Chapter Seven: Organization Form Filing

About this Section

This section contains information pertaining to submitting Form BD Amendments and BDW filings on CRD. It also contains information and instructions on how to create an Initial Form BR filing, Amendments, and Closing/Withdrawal filings.

Completion Objectives For Form BD and BDW

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

- Identify and explain Form BD and BDW filing types
- Submit Form BD Amendment and BDW filings electronically
- Retrieve Pending BD Amendments and BDW filings
- View Historical BD Amendments and BDW filings

Completion Objectives For Form BR

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

- Identify and explain Form BR filing types
- Submit Form BR Amendment and Closing/Withdrawal filings electronically
- Retrieve Pending BR filings
- View Historical BR Filings

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About Form BD and BDW

The Form BD (Uniform Application for Broker-Dealer Registration) is used to register a broker-dealer with the SEC, SROs and jurisdictions. The Form BDW (Uniform Request for Broker-Dealer Withdrawal) is used to request full or partial termination of broker-dealer registrations. Firms can create and submit Form BD Amendment and Form BDW filings electronically through Web CRD.

CRD automatically performs a Completeness Check to prevent a firm from submitting an incomplete Form BD Amendment or BDW filing. A firm may also perform a Completeness Check prior to submission. A BD Amendment filing saved, but not yet submitted, may be modified or deleted for a period of one hundred eighty (180) days from the filing's creation date. CRD automatically deletes the filing after 180 days if the Form BD Amendment filing has not been submitted. Form BDW filings can be modified or deleted for thirty (30) days from the filing's creation date. CRD automatically deletes the filing after thirty (30) days if the Form BDW filing has not been submitted. Once the Form BD Amendment or Form BDW filing has been submitted, it becomes part of the Form Filing History.

Defined terms are italicized throughout the Forms BD and BDW. 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.

Form BD Filing Types

The Form BD is the Uniform Application for Broker-Dealer registration with the SEC, SROs and jurisdictions. It provides background information on the applicant and the nature of its business. It includes lists of the executive officers and general partners of the company. It also contains information on any securities violations.

There are two (2) Form BD filing types:

1. **Initial** – This form cannot be submitted electronically through CRD. An applicant must complete the Form BD and mail the application to FINRA's District Office in which the applicant's principal place of business will be located. Non-FINRA applications should be mailed directly to:

   FINRA Registration and Disclosure
   9509 Key West Avenue – 3rd Floor
   Rockville, MD 20850

   When the application is complete, it will be forwarded to the Registration and Disclosure Department of FINRA for processing. A FINRA Application Analyst sends the applicant a written acknowledgment, records the Form BD data into the CRD system, and serves as the applicant's FINRA liaison for the application. Upon receipt of the application, the Registration and Disclosure Department will send the applicant the forms necessary to authorize the applicant to electronically access CRD.

2. **Amendments** – Amendments are used to add or change information on an existing Form BD. The applicant must update the Form BD information by submitting amendments whenever the information on file becomes inaccurate or incomplete for any reason. Form BD Amendment filings are submitted electronically through CRD.

Form BD Sections

Click each section of the BD amendment from the Navigation Bar, to update the appropriate section and click the **Save** button.

The Form BD consists of sixteen sections: General Instructions, Applicant Information, Other Business Names, SEC, SRO/Jurisdiction, Legal Status, Successions, Types of Business, Other Business, Execution Page, Industry Arrangements, Affiliates, Disclosure Questions, DRPs (Disclosure Reporting Page), Direct Owners/Executive Owners (Schedule A on the paper form), Indirect Owners (Schedule B on the paper form), and Branch Offices (view only screen; formerly Schedule E). Below is information relating to sections of the form that may require further explanation in addition to what is provided in the Steps For Creating a Form BD Amendment Filing on page 7-6.

Direct Owners/Executive Officers (Schedule A) – This section is used to add or update the applicant's **Direct Owners/Executive Officers** information. Schedule A must be filed with the Initial Form BD application for registration. Individuals who are listed on Schedule A and are not required to be registered must complete Sections 9 (Identifying Information/Name), 10 (Other Names), 11 (Residential History), 12 (Employment History), and 13 (Other Business) of the Form U4. This condensed version of the Form U4 is known as Page 2 Initial for Schedule A/B and is accessible via the Web CRD system. The applicant's signature is not required on the Page 2 Initial for Schedule A/B filing. Individuals who are required to become registered must complete the appropriate U4 filing (e.g. Initial, Relicense U4 filing).

Indirect Owners (Schedule B) - This section is used to add or update the applicant's **Indirect Owners** information. Schedule B must be filed with the Initial Form BD application for registration. Individuals who are listed on Schedule B and are not required to be registered must complete Sections 9 (Identifying Information/Name), 10 (Other Names), 11 (Residential History), 12 (Employment History), and 13 (Other Business) of the Form U4. This condensed version of the Form U4 is known as Page 2 Initial for Schedule A/B and is accessible via the Web CRD system. The applicant's signature is not required on the Page 2 Initial for Schedule A/B filing. Individuals who are required to become registered must complete the appropriate U4 filing (e.g. Initial, Relicense U4 filing).

Please note, changes made to the Direct Owners or Indirect Owners section(s) of the Form BD are reflected as **Schedule C** when viewing the Form Filing History. Changes to Other Business Names and "Yes" answers to Items 5, 7, 8, 9, 10, 12, and 13 on the Form BD are reflected as **Schedule D** when viewing the Form Filing History.

Branch Office (Schedule E) - This section was formerly used to register or report **Branch Offices** or other business locations of the applicant. It is currently a view-only screen. The addition of a branch office or any subsequent changes to branch information should be processed by filing the appropriate Form BR filing type for more information refer to Steps for Creating An Initial Form BR, steps 1 through 9 on pages 7-27 through 7-32.

Form BDW Filing Types:

The Uniform Request for Broker-Dealer Withdrawal (Form BDW) is used to terminate a member firm. Form BDW filings may be submitted to CRD to request full termination of registration with the SEC, FINRA, other SROs, and all participating jurisdictions. Members seeking to submit a partial termination of registration in one or more participating jurisdictions, may also file a partial Form BDW filing in CRD to initiate a request for jurisdiction-only termination.

There are two (2) Form BDW filing types:

1. **Full Withdrawal:** Terminates registration with the SEC, all SROs and all jurisdictions. If Item 5, Financial Liabilities, is answered Yes, the firm should file a paper copy of FOCUS Report Part II (or Part IIA for non-carrying or non-clearing firms) "Statement of Financial Condition" and "Computation of Net Capital" sections with CRD. For firms that do not file FOCUS Reports, file a statement of financial condition giving the type and amount of the firm's assets and liabilities and net worth. This information must reflect the finances of the firm no earlier than ten (10) days before this Form BDW is filed. Check with jurisdiction(s) where registered for additional filing requirements.

2. **Partial Withdrawal**: Terminates registration with specific jurisdictions and SROs, but does not terminate registration with the SEC and at least one SRO and jurisdiction. Complete all Form BDW items. Check with jurisdiction(s) where registered for additional filing requirements.

About Form BR

The Form BR is the Uniform Branch Office Form used for branch office registration, notification, closing and/or withdrawal. Broker-dealers can use this form to register or notice file their branch offices in the appropriate jurisdictions and/or with SROs. The form can be submitted electronically via the Central Registration Depository (Web CRD) system. The instructions in this manual apply to the filing of Form BR electronically. Filers submitting paper filings should read the Special Instructions For Paper Filers (Jurisdictions Only). The Form BR is accessible via FINRA's Web Site. Broker-dealers that are required to register and/or notice file with regulators that not utilizing the electronic filing process should contact the appropriate regulator for specific filing instructions or requirements.

CRD automatically performs a Completeness Check to prevent a firm from submitting an incomplete Form BR filing. Firm users may also perform a Completeness Check anytime prior to submission of the filing. A BR filing that has been saved but not yet submitted can be modified or deleted for sixty (60) days from the filing's creation date. If the filing has not been submitted, CRD automatically deletes the filing after sixty (60) days.

Defined terms are italicized throughout the Form BR. 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.

Form BR Filing Types

The Form BR is the Uniform Branch Office Registration Form. It enables broker-dealer firms to register or report branch offices via a single filing through the CRD system. The Form BR provides specific information pertinent to broker-dealers' branch office(s). It includes information such as type of registration status (i.e. registration, notice filing status), Types of Activities, Physical Location, Associated Individuals, and Branch Office Arrangements.

There are three (3) Form BR filing types:

1. **Initial** – This filing type is used to register or notice file a new branch office with SROs and jurisdictions as appropriate. The term register typically refers to a process that requires an approval by a SRO or jurisdiction. The term "notice file" typically refers to regulators' requirement to be notified of any changes to firms' branch office information; however, an approved status is not required.
2. **Amendment** – This filing type is used to add or change information on a BR Form that was previously submitted. The applicant must update the Form BR information by submitting amendments whenever the information on file becomes inaccurate or incomplete for any reason (e.g. branch office address or types of activities has changed). Form BR amendments are submitted electronically.
3. **Closing/Withdrawal** – This filing type is used to terminate a branch office registration and/or to withdraw an initial filing prior to approval by a SRO or jurisdiction.

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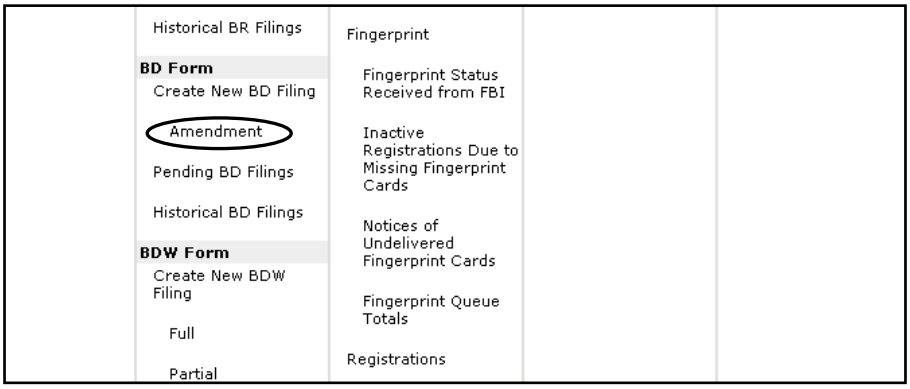
Steps for Creating a Form BD Amendment Filing:

Access BD Amendment

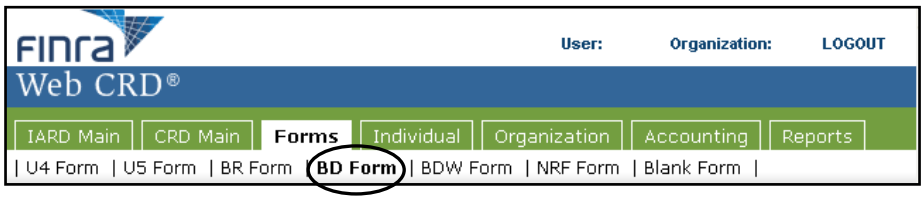
There are two ways to access a Form BD Amendment filing:

1. From the CRD Site Map, click the **Amendment** hyperlink.



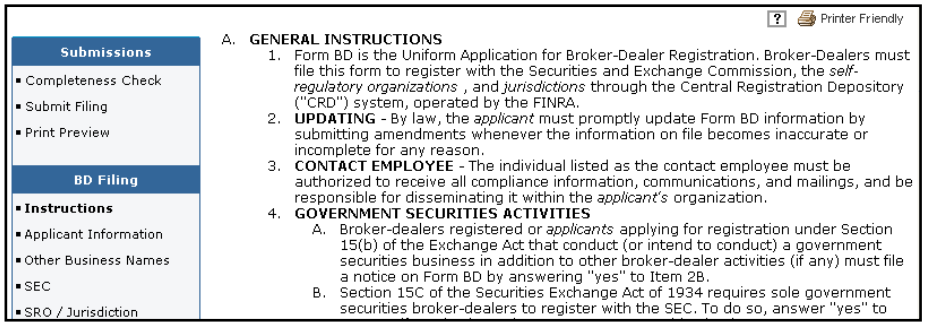
OR

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



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

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



NOTE: At this point, the Form BD filing is saved as Pending and can be modified or deleted for six (6) months from the creation date, prior to submission.

Complete BD Filing Sections	2. Click each section of the **BD Filing** from the Navigation Bar, type the appropriate information and click the **Save** button. **Instructions**: The Instructions displays the Form BD Instructions and Explanation of Terms hyperlink. **Applicant Information**: In Applicant Information, several fields are pre-populated with information from the Form BD. The applicant's name cannot be changed. The main Business Address, IRS ID No., Business Telephone Number, Contact Name, Contact Title and Contact Phone Number are mandatory fields. **Other Business Names**: Other Business Names lists the firm names under which business was conducted. At least one jurisdiction must be selected for each Other Business Name. All Other Business Names will appear on Schedule D. To complete Schedule D, see steps 1 through 3 on page 7-11 of Steps for Completing Schedule D. **SEC**: SEC displays information about how a broker-dealer will be registered with the SEC. If the applicant is registered or registering with the SEC, check the SEC box and answer items 2A through 2D **Yes** or **No**. If the applicant answered **Yes** to 2A or 2B, do not answer **Yes** to 2C. If the applicant answers **Yes** to 2A and 2D, the applicant expressly consents to the withdrawal of its registration as a government securities broker or dealer under Section 15C of the SEC Act of 1934. **SRO/Jurisdictions**: The applicant must register or be registered with at least one SRO. Jurisdiction registration is optional. **Legal Status**: The Legal Status of the broker-dealer and the month that the fiscal year ends are mandatory fields. For other than Sole Proprietors, the date and location where the applicant obtained the Legal Status are mandatory fields. If Sole Proprietorship is selected, then the applicant's address and Social Security Number are required. **Successions**: Succession displays information about firm successions at the time of registration. The radio buttons must be checked **Yes** or **No**. If answered **Yes**, the applicant should contact CRD prior to submitting the form, and the Date of Succession, Name of Predecessor, Firm CRD Number and succession details fields must be completed. This information will appear on Schedule D. To complete Schedule D, see steps 1 through 3 on page 7-11 of Steps for Completing Schedule D. Do not report previous successions already reported on Form BD. **Types of Business**: Types of Business requests that the applicant check the types of business in which it is involved. At least one type of business must be selected. Items 13A and B must be answered **Yes** or **No**. If items 12Z and/or 13B are answered **Yes**, Schedule D must be completed. To complete Schedule D, see steps 1 through 3 on page 7-11 of Steps for Completing Schedule D. **Other Business:** Other Business contains more information concerning **Yes** answers to items 12Z and/or 13B in Types of Business. This information will appear on Schedule D. To complete Schedule D, see steps 1 through 3 on page 7-13 of Steps for Completing Schedule D. **Execution Page:** The Execution Page must be signed and dated. A paper copy, with original manual signature(s), must be retained and made available upon regulatory request.

