CRD U4 U5 NRF Form Filing Schema Definition Document

Form Version 05/2009

Release 2013.4

Last Updated 9/7/2013

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1 Introduction

Web EFT is a system provided by FINRA that replaces the CRD Electronic File Transfer system with a web based document transfer system that will transfer information across the Internet in the form of uploads and downloads to and from external users. It will offer users the ability to upload batch data to FINRA, either automatically without user-intervention, or interactively by logging-in to a website. Web EFT will also post reports containing the results of the processing.
This document provides details on the format of the data being sent and the form processing requirements.

2 Secure Gateway Schemas

W3C schemas are used to describe and constrain the definition of transaction batches that are sent to FINRA.

2.1 Common Complex Types

The complex types are divided into 2 types, input and result.
The input complex types are NSGBatch and NSGRequest. Both of these types are required of all files, which are transmitted to the FSG. A third type that is required for input files is also identified in the CRDFormFiling Schemas section. This section identifies the types of forms that are filed and namespace information. CRDFormFiling is nested once inside of each NSGRequest type.
The result complex types are NSGBatchResults, NSGResult, NSGErrors and NSGError.

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The complex types are divided into 2 types, input and result.
The input complex types are NSGBatch and NSGRequest. Both of these types are required of all files, which are transmitted to the FSG. A third type that is required for input files is also identified in the CRDFormFiling Schemas section. This section identifies the types of forms that are filed and namespace information. CRDFormFiling is nested once inside of each NSGRequest type.
The result complex types are NSGBatchResults, NSGResult, NSGErrors and NSGError.

4.1.1 NSGBatch

NSGBatch is the main envelope wrapper for the file and is required for all incoming files. The NSGBatch node may contain from 1 to 5000 NSGRequest types.
The required UserBatchRef attribute is a user definable string that must be unique to each submitted batch. The user can also use the string track batches for internal purposes.
The user may specify an email address for which the system is to communicate back status information.

4.1.1.1 NSGBatch Example

<NSGBatch UserBatchRef="" Email=""> <NSGRequest AppId="CRDFF" UserReqRef="Filing 1" > <CRDFormFiling>
.
.
.
</CRDFormFiling> </NSGRequest> <NSGRequest AppId="CRDFF" UserReqRef="Filing 2" > <CRDFormFiling>
.
.
.
</CRDFormFiling> </NSGRequest>
<NSGRequest AppId="CRDFF" UserReqRef="Filing 3" > <CRDFormFiling>
.
.

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.
</CRDFormFiling> </NSGRequest></NSGBatch>

4.1.1.2 NSGBatch Referenced Complex Types

Name	Minimum Allowed	Maximum Allowed
NSGRequest	1	5000

4.1.1.3 NSGBatch Attributes

Name	Req.	Type	Length	Description
UserBatchRef	Yes	string	1-128	Batch Identifier supplied by the submitter for use in their internal systems
Email	No	string	5-128	If supplied, the email address to respond to.

4.1.2 NSGRequest

NSGRequest is the wrapper for a requested application transaction.
The user is required to specify the application to which the transaction to be processed by and the user may add a transaction reference identifier to help in their internal tracking. Currently, the only Application identifier that is supported is CRDFF, used to submit CRD form requests.

4.1.2.1 NSGRequest Example

<NSGRequest AppId='CRDFF' UserReqRef='' >
… CRDFormFiling …
</NSGRequest>

4.1.2.2 NSGRequest Reference Complex Types

Name	Minimum Allowed	Maximum Allowed
CRDFormFiling	1	1

4.1.2.3 NSGRequest Attributes

Name	Req.	Type	Length	Description
UserReqRef	No	string	1-128	Request Identifier supplied by the submitter for use in their internal systems
AppId	Yes	string	3-128	Identifier of the FSG application the transaction should be submitted to. Allowed Values: **CRDFF**.

4.1.3 NSGBatchResults

The NSGBatchResults node is the root node for the set of Results that are returned to the user for a requested NSGBatch. The NSGBatchResults will contain either 1 or more instances of the NSGResult or NSGErrors types, but not both.

4.1.3.1 NSGBatchResults Example

<NSGBatchResults UserBatchRef="" NSGBatchRef="" Email="" StartTime="" UpLoadTime="" >
<NSGResult >
. . .
</NSGResult>
<NSGResult >
. . .
</NSGResult>
.
.
.
</NSGBatchResults>

4.1.3.2 NSGBatchResults Referenced Complex Types

Name	Minimum Allowed	Maximum Allowed
NSGResult	0	5000

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4.1.3.3 NSGBatchResults Attributes

Name	Req.	Type	Length	Description
UserBatchRef	Yes	string	1-128	Batch Identifier supplied by the submitter for use in their internal systems
NSGBatchRef	Yes	string	3-128	Unique FSG Batch Reference identifier
Email	No	string	5-128	If supplied the email address to respond to.
StartTime	Yes	string	19	Date and time the file was received in YYYY-MM-DDT HH:MM:SS
UpLoadTime	Yes	string	19	Date and time the file was received in YYYY-MM-DDT HH:MM:SS

4.1.4 NSGResult

A NSGResult is returned to the user for every transaction that is submitted.

