

The Web CRD[®] and IARD[™] systems provide regulators with the capability to electronically create and submit Form U6 filings to provide information and report disclosure events on individuals and organizations.

To Find Regulator Form Filing:

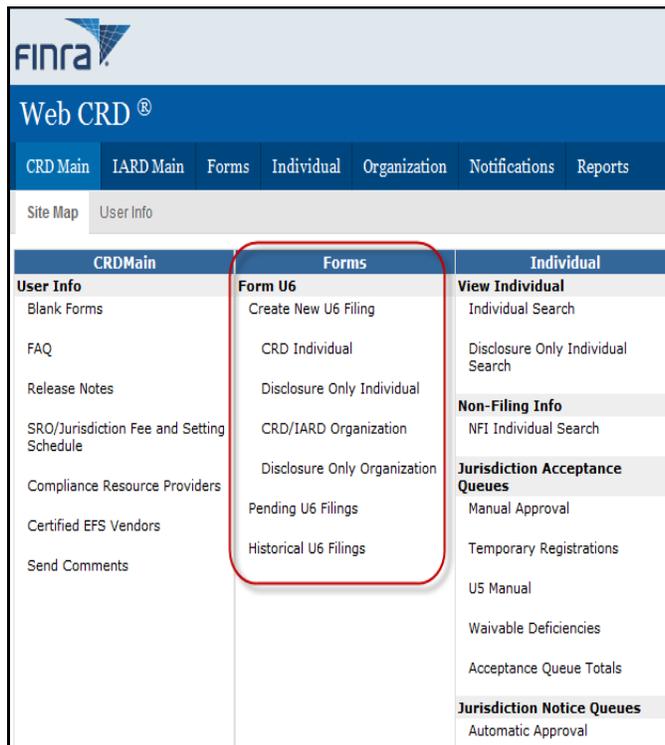
To access the **Regulator Form Filing** functionality logon to Web CRD at: <https://crd.finra.org>. Enter your user name and password then proceed using the steps below.

There are two ways to access the functionality in Web CRD.

1. From the Forms section of the Web CRD or IARD Site Map, click directly on the link for a specific filing type.

OR

1. Click the **Forms** tab on the toolbar.



The screenshot shows the Web CRD site map. The 'Forms' section is highlighted with a red box. The 'Forms' section includes the following links:

- Form U6
 - Create New U6 Filing
 - CRD Individual
 - Disclosure Only Individual
 - CRD/IARD Organization
 - Disclosure Only Organization
 - Pending U6 Filings
 - Historical U6 Filings



The screenshot shows the Web CRD toolbar. The 'Forms' tab is selected, and the sub-menu is visible, showing 'Form U6' and 'Blank Form'.



2. Click **U6 Form** from the Sub-menu.
3. Click the appropriate U6 filing type.

NOTE: The **Blank Form** link directs users to <http://www.finra.org/crd/forms> where they can view blank PDF versions of the Uniform Registration forms.

**Questions on Web CRD? Call Regulatory User Support at 240-386-4242
8 A.M and 8 P.M, ET, Monday-Friday.**

Form U6 Filing Types

- ◇ **CRD Individual** - Choose this filing type to report information on an individual who is currently or has been previously registered in Web CRD.
- ◇ **Disclosure Only Individual** - Choose this filing type to report identifying information and/or disclosure information on an individual who has never been registered in Web CRD and/or IARD, including, but not limited to, regulatory and/or other disciplinary actions taken against an individual by a regulator.
- ◇ **CRD/IARD Organization** - Choose this filing type to report information on a firm that is currently or has been previously registered in Web CRD and IARD.
- ◇ **Disclosure Only Organization** - Choose this filing type to report information on a firm that has never been registered in Web CRD or IARD.

Form Filing Functions

- **Creating a New U6 Filing**

Choose **Create New U6 Filing** from the Web CRD Site Map or from the Form Filing navigation panel to begin work on a new filing. Choosing **Create New U6 Filing** provides you with options for choosing the correct filing type: CRD Individual, Disclosure Only Individual, CRD or IARD Organization or Disclosure Only Organization.