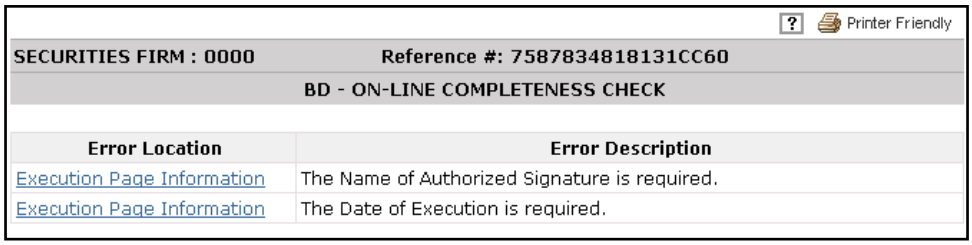
Complete BD Filing Sections	**Industry Arrangements:** In Industry Arrangements, the applicant displays arrangements made with other broker-dealers, persons, firms or organizations. All questions must be answered **Yes** or **No**. If any part of items 7, 8 or 9 is answered **Yes**, the following information must be provided on the organization or individual with which the arrangement exists: the Organization or Individual's Name, CRD Number, whether the CRD Number belongs to an Entity or Individual, Business Address, Effective Date, Termination Date (if applicable) and a description of the nature of the arrangement. This information will appear on Schedule D. To complete Schedule D, see steps 1 though 3 on page 7-13 of Steps for Completing Schedule D. **Affiliates:** Affiliates displays Control Business Affiliates and/or Control Bank Affiliates. The radio buttons must be checked **Yes** or **No**. If answered **Yes**, further information must be provided on the Business and/or Bank Affiliates, which will appear on Schedule D. To complete Schedule D, see steps 1 through 3 on page 7-13 of Steps for Completing Schedule D. **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. **DRP**: A Disclosure Reporting Page must be completed to provide information for all disclosure questions with a radio button checked **Yes**. To complete a DRP, see steps 1 through 22 on pages 7-14 through 7-19 of Completing a Form BD Disclosure Reporting Page. **Direct Owner/Executive Officer:** Schedule A of Form BD. At least one (1) Direct Owner and/or Executive Officer must be listed. Amendments made to the Direct Owners/Executive Officers section in CRD will appear on a Schedule C once the filing is printed. To create a Schedule A, see steps 1 through 4 on page 7-11 of Steps for Creating Schedule A. In addition, the question concerning whether Indirect Owners exist must be answered **Yes** or **No**. **Indirect Owners:** Schedule B of Form BD. If a **Yes** answer is provided to the Indirect Owners question, at least one Indirect Owner must be listed. Amendments made to the Indirect Owners section in CRD will appear on a Schedule C once it is printed. To create a Schedule B, see steps 1 through 4 on page 7-12 of Steps for Creating Schedule B. **Branch Offices:** Formally referred to as Schedule E of Form BD. This is currently a view-only screen. The addition of a branch office or any subsequent changes to branch information should be processed by filing the appropriate Form BR filing type. To create an Initial Form BR see steps 1 through 9 on pages 7-27 through 7-32 of Steps for Creating an Initial BR. **NOTE:** Once you have created the appropriate BD filing, you can choose any section of the **BD Filing** at any time. There is no requirement to proceed in the order of the Navigation Bar.

Completeness Check

3. Click the **Completeness Check** hyperlink 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 5.

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

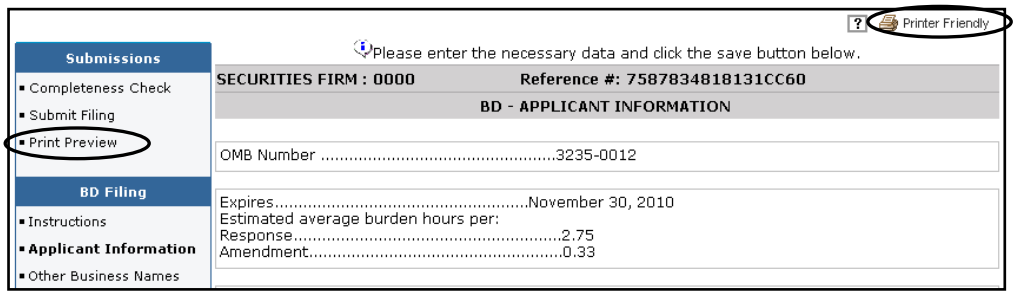


4. Click the **Error Location** hyperlink(s) and complete the necessary fields until all errors have been corrected.

Print

5. Click **Print Preview** from the Submissions Menu and choose an option (e.g., **Page 1**, **Schedule A**, etc.) from the Navigation Bar to view or print that page, or choose **All Pages** to view or print the form in its entirety.

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



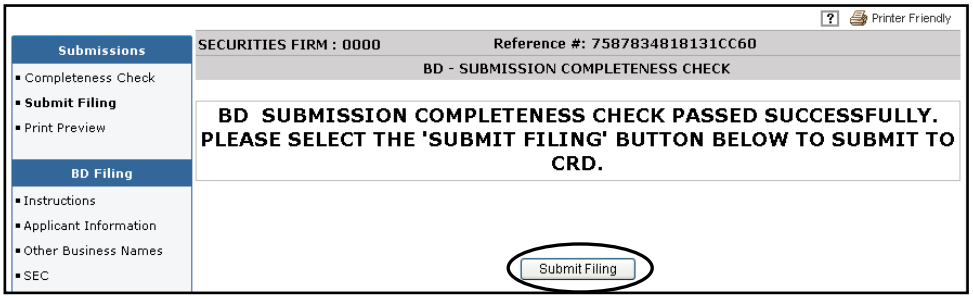
NOTE: A paper copy of the form, with original manual signatures, is required to be retained by the filing firm and made available for inspection upon regulatory request. Check the General Instructions for specific retention requirements.

Submit Filing

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

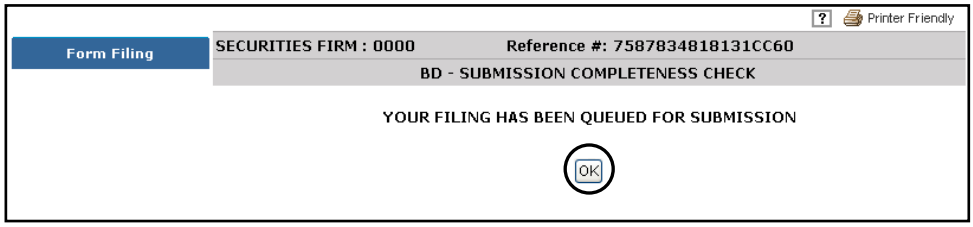
NOTE: When Submit Filing is selected prior to running a Completeness Check, CRD will automatically run a Completeness Check to verify that all required information has been provided. If information has not been completed in the required fields, the Completeness Check will display the error screen with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

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



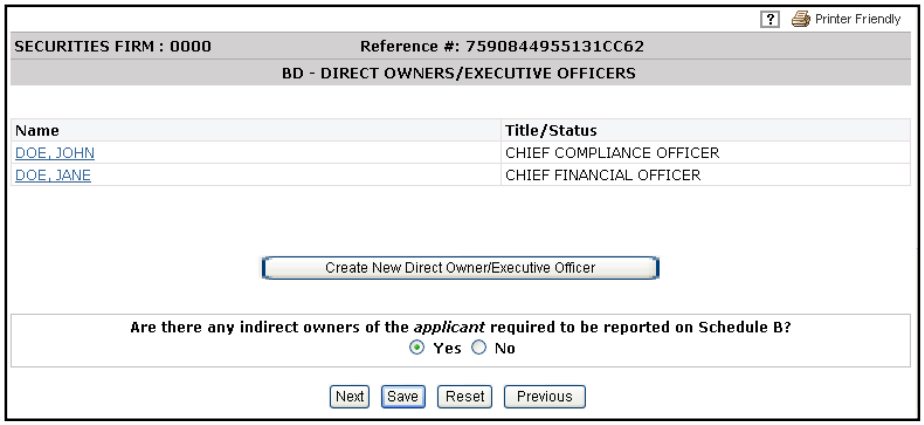
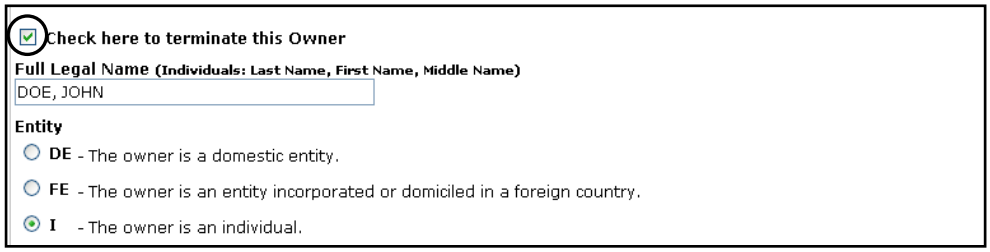
8. Click the **Submit Filing** button.

[Result:] *Your filing was successfully submitted* screen opens.

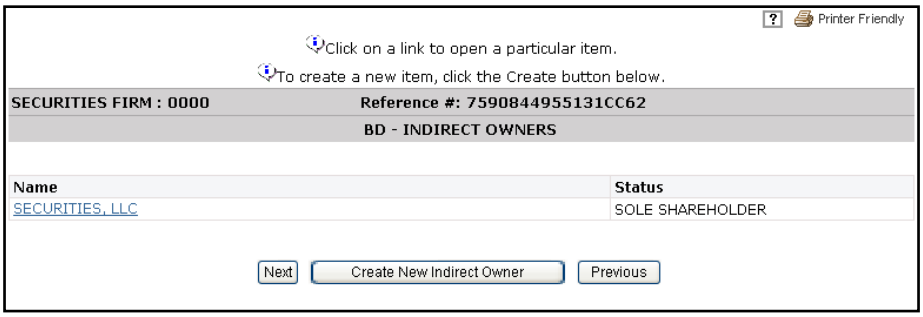
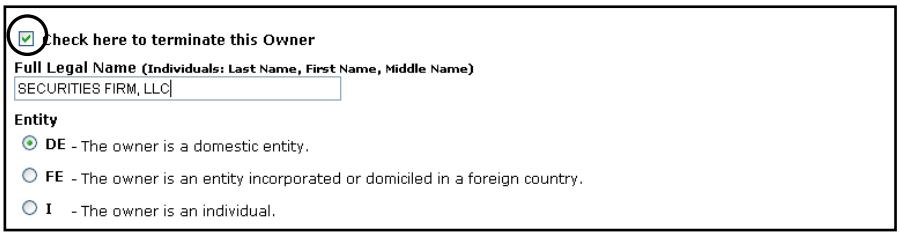


9. Click the **OK** button.

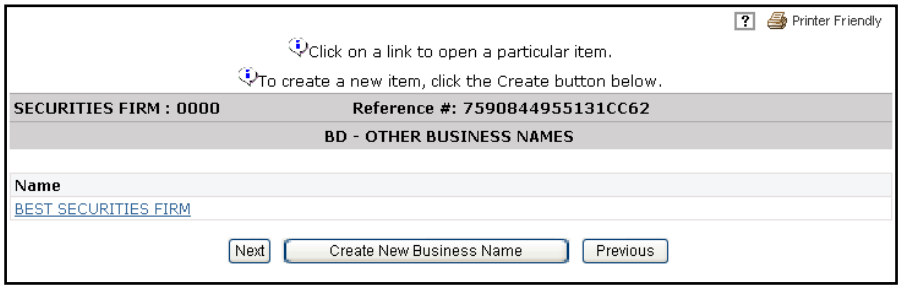
Steps for Creating Schedule A:

Access Schedule A	1. To access **Schedule A** during a **BD Amendment** filing, see steps 1 or 1a on page 7-6 of Steps for Creating a Form BD Amendment Filing. **OR** 1a. To access **Schedule A** for a **Pending BD Amendment** filing, see steps 1 through 4 on page 7-24 of Steps for Retrieving Pending BD and BDW Filings.
Complete Schedule A	2. Click **Direct Owners/Executive Officers** from the Navigation Bar. 3. To create a new Direct Owner/Executive Officer, click the **Create New Direct Owner/Executive Officer** button and type the **Full Legal Name**, **Entity**, **Title or Status**, **Date Title or Status Acquired** (MM/YYYY), **Ownership Code**, **Control Person**, **Public Reporting Company** and **CRD #**.  **OR** 3a. To update an existing Direct Owner/Executive Officer, click the **Name** hyperlink and type new information in the appropriate fields. **[Result:]** The *BD-Direct Owners/Executive Officers* screen opens.  **OR** 3b. To terminate a Direct Owner/Executive Officer, click the **Name** hyperlink and click the **Check here to terminate this Owner** box. 3c. To delete a Direct Owner/Executive Officer from a current filing that has not yet been submitted, click the **Name** hyperlink, click the **Delete** button and choose **OK**. 4. Click the **Save** button.

Steps for Creating Schedule B:

Access Schedule B	1. To access **Schedule B** during a **BD Amendment** filing, see steps 1 or 1a on page 7-6 of Steps for Creating a Form BD Amendment Filing. **OR** 1a. To access **Schedule B** for a **Pending BD Amendment** filing, see steps 1 through 4 on page 7-24 of Steps for Retrieving Pending BD and BDW Filings.
Complete Schedule B	2. Click **Indirect Owners** from the Navigation Bar. 3. To create a new Indirect Owner, click the **Create New Indirect Owner** button and type the **Full Legal Name**, **Entity**, **Entity in which Interest is Known, Status**, **Date Status Acquired** (MM/YYYY), **Ownership Code**, **Control Person**, **Public Reporting Company** and **CRD #**.  **OR** 3a. To update an existing Indirect Owner, click the **Name** hyperlink and type new information in the appropriate fields. **[Result:]** The *BD-Indirect Owners* screen opens.  **OR** 3b. To terminate an Indirect Owner, click the **Name** hyperlink and click the **Check here to terminate this Owner** box. **OR** 3c. To delete an Indirect Owner from a current filing that has not yet been submitted, click the **Name** hyperlink, click the **Delete** button and choose **OK**. 4. Click the **Save** button.

