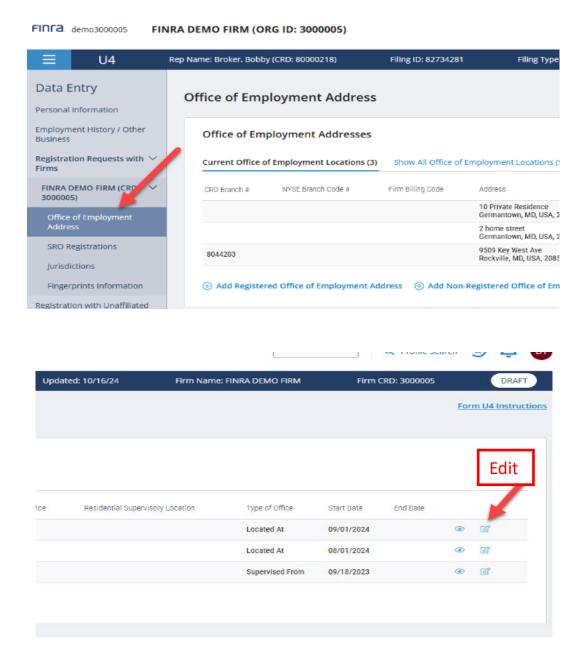
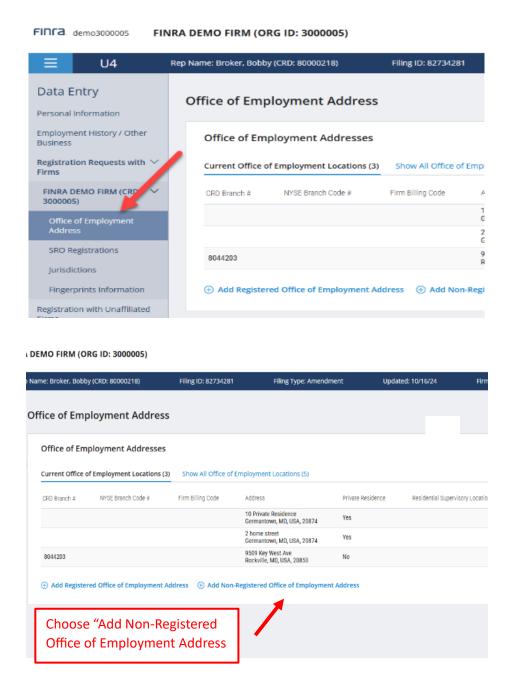
Quick Reference Guide for Adding RSL Responses on Form U4

- 1. Within the "Registration Requests with Firms" section, use the drop-down chevron to open the "Office of Employment Address" section. From there, you will either: (1) edit an existing Non-Registered, Private Residence location (Step 2 below); or (2) enter a new Private Residence location (Step 3 below).
- 2. The following screen shots demonstrate how to <u>edit</u> an existing Non-Registered, Private Residence location. Select the "Office of Employment Address" section on the left navigation panel, then select the "Edit" icon on the far-right side of the row you need to amend (see screen shots below). Once the data entry screen appears, continue to **Step 4** below.

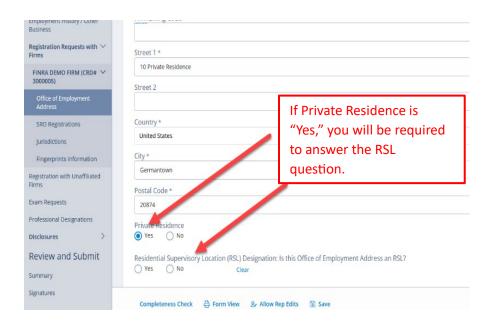


3. The following screen shots demonstrate how to create a <u>new</u> location that is a Non-Registered, Private Residence location. Click the "Add Non-Registered Office of Employment Address" link below the table (see

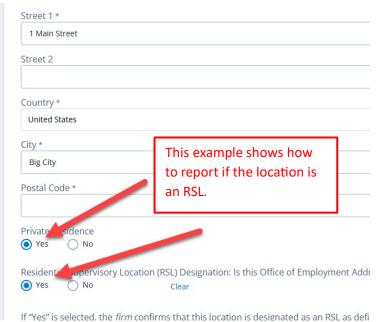
screen shots below). Once the data entry screen appears, add the appropriate address information for the location. Continue to **Step 4** below.

