

Quick Reference Guide: RSL Indicators and Dates in FINRA Gateway Profiles and Reports

Supplemental guide to assist firm users with reviewing information regarding RSL statuses in FINRA Gateway Profiles and Reports.

This guide is designed to help firm users understand RSL statuses and corresponding dates reflected in FINRA Gateway Profiles and Reports based on different use scenarios. Specifically, this guide will help firm users:

- Understand the RSL information displayed in the Summary and Branch Locations sections of Profiles when looking at the record of an Individual.
- Understand the RSL information displayed in Reports when looking at information across the Organization.

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Profiles: Indicators and Dates

FINRA Gateway now displays the Residential Supervisory Location (RSL) of an individual in both the Summary section (RSL Status) and the Office Locations table (RSL History) for each firm the individual has been associated with, within the Registrations section on the Individual Profile.

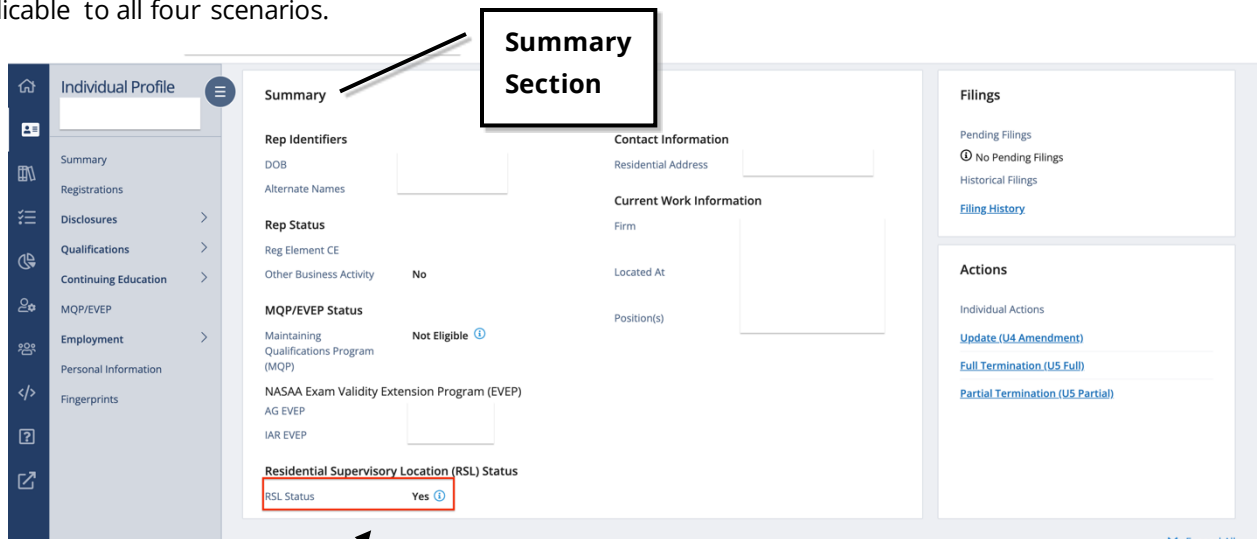
The current RSL Status of the individual for the logged in firm will be displayed in the Individual Profile Summary Section. When the individual is associated with multiple private residence, non-registered locations with the logged in firm, the RSL Status will reflect "Yes" if at least one of those locations is an RSL.

In the Office Locations table within the Registrations section of the Individual Profile, the "RSL Status" column displays the current RSL Status for each location. If historical information on the RSL status is available, the hyperlink will further expand to display full RSL historical information.