Steps for Completing Schedule D:

Access Schedule D	1. To access **Schedule D** during a **BD Amendment** filing, see steps 1 or 1a on page 7-6 of Steps for Creating a Form BD Amendment Filing. **OR** 1a. To access **Schedule D** for a **Pending BD Amendment** filing, see steps 1 through 4 on page 7-24 of Steps for Retrieving Pending BD and BDW Filings.
Complete Schedule D	**NOTE**: Schedule D must be completed to provide information on Yes answers to Other Business Names, Other Business, Successions, Types of Business, Industry Arrangements and Affiliates. The Schedule D questions vary based on corresponding form filing section; however, the general format remains the same. The following is an example of Other Business Names: 2. Click **Other Business Names** from the Navigation Bar. **[Result:]** The *BD-Other Business Names* screen opens.  3. To create a new Business Name, click the **Create New Business Name** button, type the **Name**, check the appropriate box(es) next to the jurisdiction(s) in which you use that name and click the **Save** button. **OR** 3a. To modify existing Business Names, click the **Name** hyperlink, type new information and click the **Save** button. **OR** 3b. To delete an existing Business Name from the current filing, click the **Name** hyperlink, click the **Delete** button and choose **Yes**.

Steps for Completing a Form BD Disclosure Reporting Page:

Access DRP

NOTE: Disclosure Reporting Pages must be completed to provide information on a Yes answer to a Disclosure Question.

5. To access a **DRP** during a **BD Amendment** filing, see steps 1 or 1a on page 7-6 of Steps for Creating a Form BD Amendment Filing.

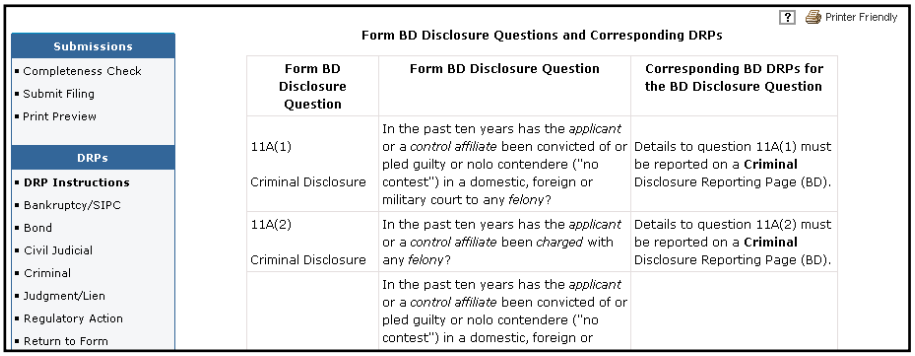
OR

1a. To access a **DRP** for a **Pending BD Amendment** filing, see steps 1 through 4 on page 7-26 of Steps for Retrieving Pending BD and BDW Filings.

View DRP

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

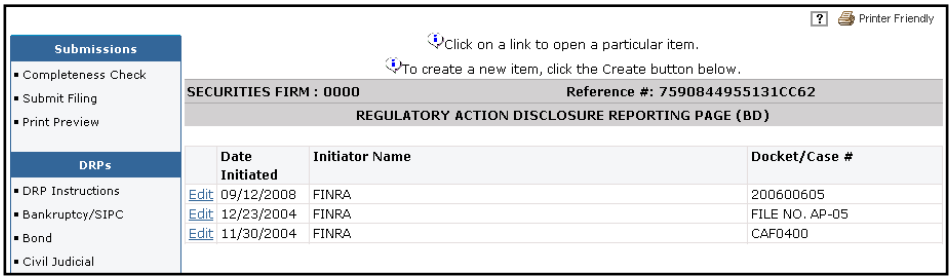
[Result:] The *Form BD Disclosure Questions and DRP* screen opens.



NOTE: The DRP questions vary based on the corresponding disclosure section (i.e. Bankruptcy/SIPC, Bond, Civil Judicial, Criminal, Judgment/Lien or Regulatory Action); this page serves to assist you in determining which DRP you should complete. The following is an example of a Regulatory Action DRP:

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

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

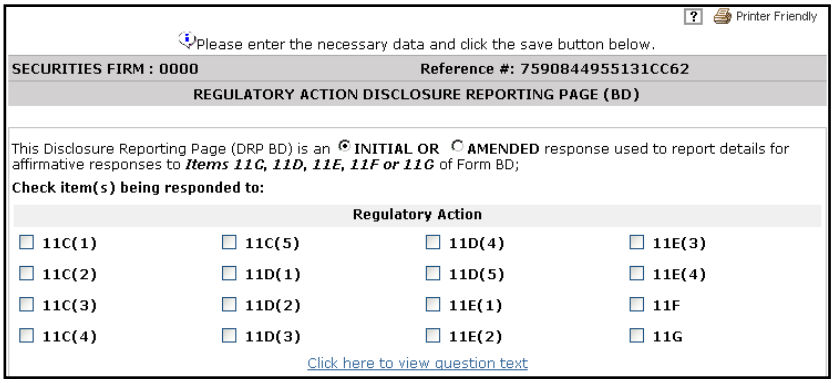
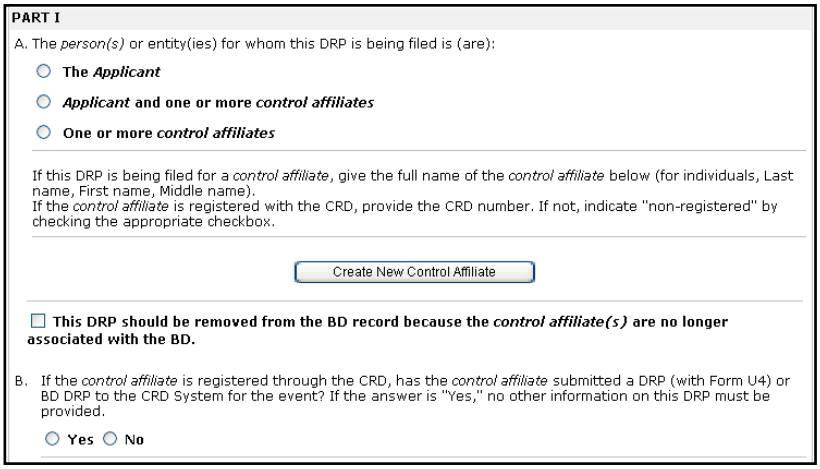


4. Click the **Edit** hyperlink to update an existing DRP.

OR

4a. To delete a DRP that has been created on a filing that has not yet been submitted, click the **Edit** hyperlink, click the **Delete** button, and click **OK**.

OR

Complete DRP	4b. Click the **Create New** button to enter a new DRP. **[Result:]** The *corresponding DRP* section opens. **NOTE:** The Initial or Amended radio buttons are pre-populated to reflect the filing type.  5. Click the box next to the **Disclosure Question** that received a **Yes** response. The **Click here to view question text** hyperlink displays the question.
Complete DRP Part I	**PART I:** 6. Click **The Applicant**, ***Applicant*** **and One or more control** ***affiliates*** or **One or more control** ***affiliates*** radio button. If **The Applicant** radio button is selected, go to step 7. If ***Applicant*** **and One or more control** ***affiliates*** or **One or more control** ***affiliates*** radio button is selected: click the **Create New Control Affiliate** button; type Control Affiliate information; click the **Save** button; click the **Return to DRP button**; click the **Yes** or **No** radio button to Question B. If the answer to question 1A is **One or more control affiliates** and the answer to question 1B is **Yes**, then details for the DRP do not have to be submitted. Go to step 21, page 7-18. If the **No** radio button was selected, go to step 7 on the next page. **OR** 6a. If the **DRP should be removed from the BD record because the control affiliate(s) are no longer associated with the BD**, click the box and go to step 21, page 7-18. 

Complete DRP Part II

PART II:

7. Click the appropriate **Regulatory Action Initiated by** radio button and type the full name in the text box.

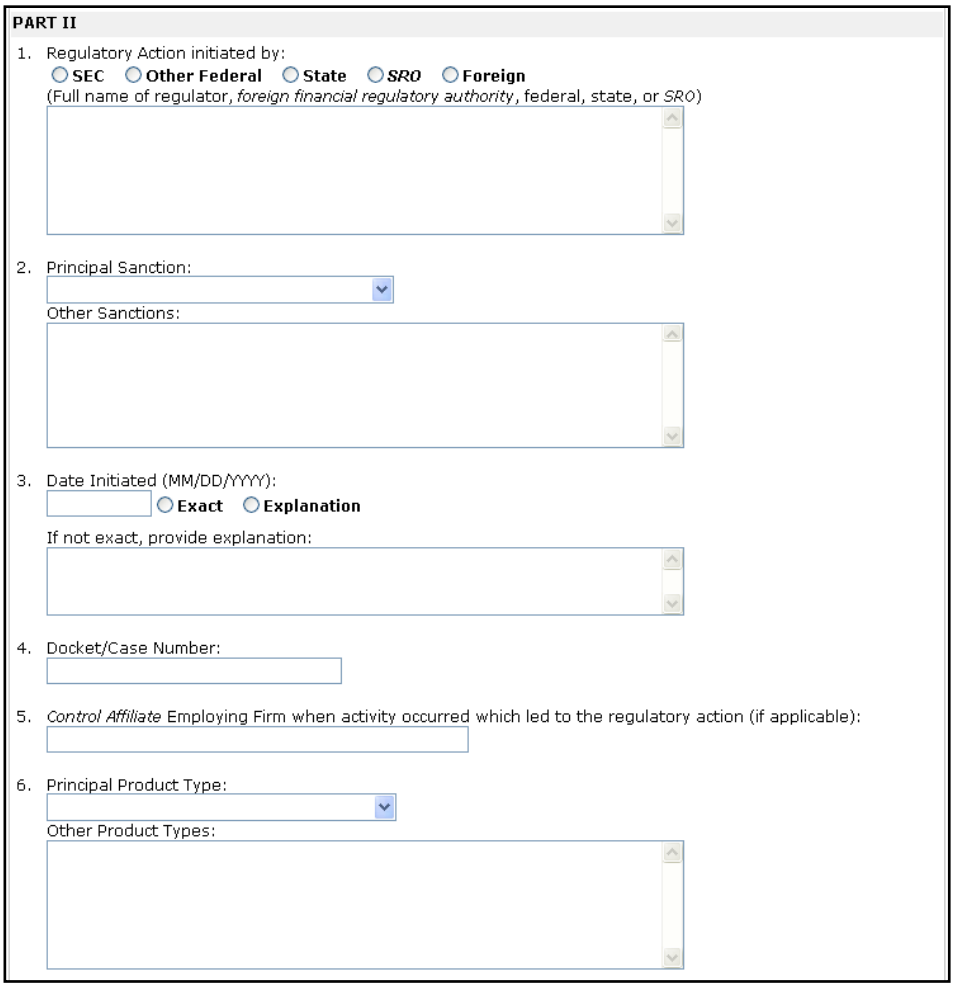
8. Click the **Principal Sanction** drop-down arrow and type **Other Sanctions** (if applicable) in the text box.

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

10. Type the **Docket / Case Number** in the text box.

11. Type the ***Control Affiliate*** **Employing Firm** when activity occurred which led to the action, in the text box.

12. Click the drop-down arrow, choose **Principal Product Type** and type **Other Product Types** (if applicable) in the text box.



Complete DRP Part II (Continued)

13. Type the **Description of the allegations related to this regulatory action** in the text box.

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

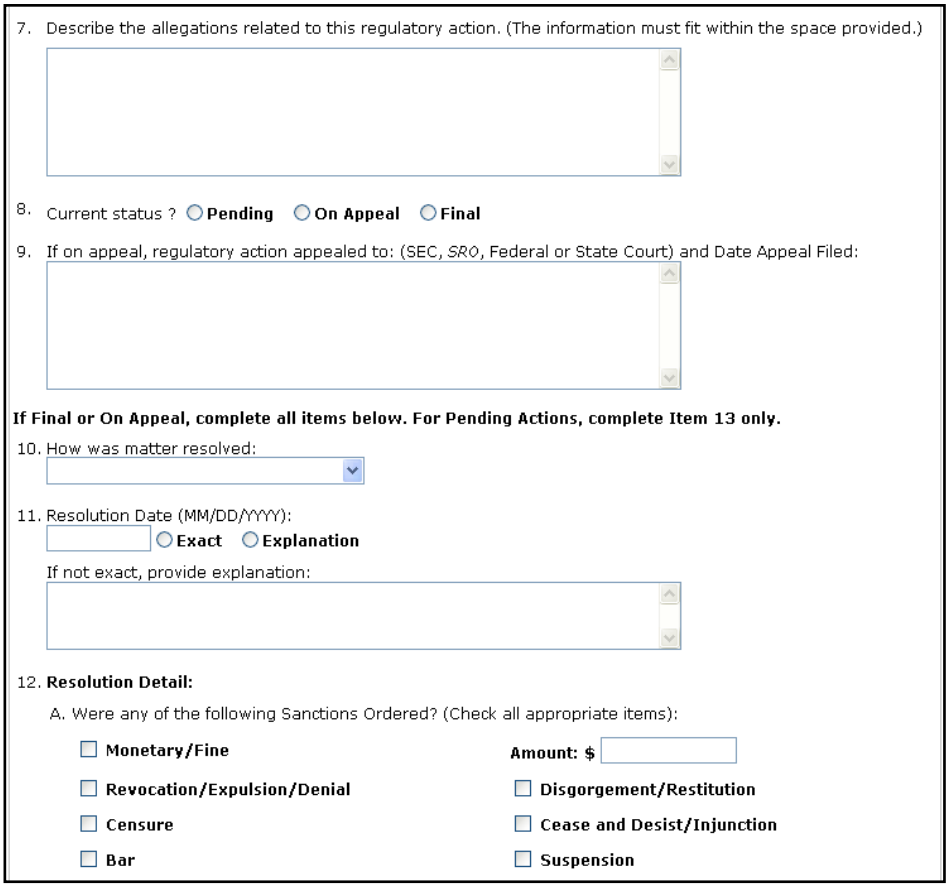
14. Click **Pending, On Appeal** or **Final** radio buttons. If the **Pending** radio button was chosen, see step 21, page 7-18 to provide a summary of details related to Pending Status. If **On Appeal** radio button was chosen, see step 15 below. If **Final** radio button was chosen, see step 16 below.

15. Type the organization to which the **regulatory action was appealed**, and the **Date Appeal Filed**.

16. Click the drop-down arrow and choose **How matter was resolved**.

17. Type the **Resolution Date** (MM/DD/YYYY format) in the text box and click the **Exact** radio button. If unsure of the date, select the **Explanation** radio button and type an approximate date with an explanation in the text box.