4.1.4.1 NSGResult Example

```
<NSGResult UserBatchRef="" NSGSeqId="" UserReqRef="" StartTime="" EndTime="" NSGResultSuccessCode="">
. . .
Results of form processing
. . .
</NSGResult >
```

4.1.4.2 NSGResult Attributes

Name	Req.	Type	Length	Description
UserBatchRef	Yes	string	1-128	Batch Identifier supplied by the submitter for use in their internal systems
NSGSeqId	Yes	string	1-4	Internal FSG sequence id given to the transaction Valid values are 1-5000
UserReqRef	No	string	1-128	Request Identifier supplied by the submitter for use in their internal systems
StartTime	Yes	string	19	Date and time the file was received in YYYY-MM-DDT HH:MM:SS
EndTime	Yes	string	19	Date and time the file processing was completed in YYYY-MM-DDT HH:MM:SS
NSGResultSuccessCode	Yes	string	1	“Y” indicates success; "N" indicates failure. Allowed Values: Y N

4.1.5 NSGErrors

NSGErrors is returned when an unrecoverable error occurs during the processing of a batch file. An NSGErrors may contain from 1 to many NSGError nodes.

4.1.5.1 NSGErrors Example

```
<NSGErrors EndTime="">
<NSGError …./>
</NSGErrors>
```

4.1.5.2 NSGErrors Referenced Complex Types

Name	Minimum Allowed	Maximum Allowed
NSGError	1	5000

4.1.5.3 NSGErrors Attributes

Name	Req.	Type	Length	Description
EndTime	No	string	19	Date and time the file processing stopped in YYYY-MM-DDT HH:MM:SS

4.1.6 NSGError

The NSGError type specifies the error that was detected during processing.

4.1.6.1 NSGError Example

```
<NSGError Code=''>
Error Message Text
</NSGError>
```

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4.1.6.2 NSGError Attributes

Name	Req.	Type	Length	Description
Code	No	string	10	Error code if provided. Allowed Values: Misc
MessageText	Yes	string	1-1024	Error Message

4.2 CRD Form Results

This section describes the expected results from a CRD Form Filing.

4.2.1 Complex Type CRDFormResults

The CRD Form Results Node identifies the success or failure of a form filing. In the event errors were generated during form processing a collection of CRDFormError nodes will be provided.

4.2.1.1 CRDFormResults Example

```
<CRDFormResults status="" >
<CRDFormError ... />
</CRDFormResults>
```

4.2.1.2 CRDFormResults Referenced Complex Types

Name	Minimum Allowed	Maximum Allowed
CRDFormError	0	unbounded

4.2.1.3 CRDFormResults Attributes

Name	Req.	Type	Length	Description
Status	Yes	string		Overall Form Filing Error Status. Allowed Values: **Success, Failed, CompleteWithErrors**
individualCRDNumber	Yes	integer	10	The assigned individual CRD number.
filingType	Yes	NMTOKEN	4-11	Filing Type designation. Allowed values: **AMENDMENT DUAL FULL INITIAL PARTIAL P2BDINITIAL P2BDAMEND RELICENSE RELICENSEBD RELICENSEIA**
formType	Yes	NMTOKEN	2-3	Form Type designations: Allowed values: **U4 U5 NRF**
crdFilingRefNum	Yes	string	1-128	The filing reference number

4.2.2 Complex Type CRDFormError

This node represents a CRD Form Error.

4.2.2.1 CRDFormError Example

```
<CRDFormError errorCode="" errorMessage=""/>
```

4.2.2.2 CRDFormError Attributes

Name	Req.	Type	Length	Description
errorCode	Yes	integer		Error Code. Allowed Values: See Error code table below
errorMessage	Yes	string		Error Message. Allowed Values: See Error code table below
error Location	No	string		Error Location on Form. Allowed Values: See Error Location table below.

4.2.3 Form Filing Errors

The following is a list of possible error codes and descriptions that can be expected based on a failure to pass form filing completeness checks. Completeness Checks (CC) errors must be corrected prior to submitting the filing. Informational Messages (IM) will not prevent user from submitting the filing. Form filings must pass SCHEMA validation in order for the system to process the filing.

Error Number	Form	Error Type	Message
12081	U4	CC	The <CE Session Type Code> CE session cannot be scheduled because there is an active window already