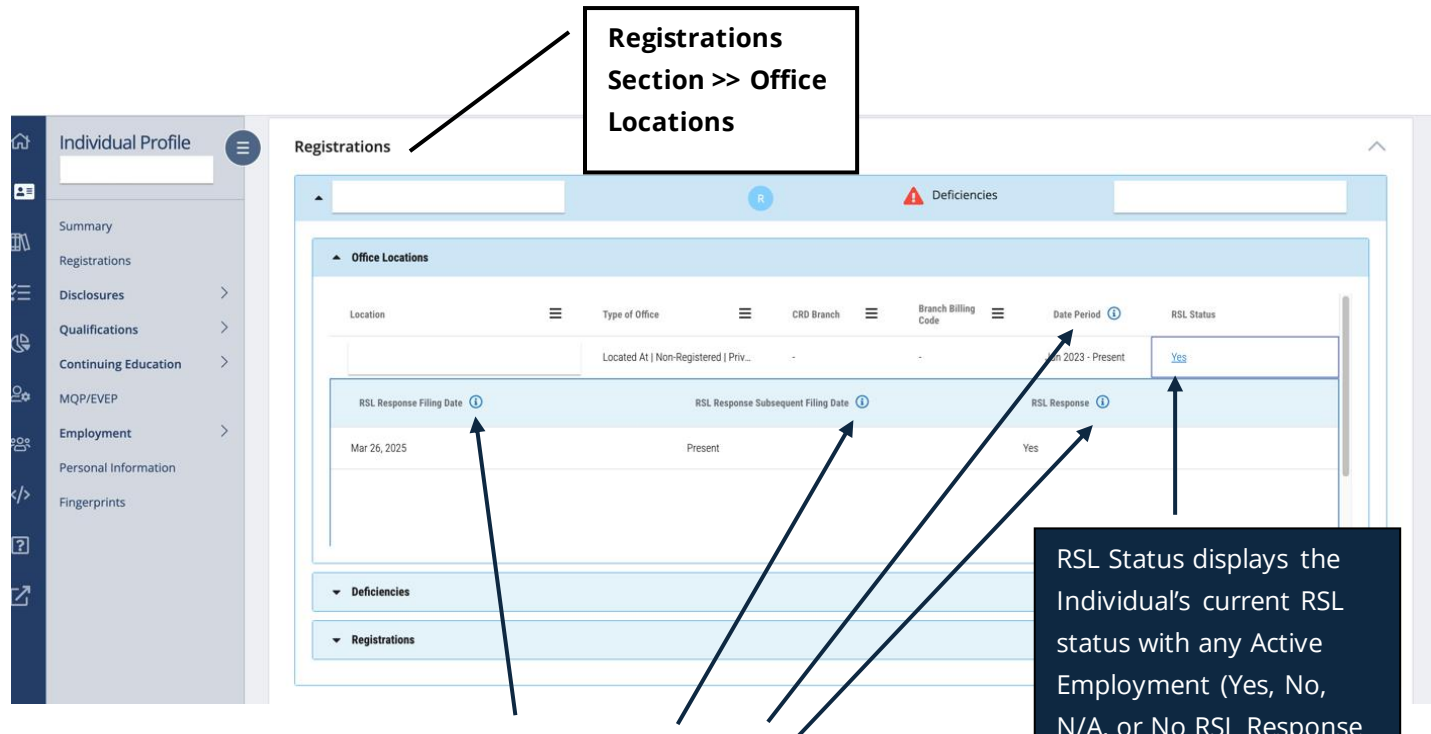
The following four scenarios are provided to illustrate how different RSL Statuses and historical information are displayed.

1. Individual's OEA (Office of Employment Address) is Currently Designated as an RSL ("Yes").*

*This scenario also provides callouts of all Information Symbol text and hyperlink information, which are applicable to all four scenarios.



RSL Status Information Symbol Text:
 RSL Status displays the Individual's current RSL status with any Active Employment (Yes, No, N/A, No RSL Response Received)



Information Symbol Text:

Date period: Indicates the start date and end date when the individual was employed at this location, which may be different than the start and end dates of employment with the firm. *This date will be the date the firm enters in the associated fields on a uniform form.

RSL Response Filing Date: Reflects the date a filing (1) was submitted that responded to the RSL question; or (2) changed a prior response to the RSL question. *This date will always correspond with a form filing submission.