18. Click the appropriate **Resolution Detail** boxes. If **Monetary/Fine** box is checked, type the **Amount** (00.00 format) in the text box.



Complete DRP Part II (Continued)

19. Type **Other Sanctions Ordered** (if applicable) in the text box.

20. Type the **Sanction detail** in the text box.

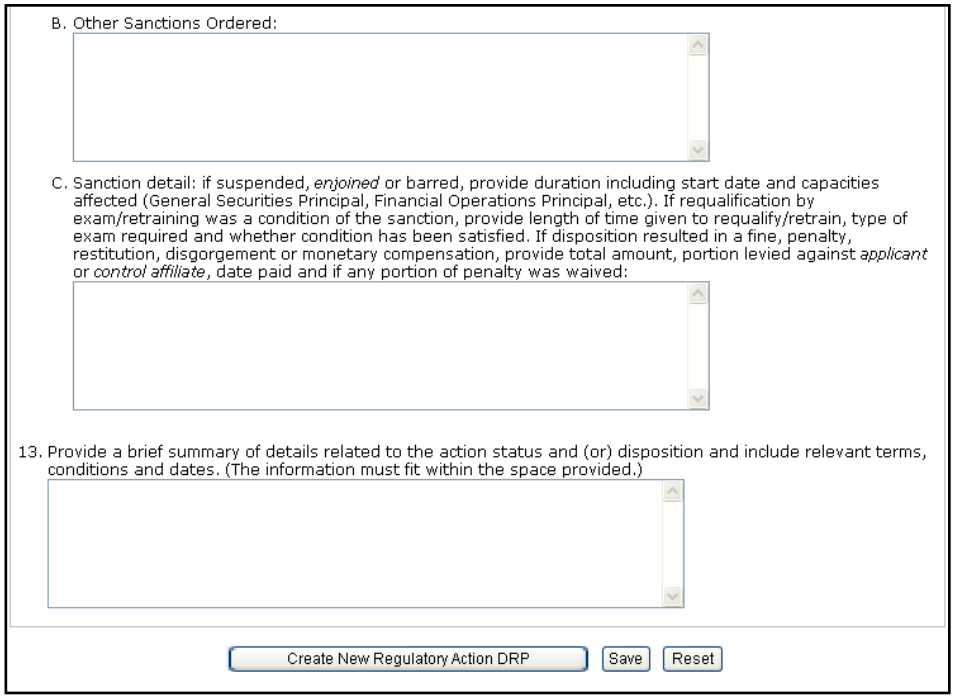
21. Type **a brief summary of the details related to the action status and/or disposition and include relevant terms, conditions and dates**.

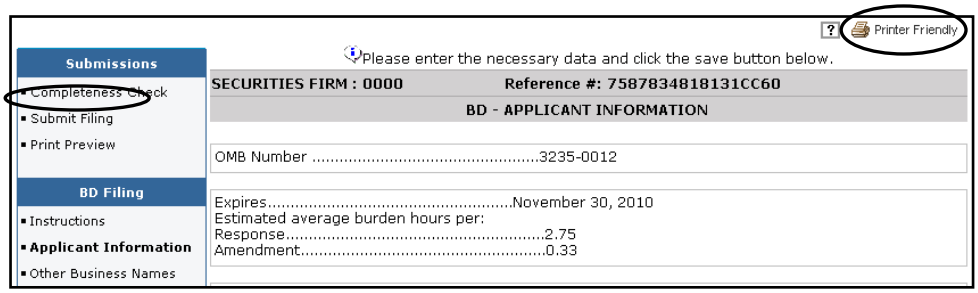
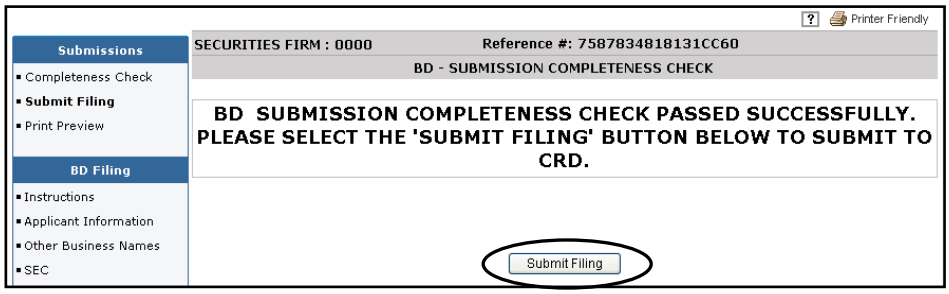
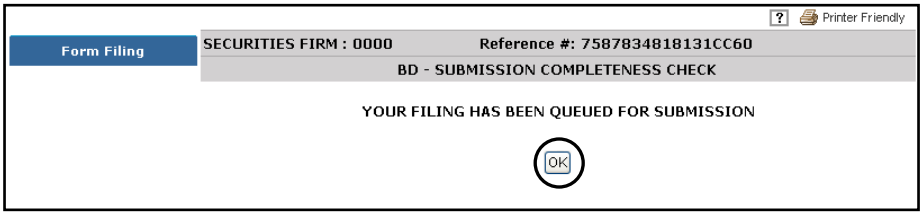
22. Click the **Save** button.

23. Click the **Return to Form** from the Submissions Menu to complete the BD Amendment filing.

OR

23a. Click the **Submit Filing** hyperlink from the Submissions Menu to submit the filing.



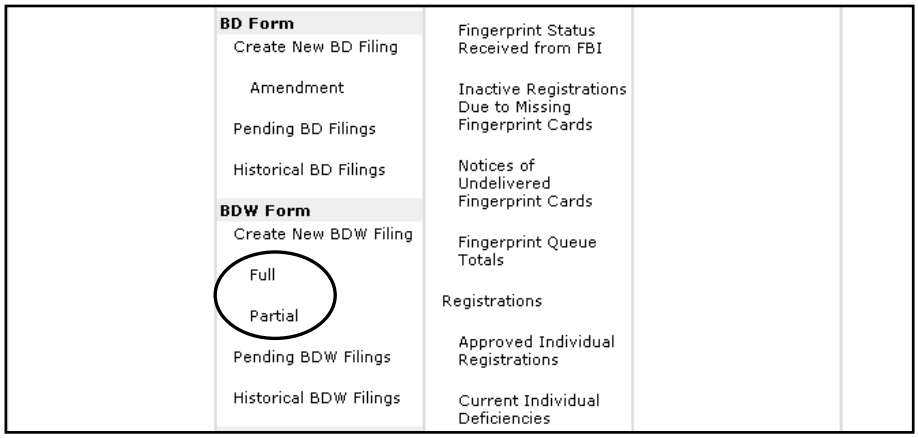
Print	1. Click **Print Preview** from the Submissions Menu. 2. Click the Printer Friendly icon and click **Print** on the system print box. 
Submit Filing	1. Click **Submit Filing** from the Submissions Menu when ready to submit the filing to CRD. **NOTE**: When Submit Filing is selected prior to running 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 3 on page 7-9 of Steps for Creating a BD Amendment filing. **[Result:]** The *Submit Filing* screen opens.  2. Click the **Submit Filing** button. **[Result:]** The *Filing Successfully Queued for Submission* screen opens.  3. Click the **OK** button.

Steps for Creating a Form BDW Filing:

Create a New Filing

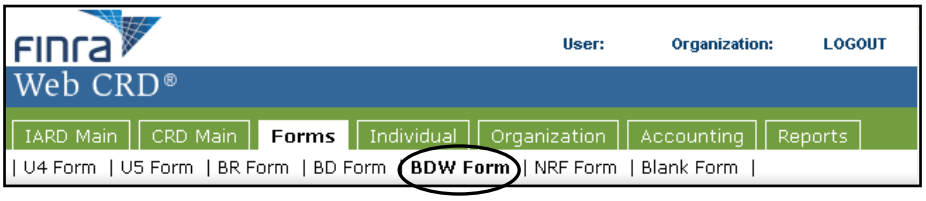
There are two ways to create a new BDW filing:

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



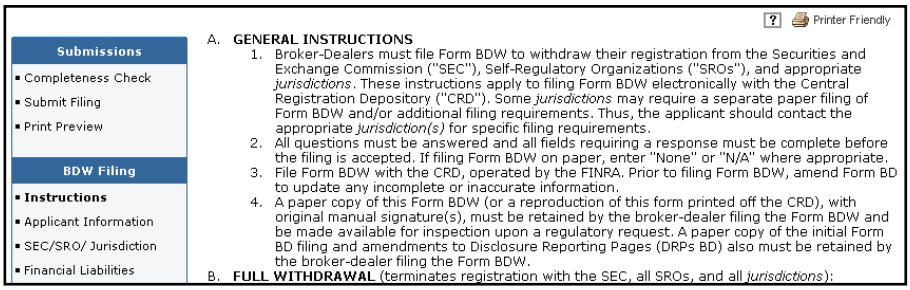
OR

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



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

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



NOTE: At this point, the Form BDW is saved as Pending and can be modified or deleted for thirty (30) days from the Creation date, prior to submission.

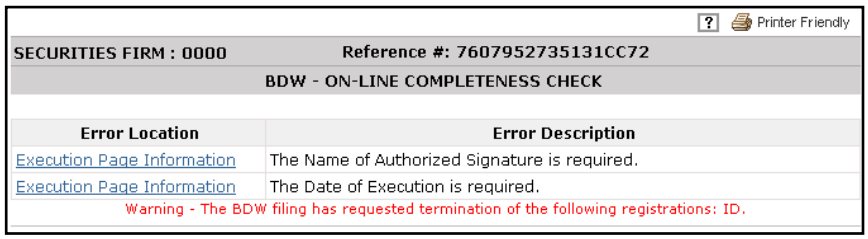
Complete Form BDW Sections	2. Click each section of **BDW Filing** from the Navigation Bar, type the appropriate information and click the **Save** button. **Instructions**: The Instructions displays the Form BDW Instructions and Explanation of Terms hyperlink. **Applicant Information**: In Applicant Information, the name of business, IRS ID No. and Firm CRD # pre-populate and cannot be changed. The Firm's main address, business telephone number and withdrawal date are mandatory and also pre-populate, but may be edited. The date that the firm ceased business or withdrew registrations is required. **SEC/SRO/Jurisdictions**: **(Not Available on a Full BDW filing)** Check the SRO and/or jurisdiction box(es) to withdraw the appropriate registrations. At least one box must be checked to submit the Partial BDW filing. **Financial Liabilities**: In Financial Liabilities, the **Yes** or **No** radio button must be checked. If **Yes** on a **Full BDW**, complete sections A through D and file FOCUS Report Part II "Statement of Financial Condition" and "Computation of Net Capital" sections or, if not required to file FOCUS Reports, file a statement of financial condition giving the type and amount of the firm's assets, liabilities and net worth. If **Yes** on a **Partial BDW**, indicate the jurisdiction(s) from which the firm is withdrawing where the applicant owes money or securities to customers or broker-dealers. **Disclosure Questions**: The Disclosure Questions must be answered **Yes** or **No**. **Custodian Information**: In Custodian Information, the name, phone number and street address of the person who will have custody of books and records are mandatory fields. If the books and records will be kept at a different address, that address is also required. **Execution Page:** The Execution Page must be signed and dated. **NOTE**: Choose any section of the BDW Filing at any time. There is no requirement to proceed in the order of the Navigation Bar.

Completeness Check

3. 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 5.

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

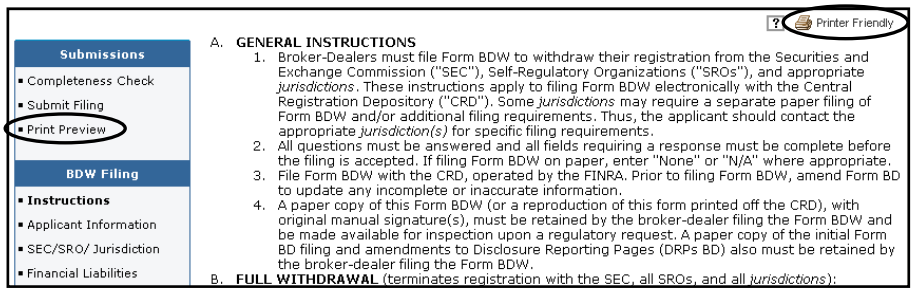


4. Click the **Error Location** hyperlink(s) and complete the necessary fields until all errors have been corrected.

Print

5. Click **Print Preview** from the Submissions Menu and choose an option (e.g., **Page 1**, **Page 2**, **All Pages**, etc.) from the Navigation Bar to view or print the form in its entirety.

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



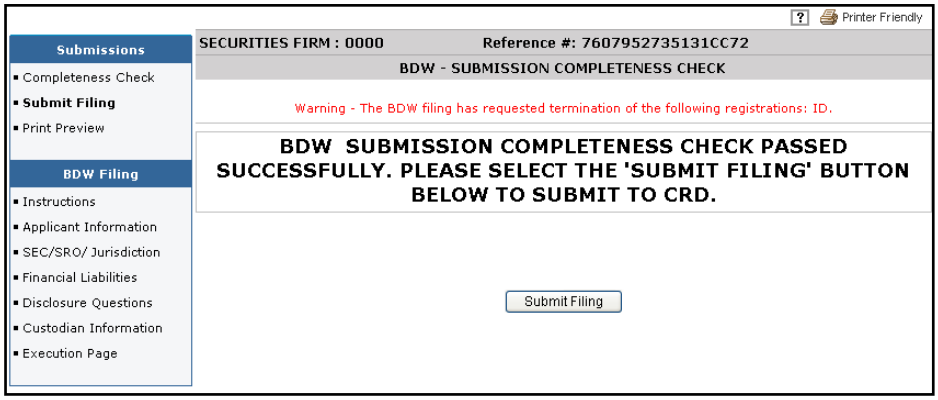
NOTE: A paper copy of the form, with original manual signatures, is required to be retained by the filing firm and made available for inspection upon regulatory request. Check the General Instructions for specific retention requirements.