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			open.
16043	U4	CC	One of the Fingerprint Information choices must be selected.
16044	U4	CC	At least one RA position must be requested.
16045	U4,NRF	CC	Employment Date must be less than or equal to the current date.
16046	U4	CC	The Firm entered is not an active CRD or IARD firm.
16047	U4	CC	The Firm entered does not have an affiliation with the filing firm.
16048	U4	CC	There must be at least one firm in the affiliated firms section selected for full termination.
16049	U4	CC	There must be no firms selected in the affiliated firms section for full termination.
16050	U4	CC	Since the question 'Is this a multiple termination with one or more firms under common ownership or control with the firm named in item 3 above' in the Affiliated Firms screen is marked as Yes, there must be at least one modification to the SRO/Registration
16051	U4	CC	Since the question 'Is this a multiple termination with one or more firms under common ownership or control with the firm named in item 3 above' is marked as No, there must be no modifications to the SRO/Registration category
16052	U4	CC	At least one SRO/Registration must be requested or,
16053	U4,NRF	CC	Date of Birth is mandatory.
1605302	U4	CC	The Date of Birth entered indicates that the individual is under 18 years of age. Please note that an individual must have reached the age of majority in his/her state of residence to register with FINRA.
16054	U4,NRF	CC	State or Province of Birth is mandatory.
16055	U4,NRF	CC	Country of Birth is mandatory.
16056	U4,NRF	CC	Sex is mandatory.
16057	U4,NRF	CC	The choices for Gender are Male and Female only.
16058	U4,NRF	CC	Height in Feet is mandatory.
16059	U4,NRF	CC	Inches cannot be more than 11. Increase the Footage.
16060	U4,NRF	CC	Weight is mandatory.
16061	U4,NRF	CC	Hair color is mandatory
16062	U4,NRF	CC	Eye color is mandatory.
16063	U4,NRF	CC	Height in Inches is mandatory.
16064	U4	CC	From Date is mandatory.
16065	U4	CC	From Date must precede the To Date
16066	U4	CC	Street Address is mandatory.
16067	U4	CC	City of Residence is mandatory.
16068	U4	CC	State/Country of Residence is mandatory.
16069	U4	CC	A minimum of 5 years of Residential History must be provided.
16070	U4	CC	A gap of more than 3 months is not allowed.
16071	U4,U5	CC	Disclosure questions must be explicitly answered Yes or No.
16072	U4	CC	Signature Name is mandatory.
16073	U4	CC	Signature Date is mandatory.
16074	U4	CC	Temporary Registration Name is mandatory.
16075	U4	CC	Temporary Registration Date is mandatory.
16076	U4	CC	If an Exam Type is entered then an Exam Date must be provided or if an Exam Date is provided then an Exam Type must be entered.
16077	U4	CC	From Date is mandatory.
16078	U4,U5	CC	"From" date shall be less than or equal to the current date.
16079	U4	CC	From Date must precede the To Date
16080	U4	CC	Business name is mandatory.
16081	U4	CC	City of Employment is mandatory.
16082	U4	CC	State/Country of Employment is mandatory.
16083	U4	CC	The Investment related business indicator is mandatory.
16084	U4	CC	Position held is mandatory.
16085	U4	CC	A minimum of 10 years of Employment History must be provided.
16086	U4	CC	A gap of more than 3 months is not allowed.
16087	U4,U5	CC	The Data for the Individual in the CRD system database has been updated since the filing was created.
16088	U4,U5	CC	There is a filing for the same individual that has been submitted but not yet processed.

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16089	U5	CC	Date of termination is required.
16090	U5	CC	Reason for termination is required.
16091	U5	CC	During renewals, a firm can use a previous date, current date or post date, however, if using a post date it must be 12/31 of the current year.
16092	U5	CC	An explanation must be provided when the reason for termination is Permitted to Resign, Discharged, or Other.
16093	U5	CC	Person to contact is mandatory.
16094	U5	CC	Telephone number of person to contact is mandatory.
16095	U5	CC	Signature Name is mandatory.
16096	U5	CC	Signature Date is mandatory.
16097	U4	CC	Individual already has fingerprint card on file. No barcode can be provided on Amendment filing.
16149	U4	CC	Description of other business activities may not exceed 960 characters.
16150	U4	CC	Please check option ""Yes"" if there is other business activity.
16151	U4	CC	Please check option ""No"" if there is no other business activity.
16161	U4	CC	A Jurisdiction AG registration exists, at least one qualifying FINRA registration is mandatory.
16162	U4	CC	Withdrawal from all qualifying FINRA registrations is not permitted when there is an existing Jurisdiction AG registration not flagged for termination.
16170	U4,NRF	CC	Last Name is mandatory.
16171	U4,NRF	CC	First Name is mandatory.
16306	U4	CC	The Firm does not have an active BD registration with the regulator you have requested.
16311	U4,NRF	CC	Branch office does not exist for the specified organization.
16354	U4,U5	CC	The Employment date in General Information is mandatory.
16355	U4,U5	CC	The Employment date in General Information cannot be a future date.
16365	U4	CC	Registration Category 'Foreign Associate' cannot be selected if any of the Current Addresses is a US Address.
16366	U4	CC	If the applicant will maintain registration with firm(s) under common ownership or control with the filing firm, then provide the details for additional firm(s)
16367	U4	CC	If affiliated firms are included, the question must be answered 'YES'.
16368	U4	CC	The Complete Employment Address (Street 1, City, State/Country and Zip) is required
16369	NRF	CC	Individual's Position in the Firm is required for NRF filings
16370	NRF	CC	A barcode is required for Initial NRF filings
16371	NRF	CC	Date of Termination is required if the individual is being terminated.
16376	U4	CC	If the option for Fingerprint Exception is not selected, no exemption code selection is allowed.
16377	U4	CC	This option cannot be selected for the filing firm.
16378	U4	CC	Date of Birth cannot be after the earliest employment start date.
16379	U4	CC	You have requested an invalid regulator/registration category. Please select a valid registration category that is recognized by the regulator.
16380	U4	CC	Option ""Individual not subject to fingerprint requirement because filing firm fingerprint card applies"" cannot be selected, since no RR registrations were requested.
16381	U4	CC	Option ""Individual not subject to fingerprint requirement because filing firm fingerprint card applies"" can only be selected, if one of the following is selected for the filing firm: ""Electronic Filing Representation"", ""Employed continuously with firm, not subject to new fingerprint requirement"", ""Fingerprints Processed through another SRO"".
16382	U4	CC	Fingerprint card barcode should only be provided if the first fingerprint option is selected.
16383	U5	CC	For a partial U5 filing, if the individual maintains registration with <SRO> category <registration>, then the individual must maintain registration with category <[list of] registration[s]>.
16396	U4	CC	The Filing Firm does not have an active registration.
16397	U4	CC	If the option for IAR Only applicants is not selected, no suboption selection is allowed.
16398	U4	CC	Registration for FA position may not be requested along with registration requests for other positions.
16399	U4,U5	IM	To request an exam, please enter the necessary data.
16400	U4,U5	IM	The system will schedule exams for positions requested on the SRO Registrations and Jurisdictions screens.
16401	U5,NRF	CC	Date of Termination cannot be a future date.
16402	U4	CC	The barcode number provided is not valid due to duplicate entries.