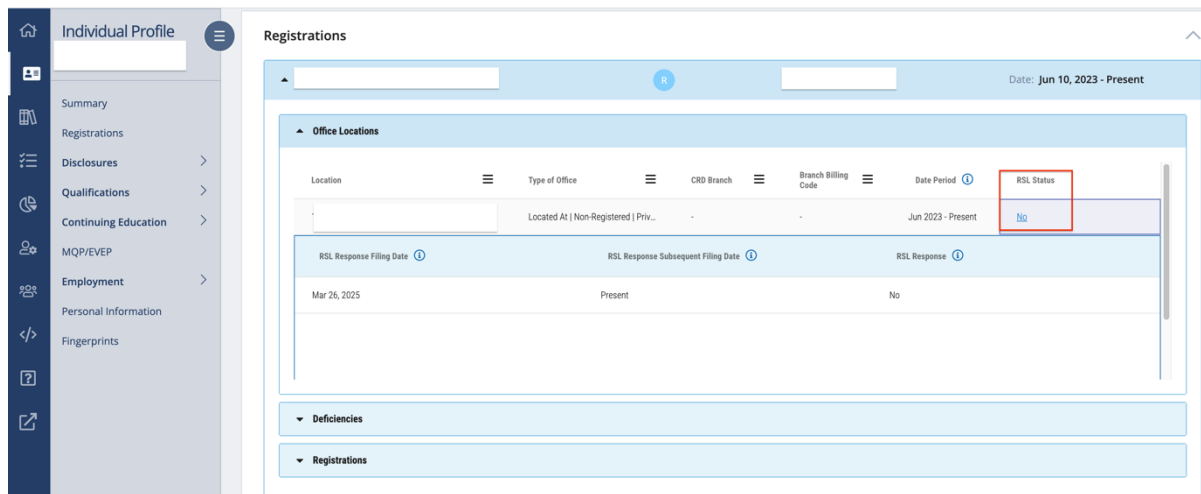
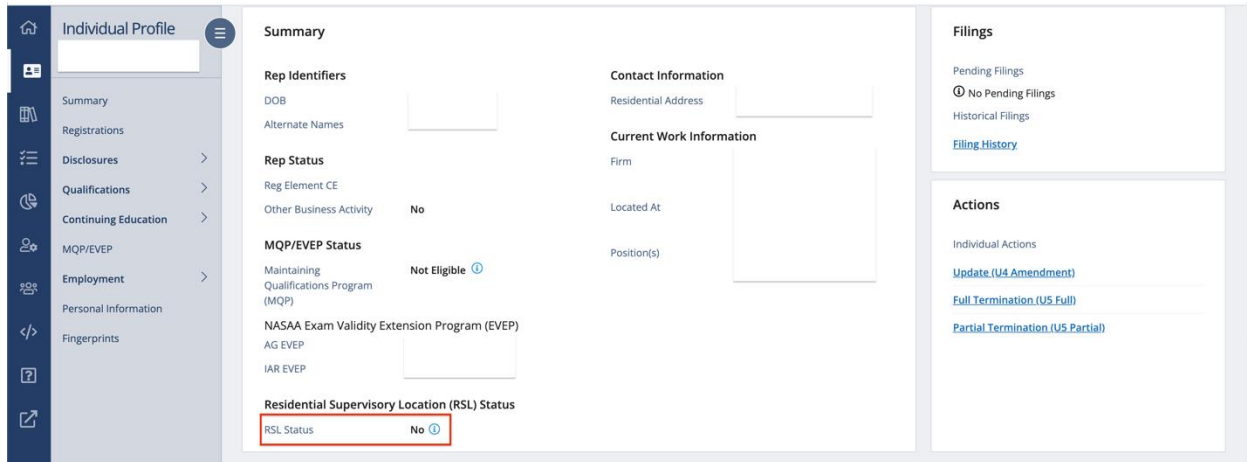
RSL Response Subsequent Filing Date: Unless "Present," reflects the date a filing (1) was submitted to amend the previous RSL response; or (2) closed or changed the location. *This date will always correspond with a form filing submission.

RSL Response: Reflects the location's status as either Yes, No, or N/A as of the corresponding filing for that time period.

RSL Status displays the Individual's current RSL status with any Active Employment (Yes, No, N/A, or No RSL Response Received). If there is historical RSL information, this Status will be a **hyperlink** that opens a sub-table of information for that office location.

2. Individual's OEA is Currently Designated as Not an RSL ("No").

This individual's OEA is a non-registered, private residence location, but the firm has not designated it as an RSL.



3. RSL is Currently Not Applicable to the Individual's OEA ("N/A").

This scenario could occur if the individual does not hold any current FINRA registrations, as the RSL question would no longer be applicable. This scenario could also occur if the OEA is a registered location. In the second screenshot below, the history displayed shows an example where a private

residence, non-registered location previously was not an RSL (“No”), but subsequently the location closed and the RSL status changed to “N/A.”