Submit Filing

7. Click the **Submit Filing** hyperlink from the Navigation Bar when ready to submit the filing to the CRD.

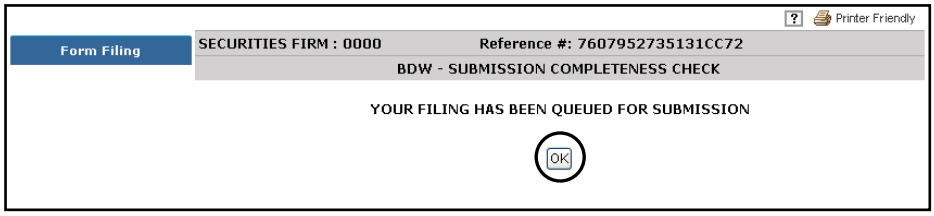
NOTE: When Submit Filing is selected prior to running a Completeness Check, CRD will automatically run a Completeness Check to verify that all required information has been provided. If information has not been completed in the required fields, the Completeness Check will display the error screen with links to the required fields to be completed. To correct Completeness Check errors, see step 4 on page 7-22 of Steps for Creating a Form BDW Filing.

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



8. Click the **Submit Filing** button.

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



9. Click the **OK** button.

Steps for Retrieving Pending BD and BDW Filings:

View Pending Filings

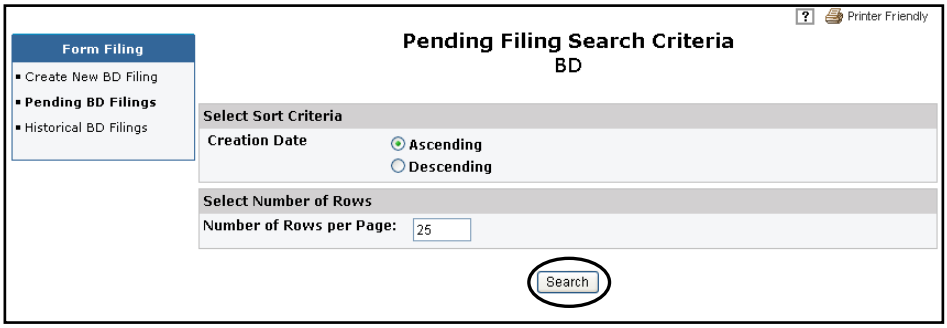
There are two ways to access pending filings:

1. From the Site Map, click the **Pending BD Filings** or **Pending BR Filings** hyperlink.

OR

1a. Click the **Forms** Tab from the Tool Bar, choose **BD Form** or **BDW Form** from the Sub-menu and click **Pending Filings** from the Navigation Bar.

[Result:] The *Pending Filing Search Criteria* (BD or BDW) screen opens.



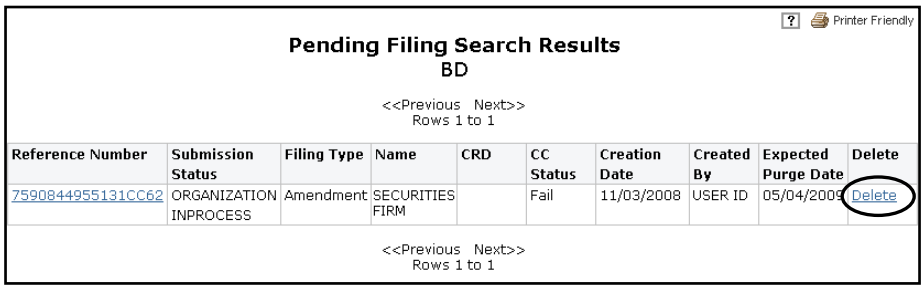
2. Click the **Ascending** or **Descending** radio button.

NOTE: CRD defaults to Ascending.

3. Click the **Search** button.

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

NOTE: A BD filing can remain Pending for six (6) months at which time CRD automatically deletes the filing. A BDW filing can remain Pending for thirty (30) days at which time CRD automatically deletes the filing.



NOTE: The Submission Status is Organization in Process, indicating that you have not yet 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.

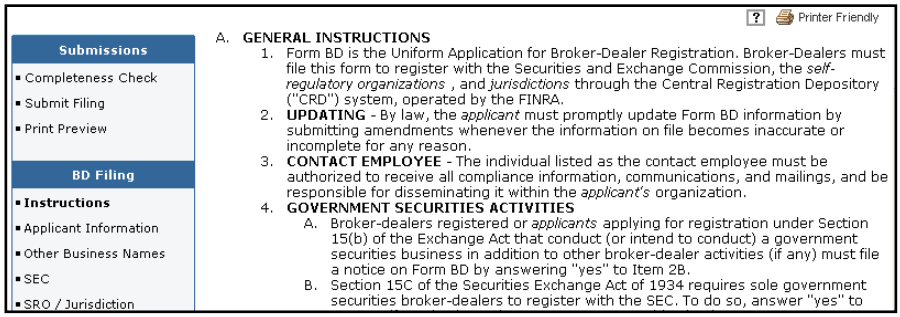
4. To modify a Pending filing, click the **Reference Number** hyperlink.

OR

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

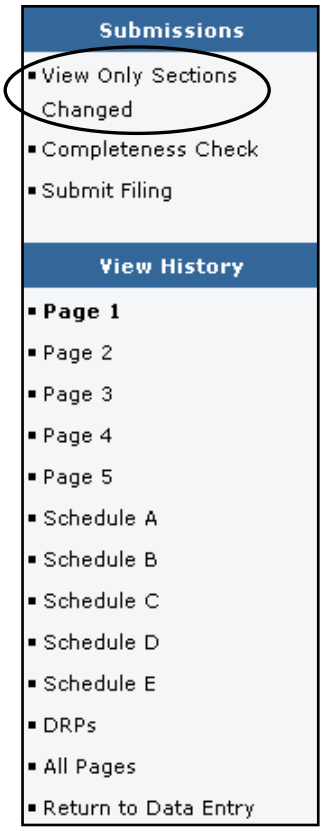
View Pending Filings (Continued)

[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 BD Amendment Filing, see steps 1 through 9 on pages 7-6 through 7-10 of Steps for Creating a Form BD Amendment Filing, to complete a Form BR Filing, see steps 1 through 9 on pages 7-27 through 7-32 of Steps for Creating a Form BR Filing, or to complete a BDW Filing, see steps 1 through 9 on pages 7-20 through 7-26 of Steps for Creating a Form BDW Filing.

NOTE: To view sections changed from the previous filing while the filing is in Pending, Click **Print Preview** on the Navigation Panel and select **View Only Sections Changed.** If a section was not changed "No Information Filed" message will display.



Steps for Viewing Historical Forms BD and BDW Filings:

View Historical Filings

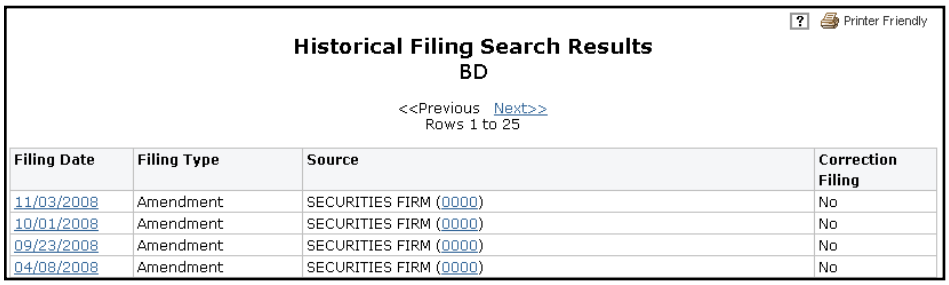
There are two ways to access historical filings:

1. From the Site Map, click the **Historical BD Filings** or **Historical BDW Filings** hyperlink.

OR

1a. Click the **Forms** Tab from the Tool Bar, choose **BD Form, BDW Form** or **BR Form** from the Sub-menu and click **Historical Filings** from the Navigation Bar.

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

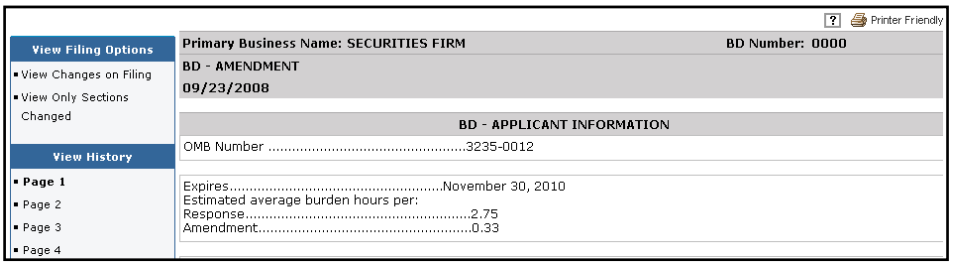


Filing Date	Filing Type	Source	Correction Filing
11/03/2008	Amendment	SECURITIES FIRM (0000)	No
10/01/2008	Amendment	SECURITIES FIRM (0000)	No
09/23/2008	Amendment	SECURITIES FIRM (0000)	No
04/08/2008	Amendment	SECURITIES FIRM (0000)	No

NOTE: The type of Historical Filing will be displayed under the Historical Filing Search Results Header (e.g., BD, BDW, BR)

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

[Result:] The first section on the organization form filing screen opens.



3. Click **View Changes on Filing** to see the modifications made on that filing in red.

OR

3a. Click **View Only Sections Changed** to see just the sections changed on that amendment.

OR

3b. Click each page from the Navigation Bar to view the filing by page.

OR

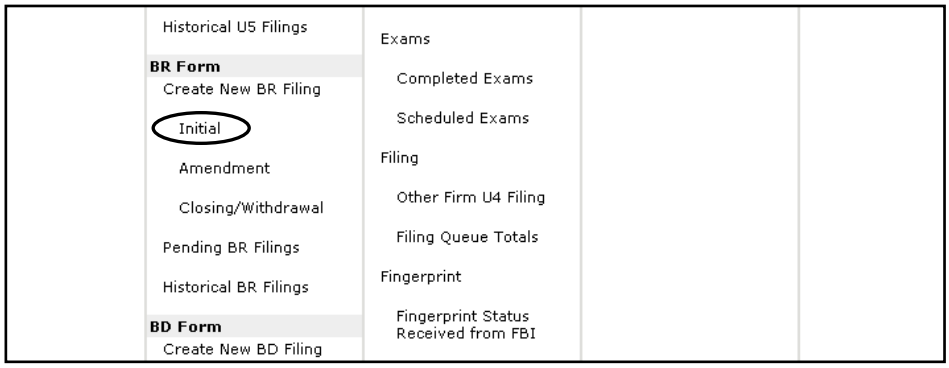
3c. Click **All Pages** to view the filing in its entirety.

Steps for Creating an Initial Form BR Filing:

Access Initial Form BR

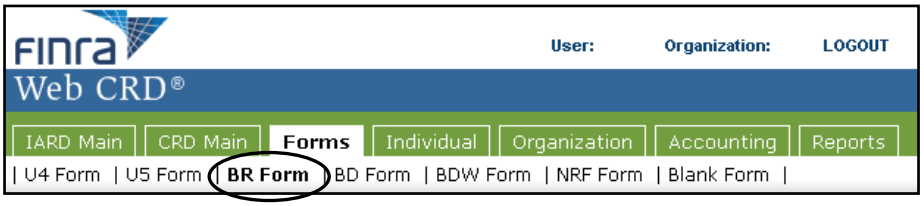
There are two ways to create a Form BR filing:

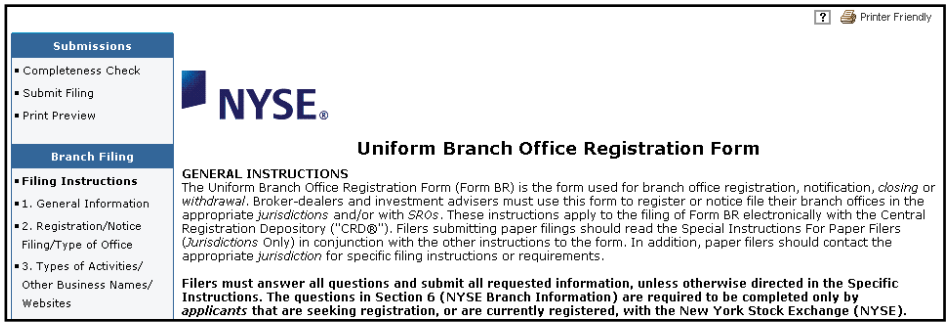
1. From the CRD Site Map, click the **Initial** hyperlink.



OR

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



	[Result:] The *Filing General Instructions* section opens.  **NOTE**: At this point, the Form BR filing is saved as Pending and can be modified or deleted for sixty (60) days from the creation date, prior to submission.
Complete BR Filing Sections	2. Click each section of the Form BR filing from the Navigation Bar, type the appropriate information and click the **Save** button. The Form BR includes nine (9) sections, which are identified below: Section 1: General Information Section 2: Registration/Notice Filing/Type of Office Section 3: Types of Activities/Other Business Names/Websites Section 4: Branch Office Arrangements Section 5: Associated Individuals Section 6: NYSE Branch Information Section 7: Branch Closing Section 8: Branch Withdrawal Section 9: Signature An **Initial** Form BR filing includes: Sections 1 through 6 (Section 6 is only applicable to that are NYSE members) and Section 9. An **Amendment** Form BR filing includes: Section 1: General Information Section 2: Registration/Notice Filing/Type of Office Section 3: Types of Activities/Other Business Names/Websites Section 4: Branch Office Arrangements Section 6: NYSE Branch Information, if applicable Section 9: Signature A **Closing/Withdrawal** Form BR filing includes: Section 1: General Information Section 7: Branch Closing, if applicable (applies to firms that hold an approved equivalent branch status when the filing is created (e.g., NYSE, FINRA). Section 8: Branch Withdrawal, if applicable (applies to firms that have a Pending or Deficient branch status) Section 9: Signature

Complete BR Filing Sections	**Filing Instructions:** The Filing Instructions displays the Form BR Instructions and Explanation of Terms and Specific Instructions hyperlinks. **General Information:** The broker-dealer's CRD number, a CRD branch number (specific to the branch office that is being reported on the Initial filing) and main office address will be pre-populated under this section. Firms must provide the Branch Office Address and telephone number of the branch. NYSE firms must also provide the NYSE Branch Code Number. Firms may provide an internal billing code. **Registration/Notice Filing/Type of Office:** The CRD system will pre-populate the checkbox(es) for the applicable SRO(s) and/or jurisdiction(s) with which the applicant may be required to register or report the branch office. If the applicant is not required to register or report the branch office with an SRO and/or jurisdiction, it may remove the registration request. If a firm unchecks the NYSE registration box, the firm must attest "that it is not required under NYSE rules to register this branch information location with the NYSE." The applicant must indicate whether it is a broker-dealer and/or investment adviser. Firms must also provide the names of all Supervisors and/or Persons-In-Charge. **Types of Activities/Other Business Names/Websites:** Firms must name the financial industry activities conducted at the branch office and names under which the branch office is conducting business. Firms must also provide Web site addresses used by the branch office, other than the applicant's primary Website address. **Branch Office Arrangements:** Firms must provide information relating to office sharing arrangements of the branch office, consistent with information previously required on Schedule E of the Form BD. **Associated Individuals:** This section is only available on Initial Form BR filings. In such cases, firms may provide the CRD numbers of all registered individuals (other than Supervisors/Persons-In-Charge reported in Section 2 of the Form BR (Registration/Notice Filing/Type of Office) who will be associated with the branch. After establishing the branch office on CRD, firms may amend the list of registered persons associated with a branch by updating the Office of Employment section on a registered person's Form U4 to reflect a new branch office and/or to provide an end date if the registered person should no longer be associated with a certain branch office. **NOTE:** A Form U5 should be used to terminate SRO and jurisdictions, appropriate and terminate the individual's affiliation with the firm. **NYSE Branch Information: (Only applicable to broker-dealer firms registered with the NYSE)** With respect to NYSE members, the Form BR incorporates the information previously elicited on both the NYSE's Branch Office Application Form and Office Space-Sharing forms. The CRD system will interact with the NYSE's branch office system when firms submit NYSE branch office registration filings and provide NYSE staff with the opportunity to review such filings. The NYSE's current protocol for requesting approval for new branch offices will not change; NYSE members will be required to use the Form BR to request such approvals, and the information provided by NYSE members will be transmitted to the NYSE, which, in turn, will communicate its determinations (e.g., approvals) back through the CRD system. Only NYSE member firms will be able to access (i.e., view/file/complete) questions in Section 6 (NYSE Branch Information).

