Check error screen. If the filing passes a Completeness Check, go to step 6.

[Result:] The following *Error Location* and *Error Description* screen opens.

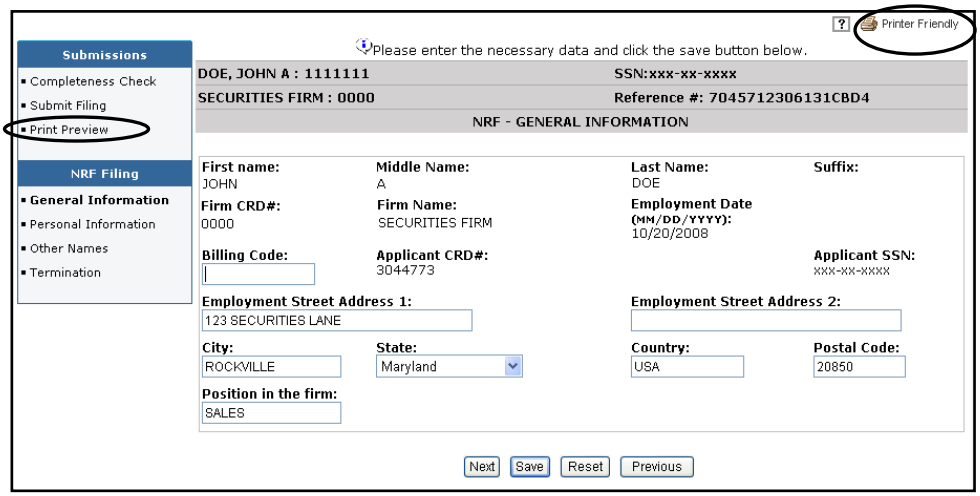


5. Click the **Error Location** hyperlink(s) and complete the necessary fields until all errors have been corrected.

Print

6. Click **Print Preview** from the Submissions Menu, click a section from the Navigation Bar to view or print that section or choose **All Sections** to view or print the form in its entirety.

7. Click the Printer Friendly icon and click **Print** on the system print box.

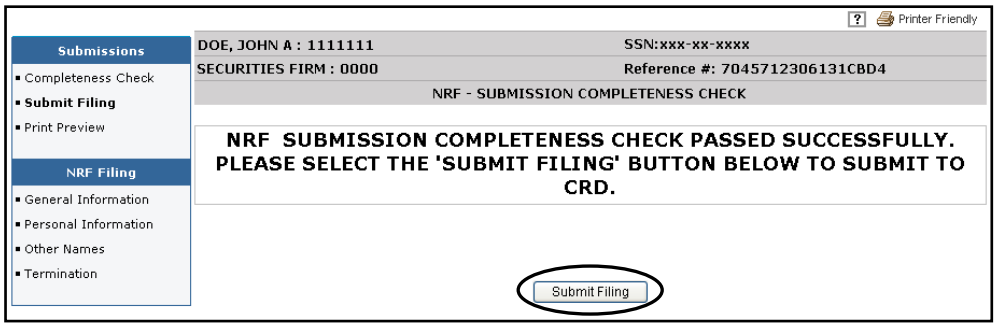


Submit Filing

8. Click **Submit Filing** from the Submissions Menu when ready to submit the filing to the CRD.

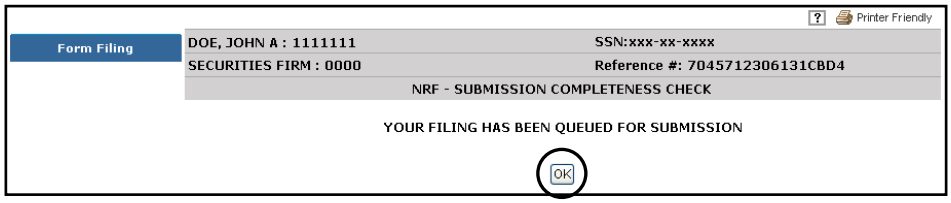
NOTE: When Submit Filing is selected prior to running a Completeness Check, CRD will automatically run a Completeness Check to verify that all required information has been provided. If information has not been completed in the required fields, the Completeness Check will display the error screen with links to the required fields to be completed. To correct Completeness Check errors, see step 6 on page 4-28 of Steps for Completing an NRF Filing.

[Result:] The *Submit Filing* screen opens.