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16423	U4,U5	CC	Signature of Appropriate Signatory is mandatory
16424	U4,U5	CC	Signature Date of Appropriate Signatory is mandatory
16432	U5	CC	All Registrations may not be terminated on a Partial U5 Filing
16433	U4	CC	The question pertaining to whether or not the applicant is involved with another business must be explicitly answered YES or NO.
16435	U4	CC	The question ""Will applicant maintain registration with firm(s) under common ownership or control with the filing firm?"" must be explicitly answered YES or NO.
16437	U4	CC	A duplicate Firm CRD number exists among the entries in the AFFILIATED FIRMS section. Only one entry per firm is permitted per filing.
16438	U4	CC	No firm having an active association with the subject of this filing may be entered as an affiliate.
16440	U4,U5	IM	Please be aware that this filing contains more than one current address.
16441	U4	CC	If individual already has approved RR position(s) and is CE 2 - year termed, only RA position requests are allowed.
16442	U4	CC	The Fingerprint Barcode must be numeric and exactly 10 characters in length.
16443	U4	CC	Questions 3A and 3B must be answered NO.
16444	U4	CC	Current address is mandatory
16450	U4	CC	Affiliate firms may only use the filing firm's fingerprint card barcode if the final FBI status for that card is 30 days or less from the current system date. This fingerprint card has a final FBI status that is greater than 30 days from the current date.
16451	U4	CC	A Status Code is required for Initial NRF filings
16452	NRF	CC	A Current Status Date is required for Initial NRF filings
16454	U5	CC	Date of Termination must be greater than or equal to the employment start date.
16455	U4,NRF	CC	Either Country of Birth or State of Birth is required.
16456	U4	IM	Please be aware, when completing the U4, if you request any of the North American Society of Administrators Association (NASAA) Examinations, the Series 63, Series 65 or Series 66 Examinations, by checking the S63, S65, or S66 box under Question 13, the U4 EXAMINATION REQUESTS Section of the filing, the examination will be scheduled and charged to the firm, regardless of need.
16457	U4	IM	Section 15C is not currently signed. No Temporary Registration will be given to the individual.
16470	U4	CC	If the Exceptions option is selected, one of the exemption codes is required.
16479	U4	CC	Designations may not be requested if no RA position is requested.
16480	U4	CC	You have made an invalid Designation request
16481	U4	CC	Answers to Question 3 are mandatory.
16482	U4	CC	Question 3A and/or 3B must be answered YES.
16483	U4	CC	The Firm does not have an active IA registration with the regulator you have requested.
16484	U5	CC	At least one registration must be selected for termination.
16485	U4	CC	The state does not register IAR representatives.
16486	U4	CC	If the third option is selected, one of the suboptions is mandatory.
16487	U4	CC	If any RR position is requested, the third fingerprint selection is invalid.
16488	U4	CC	For IA only filings, only the third fingerprint option selection is allowed.
16489	U4	IM	Below are a list of previously held registrations that have not been applied for on this filing:
16490	U5	CC	Notice: You answered 'yes' to one or more disclosure questions. Under applicable disclosure reporting requirements, details regarding each disclosure item must be reported on a Disclosure Reporting Page as part of this Form U5 filing unless such disclosure item already has been reported by your firm previously on Form U4 or Form U5, and such previously filed item is complete and up-to-date.
16499	U5	CC	At least one RA position must be selected for termination.
16501	U4	CC	The barcode number provided is not valid due to duplicate entries.
16502	U4	CC	The Employment date is mandatory.
16674	U4	CC	At least one branch office or the main office of the firm must be listed for this individual.
16675	U4	CC	The question, Do you have an independent contractor relationship with the above named firm? Must be explicitly answered Yes or No.
16676	U4	CC	A gap of one or more days between Office of Employment Address with the same firm is not allowed.
16677	U4	CC	The Office of Employment Address being added is no longer an active branch office. Select another Office of Employment location.
16678	U4	CC	The Start Date cannot be a future date.