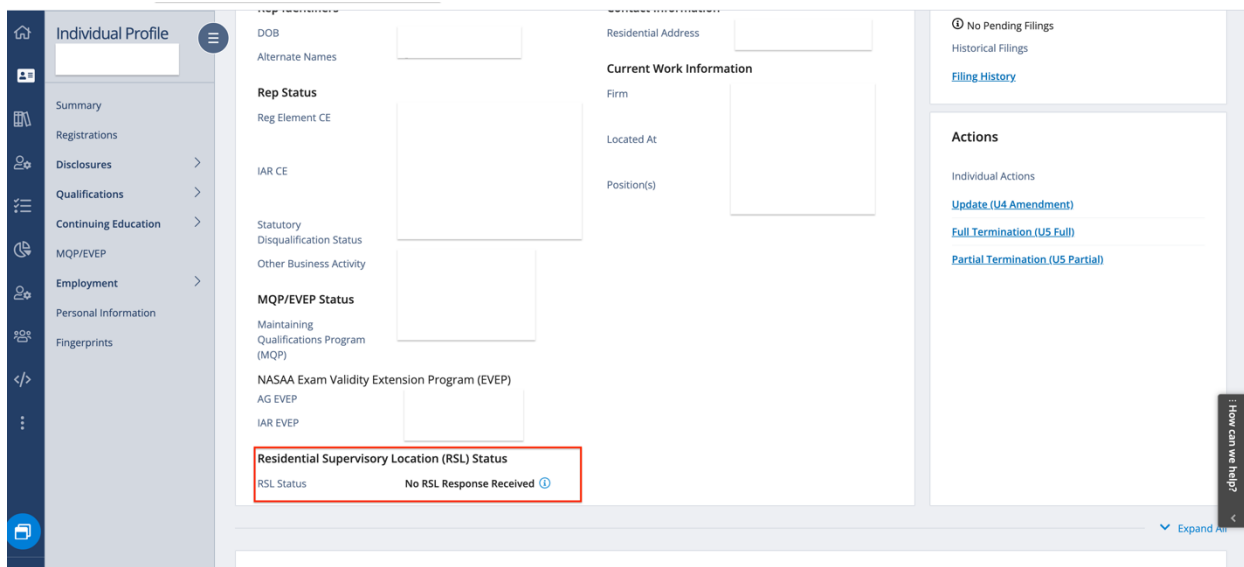
The screenshot shows the 'Individual Profile' page. The 'Residential Supervisory Location (RSL) Status' section is highlighted with a red box, showing 'RSL Status' as 'N/A' with an information icon.

Deficiencies Date: Jun 10, 2023 - Present

Office Locations					
	Supervised From	BD Main	-	Dec 2024 - Present	N/A
	Located At Non-Registered Priv...	-	-	Jun 2023 - Mar 2025	N/A
RSL Response Filing Date ⓘ	RSL Response Subsequent Filing Date ⓘ	RSL Response ⓘ			
Apr 2, 2025	-	N/A			
Apr 2, 2025	Apr 2, 2025	No			

4. RSL is Currently Applicable to the Individual’s OEA, but no RSL response has been received (“No RSL Response”).

This scenario should only appear for individuals with an OEA that is a non-registered, private residence location and the firm has not yet responded to the RSL question on Form U4.



registrations

Independent Contractor Date: Jun 17, 2016 - Present

Office Locations

Location	Type of Office	CRD Branch	Branch Billing Code	Date Period	RSL Status
	Located At		-	Jun 2016 - Present	N/A
	Located At Non-Registered Priv...	-	-	Apr 2017 - Present	No RSL Response Received

Reports: Indicators and Dates

When reviewing any RSL related information in FINRA Gateway Reports, it is important to note why one of the two different RSL Indicators (“Y” or “N”) are displayed, when the “RSL Start Date” is displayed, and when the “RSL End Date” is displayed. The following four scenarios are used to illustrate this information. RSL report templates are useful tools to identify associated persons’ office of employment addresses marked as non-registered, private residences.

1. Locations That are Currently Designated as Not Being RSLs (“N”)

The image below depicts private residence, non-registered locations that were identified by the firm as **NOT** being RSL locations (“N”) during the initial filing and have not had any changes to their RSL status since then. The report will not reflect an “RSL Start Date” or an “RSL End Date” for current “No”

responses.

Individual CRD#	Last Name	First Name	Residential Supervisory Location (RSL)	RSL Start Date	RSL End Date	Employment Start Date	Disclosures	Disclosure Filings	Registrations
			N			2019-02-22	4	7	238
			N			2017-08-17			122
			N			2015-12-15			52
			N			2007-05-22			52
			N			2017-11-16	1	1	268
			N			2015-10-30			28

2. Locations That are Currently Designated as Being RSLs ("Y")

The image below depicts private residence, non-registered locations that were identified by the firm as being RSL locations ("Y") during the initial filing and have not had any changes to their RSL status since then. The report reflects an "RSL Start Date" as the date the filing was submitted. There will be no "RSL End Date" in this scenario.