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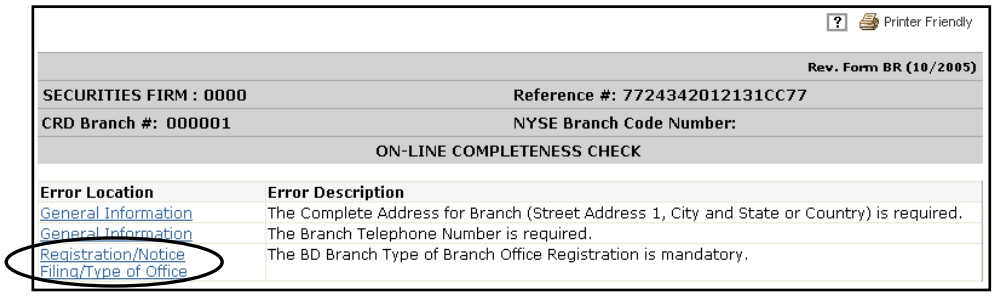
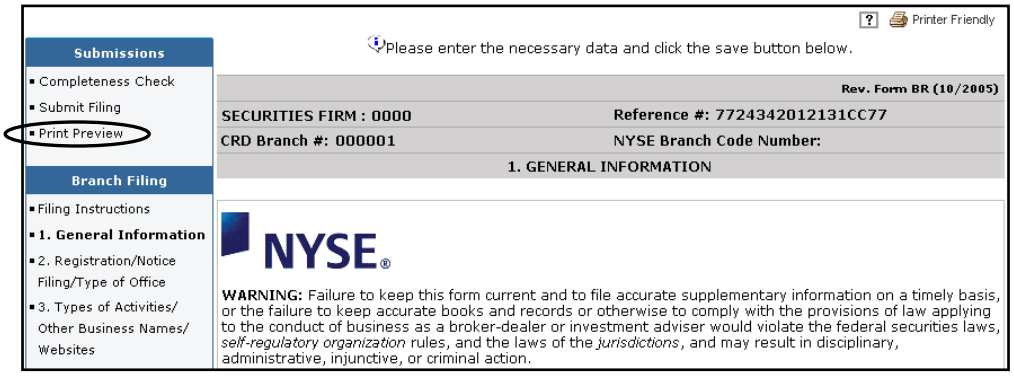
Complete BR Filing Sections (Continued)	**Branch Closing:** To close a branch office, firms must provide the date operations ceased (or will cease), the location of the branch's books and records, and contact information. Prior to closing a branch, the CRD system will require firms to reassign the individuals associated with that branch to another branch or terminate their registrations. **Branch Withdrawal (Pending Application):** To withdraw a pending request for branch office registration, firms must provide the date of withdrawal, the reason for the withdrawal, and contact information. **Signature:** The appropriate signatory of the firm must attest to the completeness and accuracy of the Form BR filing by executing the signature section.

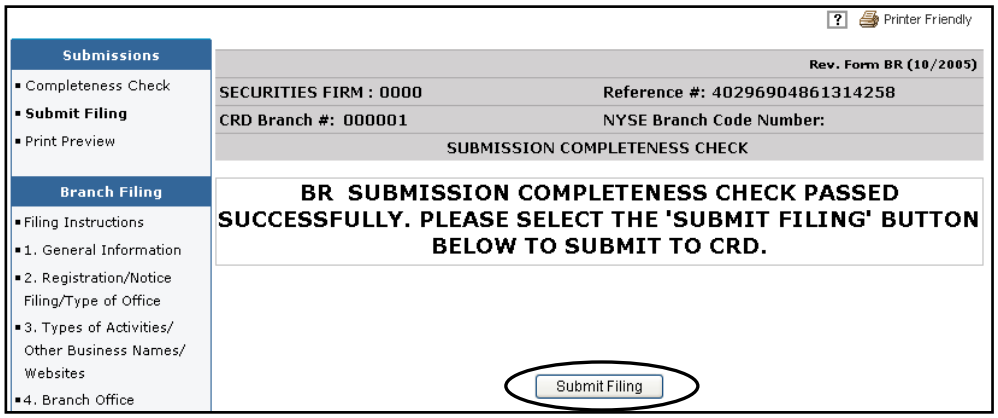
Completeness Check	3. **Completeness Check** hyperlink from the Submissions Menu. **NOTE:** You can perform a Completeness Check at any time during the Form Filing process by selecting Completeness Check. In addition, attempting to submit the form filing with incomplete fields will open the Completeness Check error screen. If the filing passes a Completeness Check, go step 5. **[Result:]** The following *Error Location* and *Error Description* screen opens.  4. Click the Error Location hyperlink(s) and complete the necessary fields until all errors have been completed.
Print	5. Click **Print Preview** from the Submissions Menu and choose an option (e.g., Section 1, General Information, ect.) from the Navigation Bar to view or print that page, or choose **All Pages** to view or print the form in its entirety. 6. 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 Filing Instructions for specific retention requirements.

Submit Filing

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

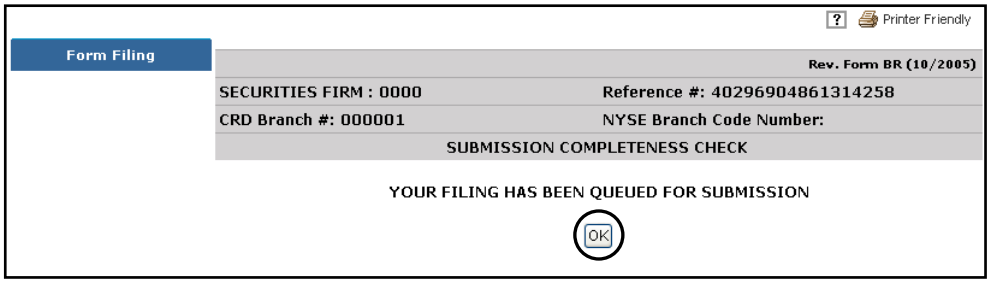
NOTE: When Submit Filing is selected prior to running a Completeness Check, CRD will automatically run a Completeness Check to verify that all required information has been provided. If information has not been completed in the required fields, the Completeness Check will display the error, see step 5 on page 7-31 of Steps for Creating an Initial Form BR Amendment Filing.

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



8. Click the **Submit Filing** button.

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



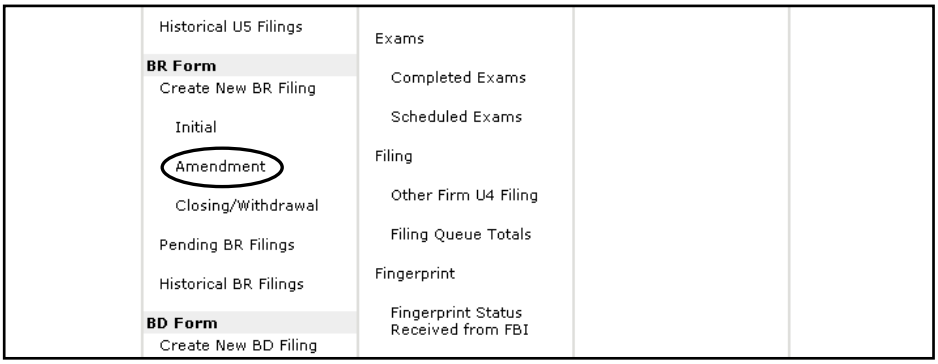
9. Click the **OK** button.

Steps for Creating a Form BR Amendment Filing:

Create a BR Amendment Filing

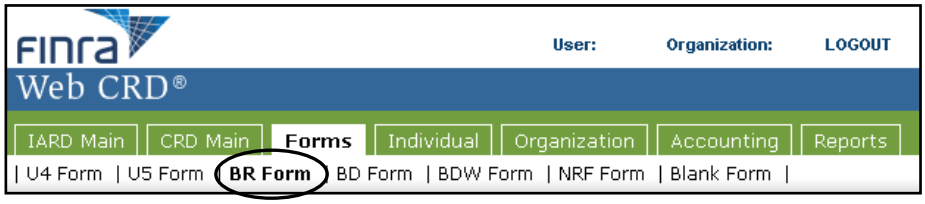
There are two ways to access a Form BR Amendment filing:

1. From the CRD Site Map, click the **Amendment** hyperlink.

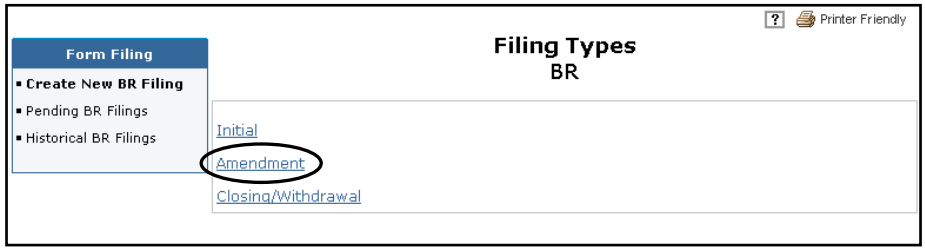


OR

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



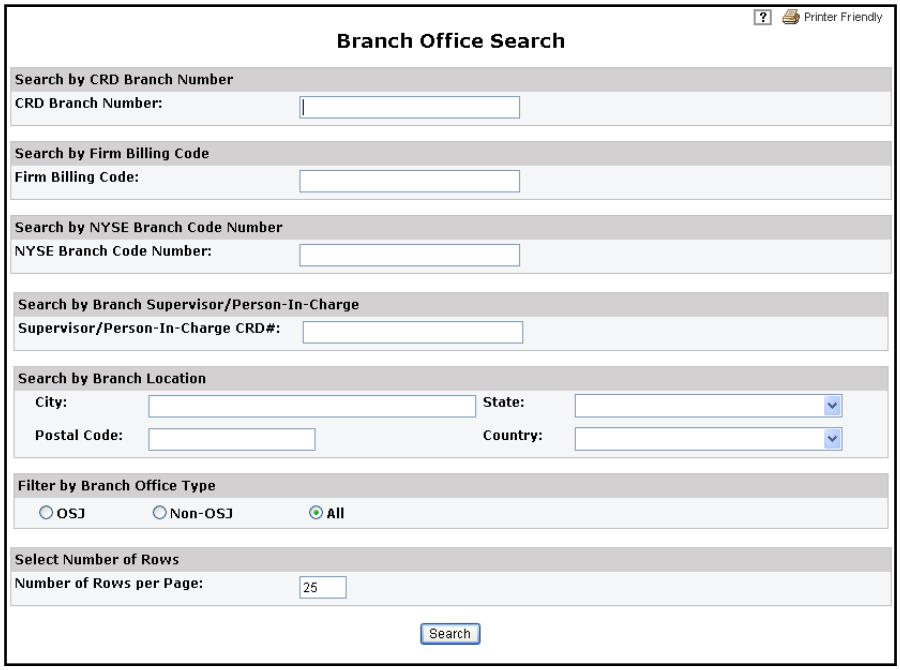
[Result:] The *Filing Types* (BR) screen opens.



2. Click the **Amendment** hyperlink.

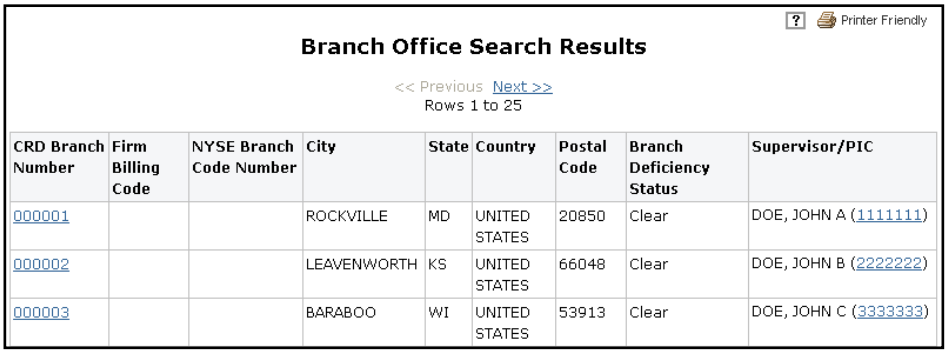
Create a BR Amendment Filing (Continued)

[Result:] *The Branch Office Search Criteria* screen opens.



3. Search for the branch you want to update by providing any one of the following criteria: CRD Branch Number, Firm Billing Code Number, NYSE Branch Code Number (if applicable), Supervisor/Person-In-Charge CRD#, City, State or Postal Code.

[Result:] The *Branch Office Search Results* screen will open.