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16679	U4	CC	A Complete Address for Office Of Employment consisting of (Street Address 1, City, State or Country) is required.
16681	U4	CC	If the "Will applicant maintain registration with firm(s) under common ownership or control with the filing firm?" question is answered Yes, then at least one firm must be listed in Section 6 Affiliated Firms.
16682	U4	CC	If the "Will applicant maintain registration with firm(s) under common ownership or control with the filing firm?" question is answered No, then no firms can be listed in Section 6 Affiliated Firms.
16683	U4	CC	The Type of office question must be answered.
16684	U4	CC	The Start Date must be on or after the Employment Date.
16690	U4	CC	The Office of Employment Address being added is not associated to the firm filing this form. Select another Office of Employment location.
16691	U4	CC	The Office of Employment Address being added is a duplicate of an open Office of Employment Address already listed.
16692	U4	CC	The Employment Start Date is required.
16699	U4	CC	The Office of Employment Address being added is not associated to the firm filing this form. Select another Office of Employment location.
16709	U4	CC	At least one branch office or the main office of the firm must be listed for this individual.
16713	U4	CC	The Office of Employment Start date must be before the Office of Employment End date.
16725	U4	CC	The Office of Employment End Date cannot be a future date.
16726	U4	CC	During renewals, a firm can use a previous date, current date or post date, however, if using a post date it must be 12/31 of the current year.
16727	U4	CC	Employment Start date is required.
16730	U4	CC	You have made an invalid Exam request.
16745	NRF	CC	Date of Termination cannot be less than Employment Date.
16746	U4	CC	The Office of Employment Address being closed is a duplicate of an open Office of Employment Address already listed. To close an existing Office of Employment Address please specify the appropriate sequence number.
16747	U4,U5,NRF	CC	The State Code provided is invalid.
16748	U4,U5,NRF	CC	The Country Code provided is invalid.
16759	U4	CC	Individual's First, Middle and Last name cannot contain numeric characters.
16760	U4	CC	You have requested a position with an SRO that is also recognized by FINRA. Please request the equivalent position with FINRA.
16761	U5	CC	You requested termination of a FINRA registration position, while maintaining an equivalent registration position with another SRO. You must either (1) maintain the relevant FINRA position or (2) terminate all equivalent SRO positions.
16762	U4	CC	Prior exam information can be disclosed on an Initial U4 only.
16763	U4,U5,NRF	CC	You have provided a sequence number that is either incorrect or does not exist for this record.
16766	U4	CC	You cannot request an AR and a non-AR position on the same filing. Please select the appropriate registration(s).
16768	U4,U5,NRF	CC	Country field cannot contain numeric characters.
16769	U4,NRF	CC	Country of Birth field cannot contain numeric characters.
16799	U5	CC	An explanation must be provided when the reason for termination or the termination explanation is amended.
16800	U5	CC	An explanation must be provided when the date of termination is amended.
16808	U5	CC	Date of Termination must be greater than or equal to the office of employment start date(s).
16869	U5	CC	The terminationAmendmentExplanation and terminationDateAmendmentExplanation attributes are applicable to U5 Amendment only.
16871	U5	CC	An explanation is required only when the reason for termination or the termination explanation is amended. Please remove the explanation or provide an amended reason for termination and/or termination explanation.
16872	U5	CC	An explanation is required only when the date of termination is amended. Please remove the explanation or provide an amended date of termination.
16887	U4,U5	CC	"To" date shall be less than or equal to the current date.
16890	U5	CC	You have requested termination for an invalid regulator/registration category. Please select a valid registration category to be terminated.

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16901	U4	CC	At least one office of employment must be listed for this individual.
16900	NRF	CC	Terminate Non-registered Fingerprint relationship must be selected when a Date of Termination is provided.
16902	NRF	CC	The barcode provided cannot be re-associated because the fingerprint card associated with that barcode has an ineligible FP status. Please provide another barcode number (that is associated with a card that has a valid FP status).
16904	NRF	CC	The Employment Date field must match the 'Employment Start' date listed in General Information of the most recently filed Form U4 for this individual's last registration with this firm.
16905	NRF	CC	A Fingerprint cannot be re-associated on an NRF Amendment filing.
16911	U4, U5	CC	If a State is provided, you must provide a Postal Code.
16912	U4, U5	CC	The Postal Code must be in one of the following formats: 99999-9999 or 99999, when a State is selected.
25000	U4	CC	Cannot create a U4 Initial without a SSN or CRD number.
25001	EFT	CC	Could not find the individual in CRD.
25002	EFT	CC	The requested form and filing type cannot be used for this individual.
25034	U4	CC	To associate the individual with the BD main office, attribute mainOfcBDFl must be ‘Y’ and do not include attribute brnchPK. To associate the individual with a non-main office branch, attribute mainOfcBDFl must be ‘N’ and attribute brnchPK must have a valid branch number.
25035	U4	CC	To associate the individual with the IA main office, attribute mainOfcIAFl must be ‘Y’ and do not include attribute brnchPK. To associate the individual with a non-main office branch, attribute mainOfcIAFl must be ‘N’ and attribute brnchPK must have a valid branch number.
25036	EFT	CC	The individual is currently employed by your firm. The Residential Histories section cannot be included in this filing. Please submit a U4 filing to provide updates to Residential Histories.
300	EFT	SCHEMA	The 'first' attribute is invalid - The value '{user entered value}' is invalid according to its datatype 'String' - The Pattern constraint failed.
300	EFT	SCHEMA	The 'middle' attribute is invalid - The value '{user entered value}' is invalid according to its datatype 'String' - The Pattern constraint failed.
300	EFT	SCHEMA	The 'last' attribute is invalid - The value '{user entered value}' is invalid according to its datatype 'String' - The Pattern constraint failed.
300	EFT	SCHEMA	The '<Attribute Name>' attribute is invalid - The value < user entered value here > is invalid according to its datatype 'String' - The actual length is greater than the MaxLength value.
300	EFT	SCHEMA	The '<Attribute Name>' attribute is invalid - The value '' is invalid according to its datatype '<Attribute DataType>' - The empty string '' is not a valid name.
25003	EFT	SCHEMA	Could not find a form to process.
25004	EFT	SCHEMA	Referenced node %1 not found.
25005	EFT	SCHEMA	Attempt to read from an empty recordset.
25006	EFT	SCHEMA	Missing recordset for column compare.
25007	EFT	SCHEMA	No rules. Call LoadRules() first.
25008	EFT	SCHEMA	Invalid rules file.
25009	EFT	SCHEMA	Cannot open the tag when the file is not open.
25010	EFT	SCHEMA	Cannot write when the file is not open.
25011	EFT	SCHEMA	Cannot write an attribute to a closed element.
25012	EFT	SCHEMA	The individual CRD number is required for a U4 Amendment.
25013	EFT	SCHEMA	The individual CRD number is required for a U4 Dual.
25014	EFT	SCHEMA	The individual CRD number is required for a U4 Relicense.
25015	EFT	SCHEMA	The individual CRD number is required for a U5 Filing.
25016	EFT	SCHEMA	Cannot create a NRF Initial without a SSN.
25017	EFT	SCHEMA	The individual CRD number is required for a NRF amendment.
25018	EFT	SCHEMA	Submitting firm has insufficient privileges to submit this filing.
25019	EFT	SCHEMA	Incorrect command line arguments
25020	EFT	SCHEMA	PostingDate value is invalid