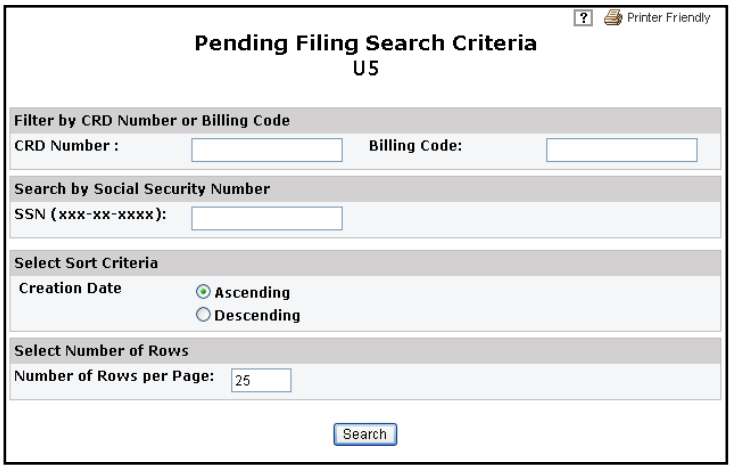
9. Click the **Submit Filing** button.

[Result:] The *Filing Has Been Queued for Submission* screen opens.



10. Click the **OK** button.

Steps for Retrieving Pending U4, U5 and NRF Filings:

Access Pending Filings	There are two ways to access pending filings: 1. From the Site Map, click the **Pending U4 Filings**, **Pending U5 Filings** or **Pending NRF Filings** hyperlink. **OR** 1a. Click the **Forms** Tab from the Tool Bar, choose **U4**, **U5** or **NRF** from the Sub-menu and click **Pending Filings** from the Navigation Bar. **[Result:]** The *Pending Filing Search Criteria* (U4, U5 or NRF) screen opens. 
Pending Filing Search	2. Type a **CRD Number** to search for a specific pending filing. **OR** 2a. Type a **Billing Code** to retrieve pending filings associated with a specific billing code only. **OR** 2b. Type a **Social Security Number** to search for a specific pending filing. **OR** 2c. Click the **All** radio button to search for all Pending U4 or U5 filings. **OR** 2d. Click the **Filings currently with Representative** button to search for all filings that were routed to agents (only applicable to Form U4 filings). **NOTE**: If a filing has been routed to a representative, the filing's Reference Number hyperlink is deactivated. The firm cannot view or edit the filing while the filing is with the Representative. Also, to search for Pending NRF filings, users only have the option to search by Social Security Number, or the filing Creation Date (i.e., Ascending or Descending).

Pending Filing Search (Continued)

OR

2e. Click the **Filings currently with Registration Department** to search for all filings with the registration department excluding all filings routed to agents.

OR

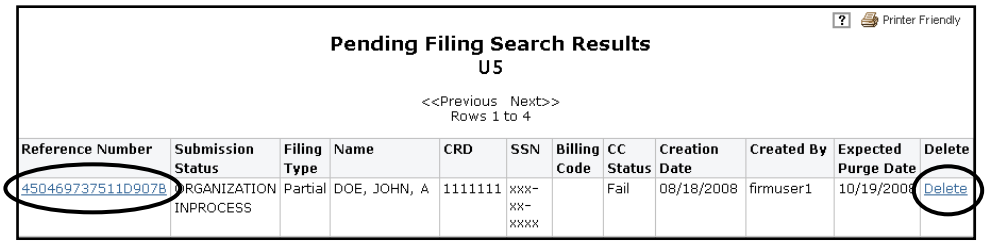
2f. Click the **Descending** radio button to view newest filings first.

NOTE: CRD defaults to the Ascending radio button.

3. Click the **Search** button.

View Pending Filings

[Result:] The *Pending Filings Search Results Screen* opens.



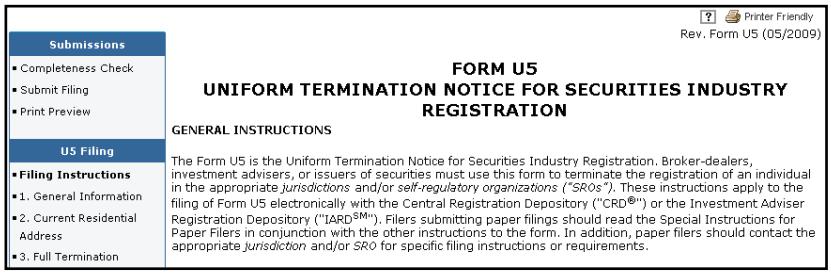
NOTE: The Submission Status is Organization In Process, indicating that you have not submitted the filing to CRD. If a Submission Status is Pending Submission, the filing has been submitted to CRD for processing and cannot be accessed.