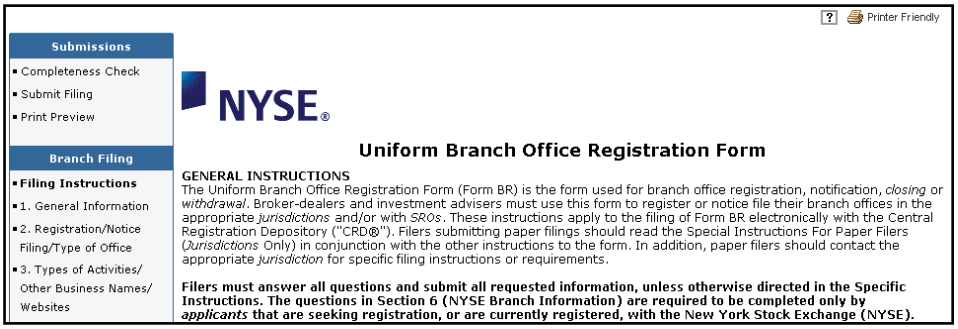


CRD Branch Number	Firm Billing Code	NYSE Branch Code Number	City	State	Country	Postal Code	Branch Deficiency Status	Supervisor/PIC
000001			ROCKVILLE	MD	UNITED STATES	20850	Clear	DOE, JOHN A (1111111)
000002			LEAVENWORTH	KS	UNITED STATES	66048	Clear	DOE, JOHN B (2222222)
000003			BARABOO	WI	UNITED STATES	53913	Clear	DOE, JOHN C (3333333)

Create a BR Amendment Filing (Continued)

4. Click on the CRD Branch Number that you want to amend.

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



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

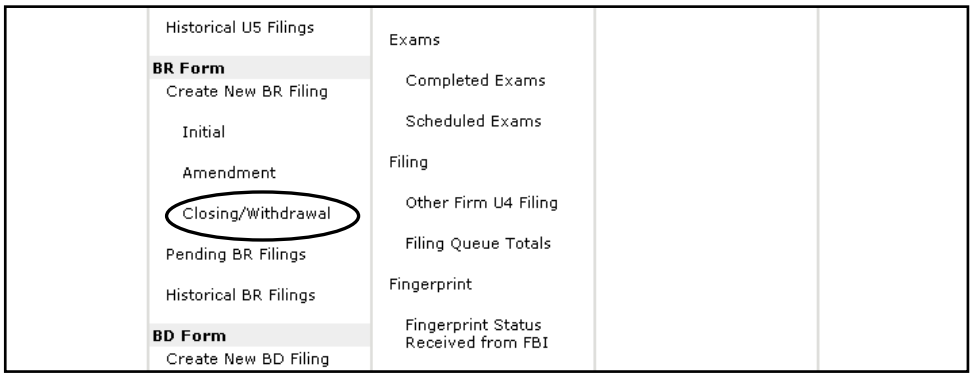
5. Click each section of the **BR Filing** from the Navigation Bar, type the appropriate information and click the **Save** button.

Steps for Creating a Form BR Closing/Withdrawal Filing:

Create a BR Closing/Withdrawal Filing

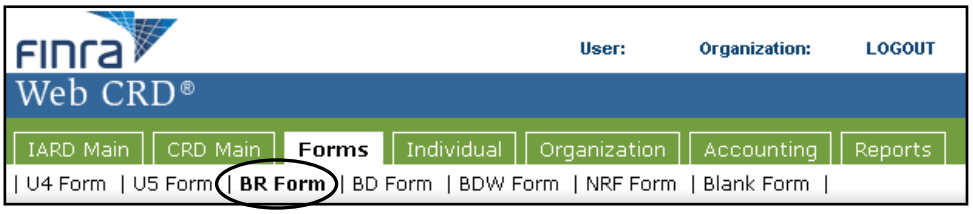
There are two ways to create a new BR Withdrawal or Closing Filing:

1. From the Site Map, click the **Closing/Withdrawal** hyperlink.

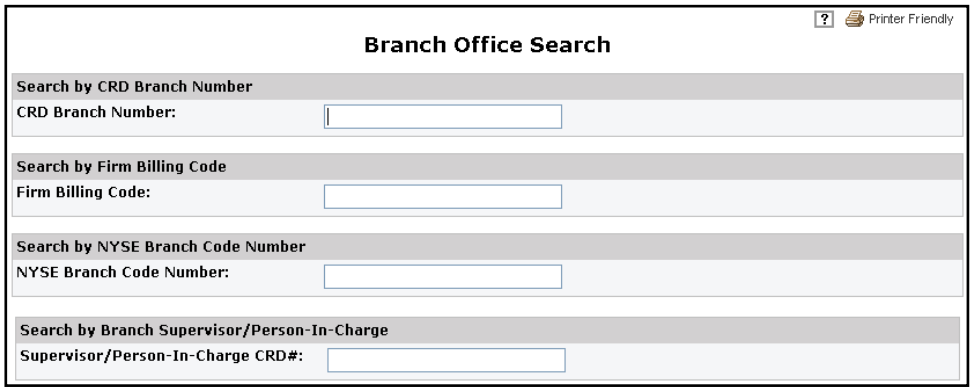


OR

1a. Click the Forms Tab from the Tool Bar, choose **BR Form** from the sub-menu and click the **Closing/Withdrawal** hyperlink



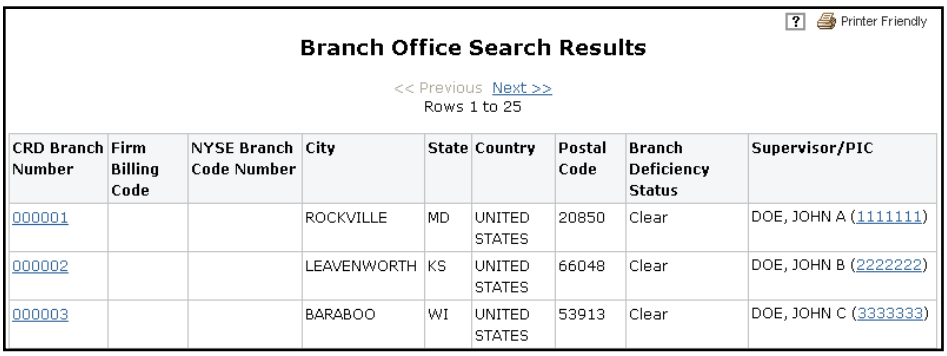
[Result:] The *Branch Office Search Criteria* screen is displayed.



2. Search for the branch that you want to close or withdraw by providing any one of the search criteria displayed on the *Branch Office Search Criteria* screen.

Create a BR Closing/Withdrawal Filing (Continued)

[Result:] The *Branch Office Search Results* screen is displayed with the search results



Printer Friendly

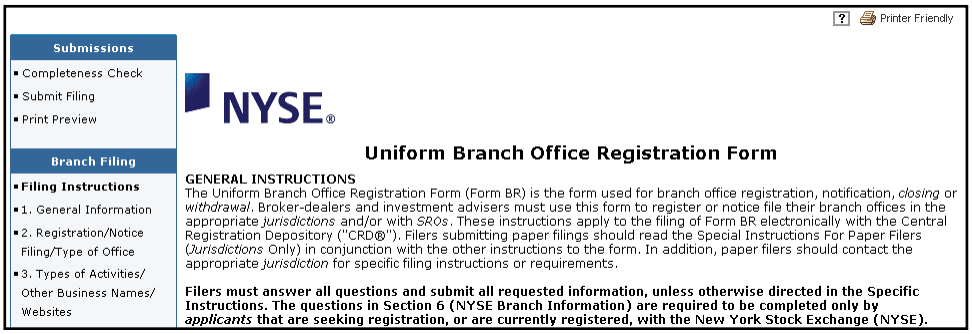
Branch Office Search Results

<< Previous Next >>
Rows 1 to 25

CRD Branch Number	Firm Billing Code	NYSE Branch Code Number	City	State	Country	Postal Code	Branch Deficiency Status	Supervisor/PIC
000001			ROCKVILLE	MD	UNITED STATES	20850	Clear	DOE, JOHN A (1111111)
000002			LEAVENWORTH	KS	UNITED STATES	66048	Clear	DOE, JOHN B (2222222)
000003			BARABOO	WI	UNITED STATES	53913	Clear	DOE, JOHN C (3333333)

3. Click on the CRD Branch Number hyperlink of the branch you want to Closing/Withdraw.

[Results:] The *General Instructions* section of opens.



Printer Friendly

Submissions
- Completeness Check
- Submit Filing
- Print Preview

Branch Filing
- **Filing Instructions**
- 1. General Information
- 2. Registration/Notice Filing/Type of Office
- 3. Types of Activities/ Other Business Names/ Websites

NYSE®

Uniform Branch Office Registration Form

GENERAL INSTRUCTIONS
The Uniform Branch Office Registration Form (Form BR) is the form used for branch office registration, notification, *closing* or *withdrawal*. Broker-dealers and investment advisers must use this form to register or notice file their branch offices in the appropriate *jurisdictions* and/or with *SROs*. These instructions apply to the filing of Form BR electronically with the Central Registration Depository ("CRD®"). Filers submitting paper filings should read the Special Instructions For Paper Filers (*Jurisdictions* Only) in conjunction with the other instructions to the form. In addition, paper filers should contact the appropriate *jurisdiction* for specific filing instructions or requirements.

Filers must answer all questions and submit all requested information, unless otherwise directed in the Specific Instructions. The questions in Section 6 (NYSE Branch Information) are required to be completed only by *applicants* that are seeking registration, or are currently registered, with the New York Stock Exchange (NYSE).

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

Filing Instructions: The Filing Instructions displays the Form BR Instructions and Explanation of Terms and Specific Instructions hyperlinks.

General Information: This section is not amendable on a Form BR Closing/Withdrawal filing.

Branch Closing: To close a branch office, firms must provide the date operations ceased (or will cease), the location of the branch's books and records, and contact information. Prior to closing a branch, CRD will require firms to reassign individuals associated with that branch to another branch or terminate their registrations. **NOTE:** If registered individuals are associated with more than one branch office, the CRD system will not require the filing firm to identify another branch office before the filing to close the branch can be submitted (i.e. registered individuals must be associated with at least one branch office). Refer to the Form U4 General Information section for more information pertaining to amending a Form U4 filing.

Branch Withdrawal (Pending Application): (Only applicable to firms that were requesting approval with a SRO and/or jurisdiction requiring branch office registration (e.g., NYSE). In this section, you must provide the Date of Withdrawal, Reason for Withdrawal and information.

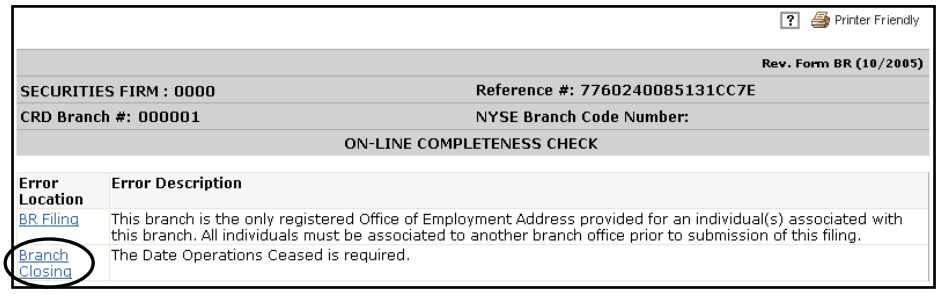
Signature: In this section, you must provide the name of the appropriate signatory and the date. The name of the person filing the form, his/her title and telephone must also be provided.

NOTE: Choose any section of the From BR at any time. There is no requirement to proceed in the order of the Navigation Bar.

Completeness Check

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

NOTE: You can perform a Completeness Check at anytime 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.

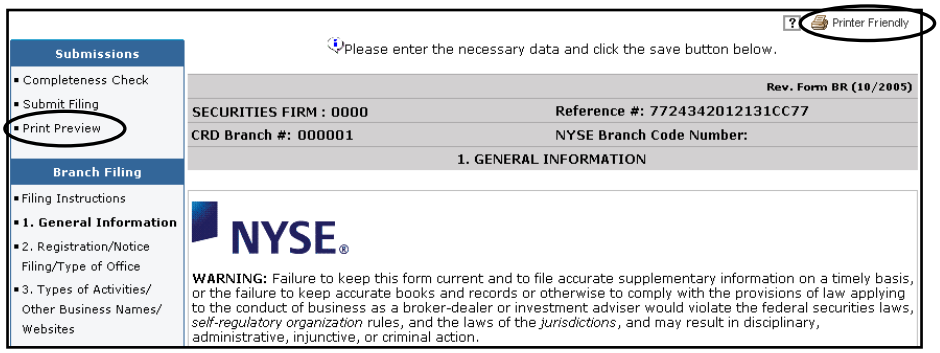


6. Click the **Error Location** hyperlink(s) and complete the necessary fields until all errors have been corrected.

Print

7. Click Print Preview from the Submissions Menu and choose an option (e.g. General Information) from the Navigation Bar to view or print the form in its entirety.

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



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

Steps for Retrieving Pending Form BR Filings:

View Pending Filings

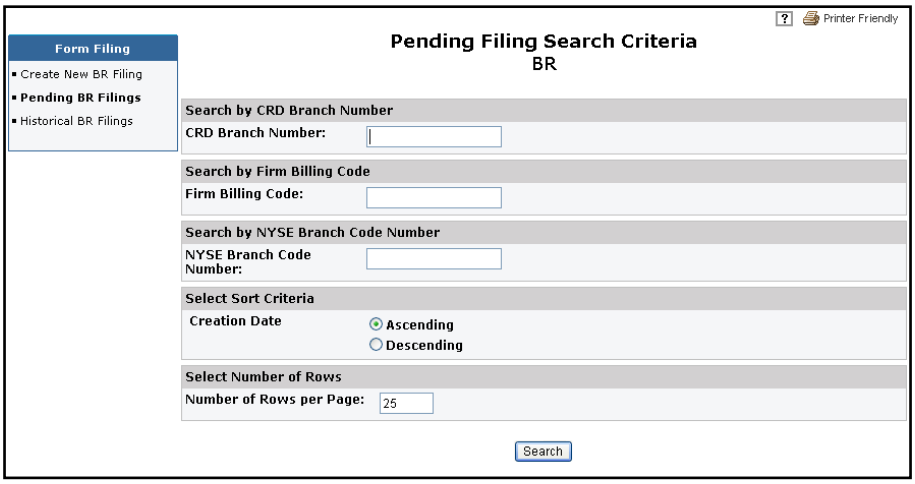
There are two ways to access pending filings:

1. From the Site Map, click the **Pending BR Filings**.

OR

1a. Click the **Forms** Tab from the Tool Bar, choose BR Form from the Submenu and click **Pending Filings** from the Navigation Bar.