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25021	EFT	SCHEMA	PostingDate not in XML format(yyyy-mm-dd)
25022	EFT	SCHEMA	The version of the form submitted is no longer supported. Form type expected version 05/2009.
25031	EFT	SCHEMA	You can not specify a single Registered Branch as both BD Main and IA Main
25032	EFT	SCHEMA	A brnchPK, mainOfcBDFl or mainOfcIAFl attribute must be provided for the RegisteredBranch node

4.2.4 Form Filing Error Location

The following is a list of possible error codes and descriptions that can be expected based on a failure to pass form filing completeness checks.

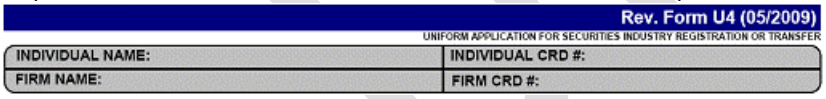
GEN	General Information
FGPT	Fingerprint Information
RUF	Registration with Unaffiliated Firms
AFF	Registration Requests with Affiliated Firms
SRO	SRO Registrations
JUR	Jurisdiction Registrations
EXM	Examination Requests
DSG	Professional Designations
RES	Residential History
EMP	Employment History
PER	Identifying Information/Name Change
U4OB	Other Business
DIS	Disclosure Questions
SIG	Signatures
TRM	Termination
TDT	Termination Date
EXE	BD Page 2 Execution

5 CRD U4 U5 and NRF Form Filing Schemas

W3C schemas are used to describe and constrain the definition of electronic CRD Form Filing requests. Schemas definitions for all CRD forms follow a common structure. A top-level schema is defined for each CRD Form.
To promote readability and reuse, all top-level schemas reference a set of pre-defined complex types. A separate 'sub' schema exists for each reusable complex type. The inclusion of a set of sub-schemas into each top-level schema is accomplished through a single import directive.

5.1 CRD Form Filing

CRDFormFiling is the wrapper for an Individual form filing transaction. CRDFormFiling is a complex type used to represent form-filing requests for U4, U5 and NRF. There is a one-to-one relationship between the NSGRequest and CRDFormFiling.



5.1.1 CRDFormFiling Example

```
<NSGRequest>
<CRDFormFiling version="" filingType="" formType="">
<GeneralInformation firmCRDNumber=""...>
.
.
.
</CRDFormFiling>
</NSGRequest>
```

5.1.2 CRDFormFiling Referenced Complex Types

Name	Minimum Allowed	Maximum Allowed
CRDFormFiling	1	1

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5.1.3 CRDFormFiling Attributes

Name	Req.	Type	Length	Description
version	No	string	7-7	Form Filing version The current version is "05/2009" for U4 and U5
filingType	Yes	NMTOKEN	4-11	Filing Type designation. Allowed values: **Amendment, Dual, Full, Initial, Partial, P2BDInitial, P2BDAmend, Relicense, RelicenseBD, RelicenseIA**.
formType	Yes	NMTOKEN	2-3	Form Type designations: Allowed values: **U4, U5, NRF**

5.2 Version Information

The system will process the U4 and U5 filings only if the filing format can be validated against the schema for the current release. Otherwise, a schema validation error will be returned. If the version of the form submitted does not match the current version, a version error will be returned

5.3 Common Complex Types

The following describes the complex types used to CRD Form filing requests.

5.3.1 Complex Type CRDFormFiling for U4

The Form U4 is the Uniform Application for Securities Industry Registration or Transfer. Representatives of broker-dealers, investment advisers, or issuers of securities must use this form to become registered in the appropriate jurisdictions and/or SROs. This applies to the filing of Form U4 electronically with the Central Registration Depository (CRD) or the Investment Adviser Registration Depository (IARD).

5.3.1.1 CRDFormFiling for U4 Example

```
<CRDFormFiling version="" filingType="" formType="">
<GeneralInformation ... />
<FingerprintInformation ... />
<UnaffiliatedFirms ... />
<SROs ... />
<Jurisdictions ... />
<AffiliatedFirms ... />
<ExamRequests ... />
<Designations ... />
<IdentifyingInformation ... />
<OtherNames ... />
<ResidentialHistories ... />
<EmploymentHistories ... />
<OtherBusiness ... />
<Signatures ... />
</CRDFormFiling>
```

5.3.1.2 CRDFormFiling for U4 Referenced Complex Types

Name	Minimum Allowed	Maximum Allowed
GeneralInformation	1	1
FingerprintInformation	0	1
UnaffiliatedFirms	0	1
SROs	0	1
Jurisdictions	0	1
AffiliatedFirms	0	1
ExamRequests	0	1
Designations	0	1
IdentifyingInformation	0	1
OtherNames	0	1

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ResidentialHistories	0	1
EmploymentHistories	0	1
OtherBusiness	0	1
Signatures	0	1

5.3.1.3 CRDFormFiling for U4 Attributes

Name	Req.	Type	Length	Description
version	Yes	string	7-7	Form Filing version The current version is "05/2009" for U4
filingType	Yes	NMTOKEN	4-14	Identifies the Filing type being requested. Allowed Values: **Initial, Amendment, Dual, P2BDInitial, P2BDAmend, Relicense, RelicenseIA, RelicenseBD**
formType	Yes	NMTOKEN	2-3	Identifies the Form type being filed. Allowed Values: **U4**

5.3.1.4 Form U4 Filing Processing Tips

For a Form U4, the system will return an error if Complex Types are not in order.
For a Form U4, the system will return an error if attribute version is not provided.
Submitting more than one filing per individual per batch is not a recommended practice. Concurrent filings cause errors and will delay filings from processing. We recommend that you submit only one form filing per batch for an individual.