Individual CRD#	Last Name	First Name	Residential Supervisory Location (RSL)	RSL Start Date	RSL End Date	Employment Start Date	Disclosures	Disclosure Filings	Registrations
			Y	2024-12-19		2006-07-01	2	2	143
			Y	2024-12-26		1995-11-14	1	1	55
			Y	2024-10-19		2008-10-01			157
			Y	2024-10-03		2022-06-06			284
			Y	2025-01-07		1992-01-06			71
			Y	2024-12-02		2015-03-18	1	1	91
			Y	2024-12-02		2015-03-18	1	1	91
			Y	2024-12-02		2015-03-18	1	1	91

3. Locations That Were Initially Designated as Not Being RSLs ("N"), But Subsequently Changed.

The images below depict locations that were identified by the firm as **NOT** being RSLs during the initial filing, but that have had their RSL status changed since then.

In the image below, the change may have occurred because the location is no longer a private residence (and therefore no longer qualifies as an RSL). This change may also occur if the individual no longer works out of that location. In these scenarios, the "RSL Start Date" for the "N" response remains blank, and the "RSL End date" reflects the date the firm submitted the filing making the change.

Individual CRD#	Last Name	First Name	Residential Supervisory Location (RSL)	RSL Start Date	RSL End Date	Employment Start Date	Disclosures	Disclosure Filings	Registrations
			N		2024-11-14	1998-12-09			73
						2009-01-02			73
						1998-12-09			73
			N			2009-01-02			73
						2009-01-02			73

As demonstrated in the image below, the change can also occur when a "N" response becomes a "Y" response because the location is now designated as an RSL. In the "N" row in this scenario, the "RSL

End Date” is the date the firm submitted the filing to designate the location as an RSL. This same date is also found in the “RSL Start Date” column in the “Y” row.

Individual CRD#	Last Name	First Name	Residential Superviso...	RSL Start Date	RSL End Date	Employment Start Date	Disclosures	Disclosure Filings	Registrations
			N		2024-12-16	2011-10-03			38
			Y	2024-12-16		2011-10-03			38
			N		2025-01-10	2008-01-07	5	5	22
			N			2013-07-01	5	5	22
			Y	2025-01-10		2008-01-07	5	5	22
			N		2024-12-17	2006-11-07	1	1	189
			Y	2024-12-17		2006-11-07	1	1	189

4. Locations That Were Initially Designated as Being RSLs (“Y”), But Subsequently Changed.

The image below depicts locations that were initially identified as being RSLs (“Y”) but have since switched to **no longer** being RSLs (“N”).

In this scenario, the RSL response will reflect “N” since that is the current status of the location. The “RSL Start Date” is the date the firm submitted the filing to indicate the location was an initially an RSL. The “RSL End Date” however, depends on the event that cased the location to no longer be an RSL. This can be one of the following:

- The date the firm **submitted** the filing to indicate that the location is no longer an RSL.
- The date the firm **submitted** the filing removing all of the individual’s FINRA registrations.
- The date the firm **submitted** the filing to indicate that the location is no longer a private residence.
- The date the firm **reported** as the “End Date” of the Office of Employment when the individual no longer works out of that location.
- The date the firm **reported** as the “Date Terminated” of the individual’s association with the firm.

Individual CRD#	Last Name	First Name	Residential Superviso...	RSL Start Date	RSL End Date	Employment Start Date	Disclosures	Disclosure Filings	Registrations
			N	2024-10-01	2024-06-14	2022-03-28			154
			N	2024-11-26	2024-06-29	2007-06-07			111
			N	2024-09-25	2024-07-09	2022-07-11			77
			N	2024-09-25	2024-07-15	2012-11-12			121
			N	2024-12-12	2024-07-31	2005-07-05			155
			N	2024-09-25	2024-08-01	2022-05-16			64
			N	2024-10-01	2024-08-01	2021-08-02			63

Submitted Date vs. Reported Date

- The **submitted date** is the date a uniform form is filed in FINRA Gateway, updating or changing an RSL response.
- The **reported date** is the date a firm enters into an associated field on a uniform form.