The screenshot displays the FINRA Web CRD interface. At the top right, there are links for 'Change Password/Profile' and 'Log Out', along with 'User:' and 'Organization:' fields. The main navigation bar includes 'CRD Main', 'IARD Main', 'Forms', 'Individual', 'Organization', 'Notifications', and 'Reports'. Below this, a sub-navigation bar shows 'Form U6' and 'Blank Form'. On the left, a 'Form Filing' panel lists 'Create New U6 Filing', 'Pending U6 Filings', and 'Historical U6 Filings'. The main content area is titled 'Filing Types U6' and contains four hyperlinks: 'CRD Individual', 'Disclosure Only Individual', 'CRD/IARD Organization', and 'Disclosure Only Organization'. A red rounded rectangle highlights these four options.

Pending U6 Filings

1. Choose **Pending U6 Filings** to retrieve or view a filing that has already been started, but not yet completed or submitted to Web CRD or IARD.
2. Conduct a search by entering identifying information and clicking the **Search** button.

Form Filing

? Printer Friendly

Pending Filing Search Criteria

U6

- Create New U6 Filing
- Pending U6 Filings
- Historical U6 Filings

Search by Social Security Number

SSN (xxx-xx-xxxx):

Filter by Entity Type

Type of Entity:

CRD Organization

CRD Individual

Non-Registered Organization

Non-Registered Individual

Select Sort Criteria

Creation Date

Ascending

Descending

Select Number of Rows

Number of Rows per Page:

3. Click the **Reference Number** link of the filing you wish to view or complete.

Form Filing

? Printer Friendly

Pending Filing Search Results

U6

<<Previous Next>>
Rows 1 to 1

Reference Number	Submission Status	Filing Type	Name	CRD/ID	CC Status	Creation Date	Created By	Expected Purge Date	Delete
196584651612FFB99	ORGANIZATION INPROCESS	CRD/IARD Organization	SECURITIES FIRM	0000	Fail	10/01/2008	USERID	12/02/2008	Delete

4. Enter the necessary data and click the **Save** button.

NOTE: Form U6 filings can remain pending for 60 days. After this period, any pending U6 filings that have not been submitted will be automatically deleted from the system.

Historical U6 Filings

1. Choose **Historical U6 Filing** to view or print previously submitted filings.
2. Choose the correct filing type.

The screenshot shows the FINRA Web CRD interface. At the top right, there are links for 'Change Password/Profile' and 'Log Out', along with user information: 'User: arttx' and 'Organization: 50053'. The main navigation bar includes 'CRD Main', 'IARD Main', 'Forms', 'Individual', 'Organization', 'Notifications', and 'Reports'. Below this, there are tabs for 'Form U6' and 'Blank Form'. A 'Form Filing' sidebar menu is open, with 'Historical U6 Filings' highlighted. The main content area is titled 'Filing Types U6' and lists four options: 'CRD Individual', 'Disclosure Only Individual', 'CRD/IARD Organization', and 'Disclosure Only Organization'.

3. Perform a search by entering necessary data on the *Historical Filing Search Criteria* screen.

4. Click **Search**.

The screenshot shows the 'Historical Filing Search Criteria' form for 'U6 - CRD Individual'. It includes several search sections: 'Search by CRD Number' with a text input field; 'Search by Social Security Number' with a text input field labeled 'SSN (xxx-xx-xxxx)'; 'Search by Name' with fields for 'Last Name', 'First Name', and 'Middle Name', plus a checkbox for 'Perform "sounds-like" search'; 'Filter by Other Information' with a 'Birthdate (mm/dd/yyyy)' field; 'Filter by Date Range' with 'Begin Date (mm/dd/yyyy)' and 'End Date (mm/dd/yyyy)' fields; and 'Select Number of Rows' with a 'Number of Rows per Page' dropdown set to '25'. A 'Search' button is located at the bottom right.

The screenshot shows the 'Historical Filing Search Results' for 'U6 - CRD Individual'. It features a table with the following data:

Name	CRD	SSN	Birth Date
DOE, JOHN A	1111111	xxx-xx-xxxx	10/19/1982

Navigation links '<<Previous' and 'Next>>' are visible above the table, along with the text 'Rows 1 to 25'. A 'Form Filing' sidebar menu is visible on the left, with 'Historical U6 Filings' selected.

5. Click the Individual's name to display the list U6 filings submitted by your organization for this individual.
6. Click the **Filing Date** hyperlink for the historical U6 filing you wish to view.