5.3.1.4.1 Form U4 Initial Filing Type

The following sections apply to the Initial Filing Type: GeneralInformation, FingerprintInformation, UnaffiliatedFirms, SROs, Jurisdictions, AffiliatedFirms, ExamRequests, Designations, IdentifyingInformation, OtherNames, ResidentialHistories, EmploymentHistories, OtherBusiness, and Signatures.

5.3.1.4.2 Form U4 Amendment Filing Type

The following sections apply to the Amendment Filing Type: GeneralInformation, FingerprintInformation, UnaffiliatedFirms, SROs, Jurisdictions, AffiliatedFirms, ExamRequests, Designations, IdentifyingInformation, OtherNames, ResidentialHistories, EmploymentHistories, OtherBusiness, and Signatures.

5.3.1.4.3 Form U4 Dual Filing Type

The following sections apply to the Dual Filing Type: GeneralInformation, FingerprintInformation, UnaffiliatedFirms, SROs, Jurisdictions, AffiliatedFirms, ExamRequests, Designations, IdentifyingInformation, OtherNames, ResidentialHistories, EmploymentHistories, OtherBusiness, and Signatures.

5.3.1.4.4 Form U4 All Relicense Filing Types

The following sections apply to the Relicense Filing Type: GeneralInformation, FingerprintInformation, UnaffiliatedFirms, SROs, Jurisdictions, AffiliatedFirms, ExamRequests, Designations, IdentifyingInformation, OtherNames, ResidentialHistories, EmploymentHistories, OtherBusiness, and Signatures.

5.3.1.4.5 Form U4 All Page 2 Filing Types

The following sections apply to the Page 2 Filing Type: IdentifyingInformation, OtherNames, ResidentialHistories, EmploymentHistories, OtherBusiness, and Signatures.

5.3.2 Complex Type CRDFormFiling for U5

The Form U5 is the Uniform Termination Notice for Securities Industry Registration. Broker-dealers, investment advisers, or issuers of securities must use this form to terminate the registration of an individual in the appropriate jurisdictions and/or self-regulatory organizations (SROs). This xml message applies to the filing of Form U5 electronically with the Central Registration Depository ("CRD") or the Investment Adviser Registration Depository ("IARD").

5.3.2.1 CRDFormFiling for U5 Example

```
<CRDFormFiling version="" filingType="" formType="">
<GeneralInformation ... />
<SROs ... />
```

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<Jurisdictions ... />
<AffiliatedFirms ... />
<ResidentialHistories ... />
<TerminationRequest ... />
<Signatures ... />
</CRDFormFiling>

5.3.2.2 CRDFormFiling for U5 Referenced Complex Types

Name	Minimum Allowed	Maximum Allowed
GeneralInformation	1	1
SROs	0	1
Jurisdictions	0	1
AffiliatedFirms	0	1
ResidentialHistories	0	1
TerminationRequest	0	1
Signatures	0	1

5.3.2.3 CRDFormFiling for U5 Attributes

Name	Req.	Type	Length	Description
version	Yes	string	7-7	Form Filing version The current version is "05/2009" for U5
filingType	Yes	NMTOKEN	4-14	Identifies the Filing type being requested. Allowed Values: **Full, Partial, Amendment**
formType	Yes	NMTOKEN	2-3	Identifies the Form type being filed. Allowed Values: **U5**

5.3.2.4 Form U5 Filing Processing Tips

For a Form U5, the system will return an error if Complex Types are not in order.
For a Form U5, the system will return an error if attribute version is not provided.
Submitting more than one filing per individual per batch is not a recommended practice. Concurrent filings cause errors and will delay filings from processing. We recommend that you submit only one form filing per batch for an individual.

5.3.2.4.1 Form U5 Full Filing Type

The following sections apply to the Form U5, Full Filing Type: GeneralInformation, ResidentialHistories, TerminationRequest, AffiliatedFirms, and Signatures.

5.3.2.4.2 Form U5 Partial Filing Type

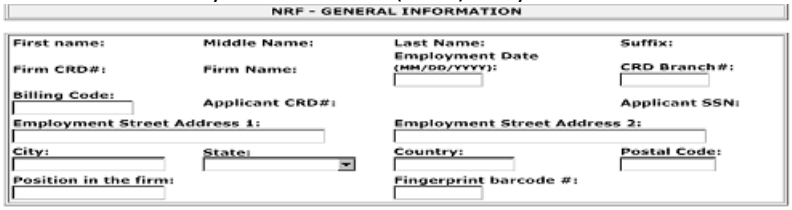
The following sections apply to the Form U5, Partial Filing Type: GeneralInformation, ResidentialHistories, TerminationRequest, SROs, Jurisdictions, AffiliatedFirms, and Signatures.

5.3.2.4.3 Form U5 Amendment Filing Type

The following sections apply to the Form U5, Amendment Filing Type: GeneralInformation, ResidentialHistories, TerminationRequest, and Signatures.