Complete Pending Filing

4. To modify a **Pending** filing, click the **Reference Number** hyperlink.

4a. To delete a **Pending** filing, click the **Delete** hyperlink. There is no need to go to step 5.

[Result:] The *General Instructions* screen opens.



5. Click each section of the **Pending** filing from the Navigation Bar, type the appropriate information and click the **Save** button. To complete a **U4** filing, see pages 4-6 through 4-9 of Steps for Creating a Form U4 Filing; to complete a **U5** filing, see pages 4-17 through 4-20 of Steps for Creating a Form U5 Filing; or to complete a **NRF** filing, see pages 4-26 through 4-29 of Steps for Creating an NRF Filing.

NOTE: Forms U4, U5 and NRF can only remain Pending for two (2) months at which time CRD automatically deletes the filing. The **Expected Purge Date** column date is the date that CRD will delete the filing. If a subsequent filing has been submitted on the same individual while a file is pending, you will only be able to view or delete the pending filing; it cannot be submitted.

Steps for Viewing Historical Form U4, U5 and NRF Filings:

Access Historical Filings

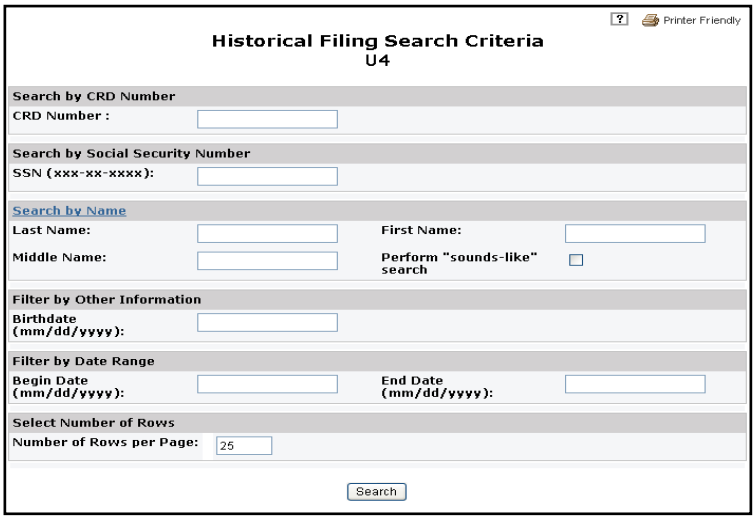
There are two ways to access historical filings:

1. From the Site Map, click the **Historical U4 Filings**, **Historical U5 Filings** or **Historical NRF Filing** hyperlinks.

OR

1a. Click the **Forms** Tab from the Tool Bar, choose **U4**, **U5** or **NRF** from the Sub-menu and click **Historical Filings** from the Navigation Bar.

[Result:] The *Historical Filing Search Criteria* screen opens.

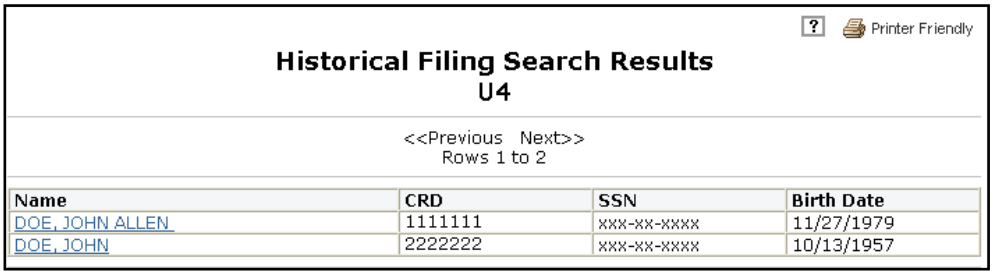


2. Type a combination or one of the following: the individual's **CRD Number**, **Last Name** and/or **Social Security Number**. For a more specific search, type a **First Name, Middle Name** and/or **Birthdate** to locate the individual.

3. Click the **Search** button.

View Historical Filings

[Results:] The *Historical Filing Search Results* screen opens.