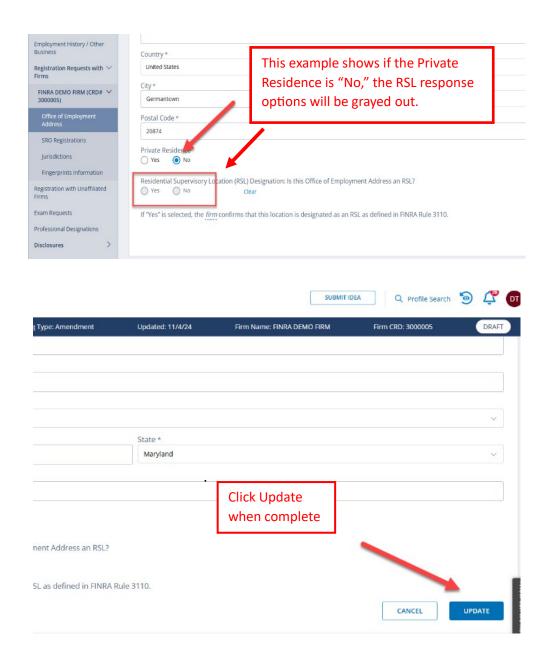


4. Regardless of whether you are <u>editing</u> an existing location or creating a <u>new</u> location, you will need to select the appropriate responses for the Private Residence and Residential Supervisory Location (RSL) questions. If you select "Yes" to the Private Residence question, you will be prompted to answer the RSL question. If you select "No" to the Private Residence question, the RSL question will be grayed out (unable to be selected). Said another way, all Non-Registered, Private Residence locations require either a "Yes" or "No" response to the RSL question. Click "Update" once the data entry is complete (see screenshots below). Continue to **Step 5** below.









5. If the private residence location is an RSL but is located in a jurisdiction that requires branch office registration or "notice filing" and the state does not accept the RSL designation, the Office of Employment Address (OEA) must be reported on Form U4 twice—as both a Non-Registered Location and a Registered Location.

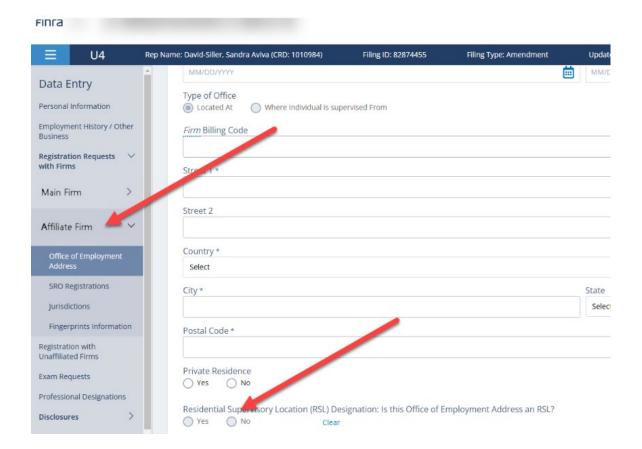
First, refer to the <u>SRO/Jurisdiction Fee and Setting Schedule – Web CRD</u> and confirm the current branch office requirements with the appropriate jurisdiction (note the "Accepts RSL" column and associated footnotes). If the location does not need to be "registered or "notice filed" in a jurisdiction, see **Step 6** below. If the location does need to be registered or "notice filed" in a jurisdiction, do the following:

When the same OEA of an associated person must be reported as both a Registered and a Non-Registered Location, the firm should take the following steps when completing or updating Form U4 to accurately report the RSL. Two OEA entries must be created for the same OEA:

- OEA Entry #1 as a "Registered" Location:
 - Add a Registered office location (a Form BR must have been already filed for this location with the "Private Residence" check box selected)

Note: The RSL Question will not appear for this OEA entry because the member firm has identified the location as a Registered office through Form BR.

- OEA Entry #2 as a "Non-Registered" Location:
 - Create a non-registered location;
 - Respond to the "Private Residence" check box to affirmatively denote that the location is a private residence;
 - When the firm selects "Yes" to the "Private Residence" check box, the RSL Question will be active to allow the member firm to provide a response; and
 - Once the RSL question is active, the member firm must respond "Yes" to the question.
- 6. If the individual is also registered with an Affiliate Firm, the above steps need to be completed for the "Affiliate Firm" Office of Employment Address section, as applicable for any private residence, non-registered location. See screen shot below. Refer to Steps 2-5 above for demonstrative screenshots.



For additional resources, visit:

- Residential Supervisory Location (RSLs) Key Topics
- Frequently Asked Questions about Residential Supervisory Locations
- New Question on Form U4 to Identify RSLs and Updated Deadline