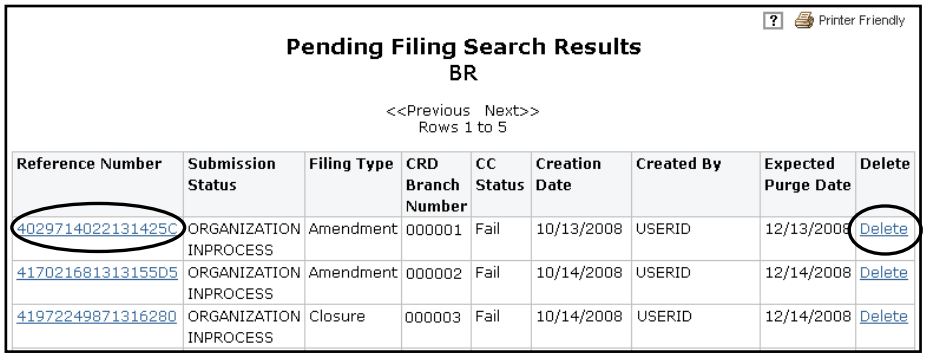
[Result:] The *Pending Filing Search Criteria Search* opens.



2. Enter the data for any one of the following search criteria to identify the pending BR filing: CRD Branch Number, Firm Billing Code, NYSE Branch Code Number (if applicable), or search by Creation Date.

3. Click the **Search** button.

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



Reference Number	Submission Status	Filing Type	CRD Branch Number	CC Status	Creation Date	Created By	Expected Purge Date	Delete
4029714022131425C	ORGANIZATION INPROCESS	Amendment	000001	Fail	10/13/2008	USERID	12/13/2008	Delete
417021681313155D5	ORGANIZATION INPROCESS	Amendment	000002	Fail	10/14/2008	USERID	12/14/2008	Delete
41972249871316280	ORGANIZATION INPROCESS	Closure	000003	Fail	10/14/2008	USERID	12/14/2008	Delete

NOTE: The Submission Status is Organization in Process, indicating that you have not yet 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.

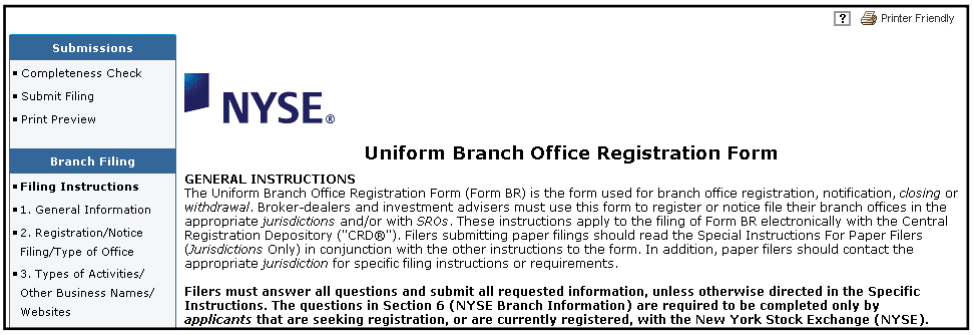
View Pending Filings
(Continued)

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

OR

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 BR Amendment Filing, see steps 1 through 5 on pages 7-33 through 7-35 of Steps for Creating a Form BR Amendment Filing.

NOTE: A Form BR filing can remain Pending for sixty (60) days from creation at which time CRD automatically deletes the filing.

Steps for Viewing Historical Form BR Filings:

View Historical Filings

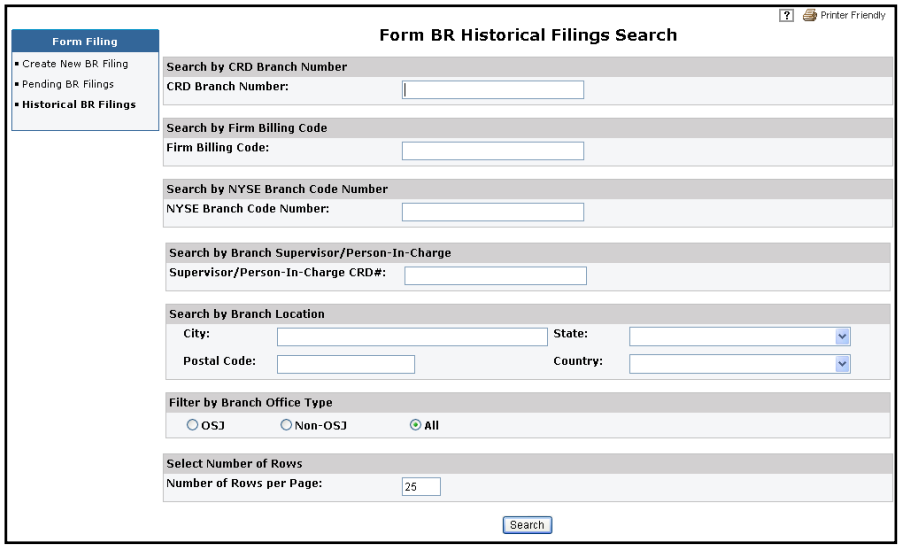
There are two ways to access historical filings:

1. From the Site Map, click the **Historical BR Filings** hyperlink.

OR

1a. Click the Forms Tab from the Tool Bar, choose BR Form from the Sub-menu and click Historical Filings from the Navigation Bar.

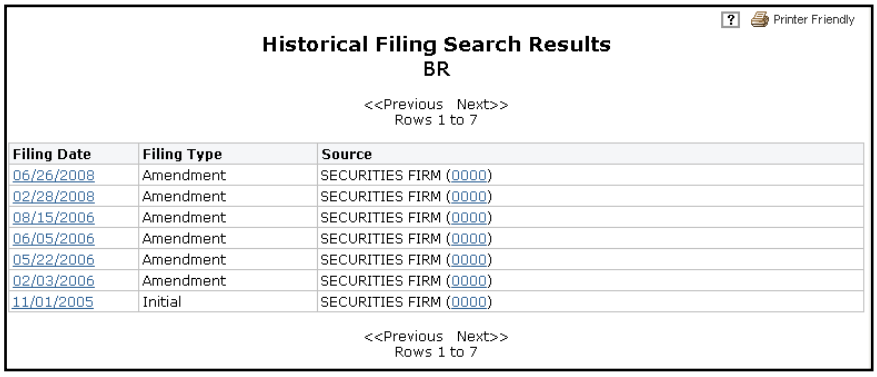
[Result:] The *Form BR Historical Filing Search* screen opens.



2. Enter the data for any one of the following search criteria to identify the historical BR filing: CRD Branch Number, Firm Billing Code, NYSE Branch Code Number (if applicable), Supervisor/Person-In-Charge, or state.

3. Click on the CRD Branch Number hyperlink to display the filings for that specific branch.

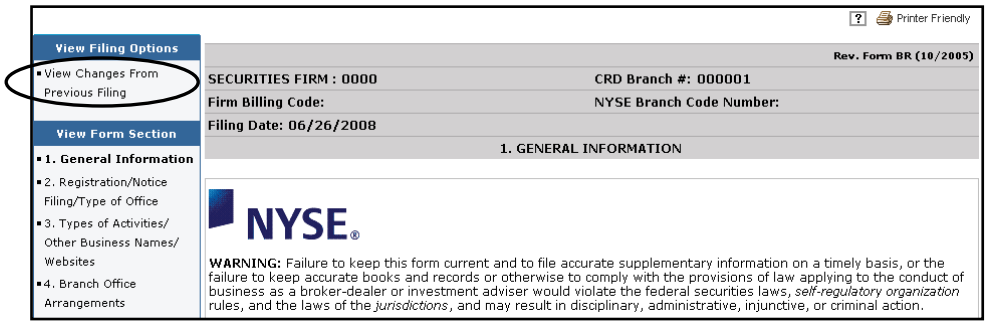
[Result:] The *Historical Filing Search Results* screen will open.



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

View Historical Filings (Continued)

[Result:] The General Instructions screen opens.



5. Click **View Changes From Previous Filing** to see the modifications made on that filing in red.

OR

5a. Click each section from the Navigation Bar to view the filing by section.

OR

5b. Click All Pages to view the filing in its entirety.

Tips for Submitting BD Amendment and BDW Filings:

- For the Applicant Information Section of BD Amendment filing, the "Business" telephone number entered in item 1G is released through FINRA's BrokerCheck program.
- 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.
- When changing a firm's name, be sure to reserve the name by written request to the Regulatory Review Unit of the Registration and Disclosure Department (Fax number 301-216-3710). Then submit the BD Amendment changing Item 1D. Please check both boxes if changing the *applicant* name and the *business* name.
- If the individual is foreign and does not have a CRD number or Social Security Number, contact the FINRA Gateway Call Center at 301-869-6699 to request a CRD number. Anyone listed on Schedule A or B that is not a registered representative or principal with the firm must file a Page 2 Initial for Schedule A/B to provide personal, employment and residential information. A CRD number is required in order to submit the Page 2 filing.
- To terminate a Direct or Indirect Owner the firm should file a BD Amendment. Once the BD Amendment filing is submitted, the system will automatically update the Page 2 to reflect the termination.
- Be sure that your Account Administrator has entitled you with access to 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.
- 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.
- 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.
- Be sure that you click the Edit hyperlink when updating a DRP (do not create a new DRP, as this will create duplicate occurrences).
- If deleting existing listings on Schedule D of the Form BD (Items 7, 8A-C, 9A-B, and/or 10A-B), you must enter a Termination Date. The Delete button only deletes information that has not yet been submitted on a filing.
- When filing a DRP involving a Control Affiliate, the name of that Control Affiliate must be listed in Part IA of the DRP.
- If an individual acts in several capacities with the firm, do not list the individual multiple times on Schedule A or Schedule B. List the individual once on the appropriate schedule(s) and indicate all statuses held by that individual (e.g., FINOP/President/COO). In the Date Status Acquired field, enter the most recent effective date, i.e., the date the individual acquired his newest status.

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Tips for Submitting BR Filings:

Section 1. General Information:

- The General Information section is available for the following Form BR filing types: Initial, Amendment, and Closing/Withdrawal (Read-Only).
- When entering the Branch Office Location, a PO Box is not permitted in the Street 1 field. This address is intended to capture an actual location, not a mailing address. If providing a PO Box, enter the address in Street 1 and PO Box in Street 2.
- The NYSE Branch Code Number is a mandatory designation selected by the applicant, unique to each of its locations, to identify an applicant's branch office. The NYSE Branch Code Number can be up to fifteen alpha/numeric characters, and may be the same as the as the firm's Billing Code.

Section 2. Registration/Notice Filing/Type of Office:

- The Registration/Notice Filing/Type of Office section is available for Form BR filing types: Initial and Amendment.
- Supervisors must maintain the following principal registrations: FINRA Supervisor(s) must hold an approved-FINRA principal registration with the filing firm. NYSE Supervisor(s) must hold an approved-NYSE principal registration with the filing firm.
- The allowed values for FINRA OSJ/NYSE Regular Branch must provide a minimum of one Supervisor. A FINRA Non-OSJ/NYSE Small Branch must provide a single Person-In-Charge.
- Supervising FINRA OSJ Office and OSJ Supervisor must be supervised by a FINRA OSJ Branch.
- A Supervisor at that FINRA OSJ office must be designated as the OSJ Supervisor for the Non-OSJ office.
- An NYSE Small Branch office must be supervised by an NYSE Regular Branch. A Supervisor at that NYSE Regular Branch must be designated as the Supervisor for the Small Branch.

Section 3. Types of Activities/Other Business Names/Websites:

- The Types of Activities/Other Business Names/Websites section is available for the Initial and Amendment Form BR filing types.
- The Form BR filing types Branch Office Arrangements section is available for the Initial and Amendment Form BR filing types.
- For regular branch offices, it is the person on-site who has the proper supervisory qualifications. For a small branch office, it is the person off-site who has the proper supervisory qualifications unless the on-site person in charge of the office has the proper qualifications to supervise the activity.
- The Supervisor provided here must also be listed in Supervisor/PIC list in Section 2. Registration/Notice Filing/Type of Office for this branch.
- For regular branch offices conducting options business, the Registered Options Principal and the Branch Manager must be the same.

Section 4. Branch office Arrangements:

- This section is available for the following Form BR filing types: Initial and Amendment.

Section 5. Associated Individuals:

- This section is available for the following Form BR filing type: Initial.
- Once the Form BR is submitted, firms will use Forms U4 and U5 to update the Associated Individuals list.
- Individuals provided on a branch's Associated Individuals list may not also be listed on the branch's Supervisor/PIC list in Section 2.

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Section 6. NYSE Branch Information:

- This section is available for the following Form BR filing types: Initial and Amendment.
- This section is only available for firms that have an active NYSE registration.
- Question 5 – This question asks for the on-site Supervisor/Person-In-Charge.

  NOTE:

  - For regular branch offices, it is the person on-site who has the proper supervisory qualifications. For a small branch office, it is the person off-site who has the proper supervisory qualifications unless the on-site person in charge of the office has the proper qualifications to supervise the activity.
  - The Supervisor provided here must also be listed in Supervisor/PIC list in Section 2. Registration/Notice Filing/Type of Office for this branch.
  - For regular branch offices conducting options business, the registered Options Principal and the Branch Manager must be the same.
- Question 9 – You must provide the name of the person to whom the Branch Office certificate is to be sent. In addition, you must provide the address if different from the address on Section 1. General Information.

  NOTE: Name MUST be provided; address is optional.

Section 7. Branch Closing:

- This section is available for the following Form BR filing type: Closing/Withdrawal.
- This section appears when the branch has an Approved registration or Open Notice Filing.
- Location of Books and Records: The address provided here cannot be the same as the address of the branch being closed.

NOTE: The Branch Closing and Branch Withdrawal sections will appear if the applicant has both a pending and approved status with different SROs. Also, note, future branch closing dates for the question: "Date operations ceased, or will cease, at the branch office." Will only be excepted during Renewals.

Section 8. Branch Withdrawal (Pending Application):

- This section is available for the following Form BR filing type: Closing/Withdrawal.
- This section appears when the branch has a Pending or Deficient registration request or Deficient Notice Filing request.
- **Contact Name and Telephone Number:**
- This is the contact information for the person that regulators may contact for questions regarding the withdrawal.

Section 9. Signature:

- This section is available for the following Form BR filing types: Initial, Amendment, and Closing/Withdrawal.

Additional Form BR Filing Information:

CONVERTED BRANCH OFFICE: Firms that have converted branches will select Amendment when submitting their first Form BR filing for a converted branch.

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