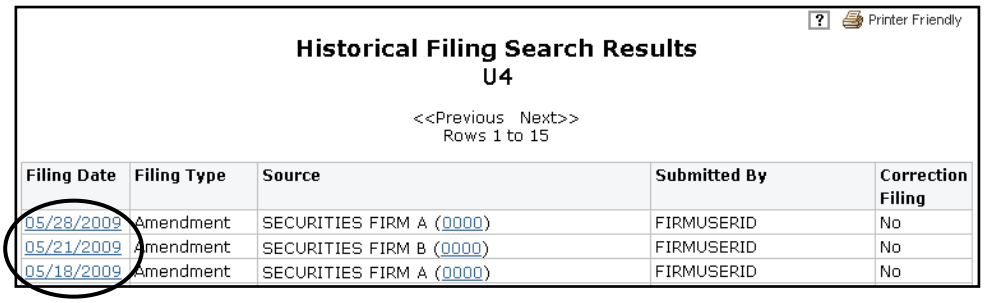


NOTE: Search criteria used above, were First and Last Name.

4. Click the **Name** hyperlink.

View Historical Filings
(Continued)

[Result:] The *Historical Filing Search Results* screen opens.



5. Click the **Filing Date** hyperlink to display the filing.

[Result:] The *General Information* screen opens.

6. Click **View Changes From Previous Filing for Same Firm** to see the modifications made on that filing as compared to the previous filing submitted by the filing firm.

NOTE: Modifications will display in red. CRD will not allow redlining between versions.

OR

6a. Click **View Changes From Previous Filing** to see the modifications made on that filing as compared to the most recent previous filing submitted.

NOTE: Forms will display in the version in which they were submitted. The version number is located in the top right corner of each page of the filing. Modifications will display in red. However, CRD will not display redlining across different form or DRP versions.
As part of Web CRD & IARD Release 2009.2, the individual forms were revised and re-versioned. Please note that Filing History will not display redlining for the first Form U4 filing submitted in the 2009 version. Redlining will display for all subsequent filings.

Tips for Submitting U4, U5 and NRF Filings:

- Be sure that your Account Administrator has entitled you with the Form Filing privilege. If you do not have this entitlement, the Forms Tab or Forms Section will not appear on your Site Map.
- Speed up the entry of data on a filing by using the Next button at the bottom of each screen to move to the next section of the filing.
- Conduct an individual search by name or Social Security Number to avoid creating duplicate records.
- You do not have to complete the filing at one time. You can enter data on a filing and return to it at a later time to complete it. Select Pending from the Site Map or Navigation Bar to retrieve the filing.
- For Pending Filings, the "cc" status of Fail refers to the Completeness Check errors.
- Be sure that you click the Edit hyperlink when updating a DRP (do not create a new DRP, as this will create duplicate occurrences).
- When entering information that requires you to create a record (e.g., employment record), you may click on Create New button instead of the Save button to enter the next record, then click Save when you have completed all the entries.
- Before submitting a Concurrence filing, review the information filed by the other firm with which the individual is dually registered to make sure your firm agrees that the information has been correctly reported. Also, check the individual's Composite screen in View Individual and/or your firm's Outstanding Disclosure Letters queue to see if the individual's record has been flagged for submitting different U4 DRPs to report the same event (i.e., Material Difference in Disclosure flag is set to Yes), since a Concurrence filing will also resolve any outstanding material differences.
- When submitting a U4 DRP for a dually registered individual, remember that changing any of the factual U4 DRP fields (i.e., all DRP fields except for the last field, which is the summary/commentary field) for a previously reported event will cause the Material Difference in Disclosure flag to be set. The only exception is when a U4 DRP filing is submitted to report the final disposition (or updated status) of an event that was previously reported as a pending matter.
- Once you create a new individual in CRD, the record remains in the system forever.
- If you entered the wrong social security number or if the individual/applicant does not have a social security number, contact the Gateway Call Center at 301-869-6699 for assistance.
- Submit the Form U4 filing first on CRD and then follow up with the hard copy fingerprint card. This will eliminate the creation of a Non-Registered filing upon receipt of the fingerprint card by FINRA on an individual for whom you intend to submit a Form U4 filing.
- The Dual filing type should only be selected if the individual intends to register with a firm while maintaining current registration with other firm(s) not under common ownership with the filing firm. Applicants for dual registration will need to answer Yes to one or both of Sections 3A and 3B.

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- It is imperative that the correct filing type is selected to receive the desired type of registration. Relicense All should only be selected if the previous firm(s) with which the individual was registered intends to submit Full U5 filing(s) and the individual intends to be registered solely with the filing firm.
  For example: John Doe is registered as an AG with Securities Firm A and also has his own sole proprietorship IA firm, Doe Investment Company. He leaves Firm A to work as an AG for Securities Firm Z. If Firm Z chooses the Relicense All filing type for John Doe, CRD will require Full U5 forms to be submitted by Firm A and Doe Investment Company, terminating his employment with both firms. Instead, Securities Firm Z should choose Relicense CRD, which will require a Form U5 to be submitted by Firm A, terminating his AG position with that firm, but keeping his RA position with Doe Investment Company active.

- If you select the Exceptions to the Fingerprint Requirement button on a U4 filing, and the system does not recognize that the individual has been continuously employed by the filing firm in an unregistered capacity, or the firm has not notified FINRA, in writing, that the firm or the individual otherwise qualifies for exemption pursuant to Rule 17f-2, the system will trigger a fingerprint deficiency.

- Firms can reschedule an examination within thirty (30) days of the exam window end date through the Examination Requests section of the U4 filing.

- When you choose a Registration Category in SRO Registrations, the required examination (if necessary) is automatically scheduled by CRD. Do not use the Examination Requests section to schedule the exam.

- Remember that the U4 should identify the branch office where an agent is located at as well as the branch location he/she is being supervised from (See pg. 4-7, Section 1 General Information for an example).

- A Non-Registered Office of Employment Address can be added via a Form U4; however, the individual must be associated with at least one branch office, or if located at a non-registered office, must provide the registered branch office that supervises the non-registered location.

- Update to Office of Employment information must be processed via A Form U4 amendment filing.

- Use Partial Form U5 to terminate a position (e.g., remove the FINRA-GP registration while leaving the FINRA-GS registration) while retaining other registration(s).

- If a firm has a Full Form U5 pending on an individual, a Form U4 Amendment cannot be submitted for that individual.

Tips for Submitting Fingerprint Cards:

- Fingerprint cards for broker-dealer agent registration should be sent to one of the following addresses:

Regular mail:	Express mail:
FINRA	FINRA
P.O. Box 9495	9509 Key West Avenue
Gaithersburg, MD 20898	Rockville, MD 20850
Attn: Document Processing	Attn: Document Processing

- The individual's CRD Number must be entered in the "Miscellaneous No. MNU" field on the fingerprint card. The following fields are also mandatory: Employer and Address, Date prints are taken, Signature of official taking prints, Organization CRD number, Last and First Name of individual being fingerprinted, Social Security Number (not required for foreign nationals), Sex, Height, Weight, Hair Color, Eye Color, and Date and Place of Birth.

- To avoid the creation of duplicate records, verify that the Social Security Number and name on the card is the same as the Non-Registered Fingerprint filing before submitting the hard-copy fingerprint card to CRD.

- In order to have a fingerprint card submitted by the filing firm apply to affiliated firms, the affiliate(s) should select 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." 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. This does not apply if the affiliate qualifies for one of the exceptions to the fingerprint requirement or if the individual is applying solely for investment adviser positions with that affiliate.

- The following guidelines should be followed to avoid having a fingerprint card rejected by FINRA or the FBI:
  Do not write in any field that is marked "Leave Blank."
  Place the barcode sticker only in the OCA field on the card.
  Do not use a highlighter on the fingerprint card.

- Since the implementation of Electronic Fingerprint Processing in July 2003, FINRA no longer returns illegible cards to the firm. When FINRA receives the card, the registration status of the individual is Approved Pending Results and the FINRA fee is assessed. When the card is returned from the FBI, the FBI fee is assessed. If the FBI determines the card to be illegible (i.e., ILEG), the registration status of the individual will return to Approved Pending Prints and the firm has another thirty (30) days to submit the fingerprint card. The second submission of a fingerprint card for the individual will incur the FINRA fee, but will not incur the FBI fee. If the second submission comes back illegible, the individual's registration status will again be Approved Pending Prints and the thirty (30) day clock will begin again. On the third submission of the fingerprint card by the firm, both the FINRA fee and the FBI fee will be assessed. If the card is returned from the FBI with a third ILEG status, FINRA will change the individual's fingerprint status to Name Check (i.e., NMCK), meaning the FBI will use the individual's demographic information to check for any Criminal History Record Information (i.e., CHRI). When the fingerprint status is changed to NMCK, the individual's registration status will change to Approved (assuming there are no other deficiencies). When the FBI returns the result of the name check, the Fingerprint Status will be updated to RAPX, CLRX, or CMPX, as applicable.

- Entry of a fingerprint barcode on a U4 filing is optional as long as one of the fingerprint radio buttons has been checked.

- The fingerprint barcode is mandatory for NRF filings. Firms should send the fingerprint card to FINRA upon completion of the NRF filing.

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