5.3.3 Complex Type CRDFormFiling for NRF

Form NRF is used by broker-dealers (firms) or by FINRA staff to submit Non-registered Fingerprint filings for individuals of a firm.



5.3.3.1 CRDFormFiling for NRF Example

<CRDFormFiling filingType="" formType="">

<GeneralInformation ... />
<FingerprintInformation ... />
<IdentifyingInformation ... />
<OtherNames ... />
<TerminationRequest ... />
</CRDFormFiling>

5.3.3.2 CRDFormFiling for NRF Referenced Complex Types

Name	Minimum Allowed	Maximum Allowed
GeneralInformation	1	1
FingerprintInformation	0	1
IdentifyingInformation	0	1
OtherNames	0	1
TerminationRequest	0	1

5.3.3.3 CRDFormFiling for NRF Attributes

Name	Req.	Type	Length	Description
filingType	Yes	NMTOKEN	4-14	Identifies the Filing type being requested. Allowed Values: **Initial,Amendment**
formType	Yes	NMTOKEN	2-3	Identifies the Form type being filed. Allowed Values: **NRF**

5.3.3.4 Form NRF Filing Processing Tips

For a Form NRF, the system will return an error if Complex Types are not in order.
Submitting more than one filing per individual per batch is not a recommended practice. Concurrent filings cause errors and will delay filings from processing. We recommend that you submit only one form filing per batch for an individual.

5.3.3.4.1 Form NRF Initial Filing Type

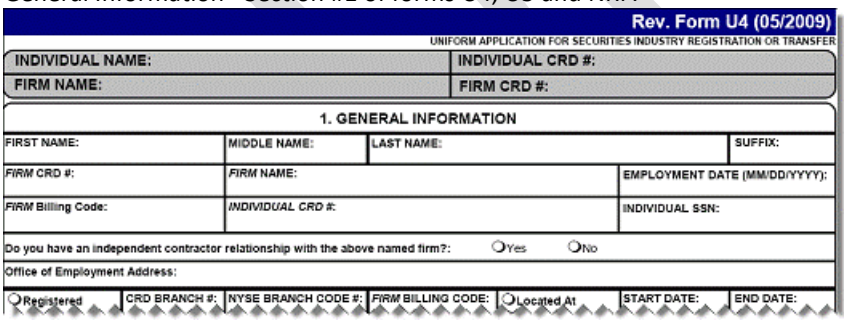
The following sections apply to the Form NRF, Initial Filing Type: GeneralInformation, FingerprintInformation, OtherNames, and IdentifyingInformation.

5.3.3.4.2 Form NRF Amendment Filing Type

The following sections apply to the Form NRF, Amendment Filing Type: GeneralInformation, FingerprintInformation, OtherNames, IdentifyingInformation, and TerminationRequest.

5.3.4 Complex Type GeneralInformation

General Information - Section #1 of forms U4, U5 and NRF.


Rev. Form U4 (05/2009)
UNIFORM APPLICATION FOR SECURITIES INDUSTRY REGISTRATION OR TRANSFER
INDIVIDUAL NAME: | INDIVIDUAL CRD #:
FIRM NAME: | FIRM CRD #:
1. GENERAL INFORMATION
FIRST NAME: | MIDDLE NAME: | LAST NAME: | SUFFIX:
FIRM CRD #: | FIRM NAME: | EMPLOYMENT DATE (MM/DD/YYYY):
FIRM Billing Code: | INDIVIDUAL CRD #: | INDIVIDUAL SSN:
Do you have an independent contractor relationship with the above named firm?: Yes No
Office of Employment Address:
Registered | CRD BRANCH #: | NYSE BRANCH CODE #: | FIRM BILLING CODE: | Located At | START DATE: | END DATE:

5.3.4.1 GeneralInformation Example

<GeneralInformation firmCRDNumber="" employmentDate="" firmBillingCode="" individualCRDNumber="" individualSSN="" indpntContractor="" reassociateFingerprints="">
<Name ... />
<RegisteredBranch ... />
<NonRegisteredBranch ... />
</GeneralInformation>

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5.3.4.2 GeneralInformation Referenced Complex Types

Name	Minimum Allowed	Maximum Allowed
Name	1	1
RegisteredBranch	0	unbounded
NonRegisteredBranch	0	unbounded

5.3.4.3 GeneralInformation Attributes

Name	Req.	Type	Length	Description
firmCRDNumber	Yes	integer	1-8	The firm's CRD Number. A unique number assigned to each firm listed in the CRD or IARD system.
employmentDate	No	date		Enter the month, day, and year of hire. Do not enter the date of application for registration. (YYYY-MM-DD).
firmBillingCode	No	string	8	Your firm's billing code. A billing code is an alpha/numeric value consisting of up to eight characters that your firm has established. If your firm does not use billing codes, leave this field blank.
individualCRDNumber	No	integer	10	The assigned individual CRD number.
individualSSN	No	string	11-11	Individual Social Security Number
indpntContractor	No	NMTOKEN	1	Indicates if the individual is an independent contractor. Allowed Values: **Y N**
reassociateFingerprints	No	NMTOKEN	1	Indicates barcode is being re-associated to the individual's NRF firm association. Allowed Values: **Y N**

5.3.4.4 Form Filing Processing Tips

5.3.4.4.1 Form U4

For a Form U4, the system will return an error if the following attributes are not present in the CRD system or submitted on the filing for the individual: employmentDate, firmCRDNumber, individualCRDNumber. In addition, the system will return an error if the employmentDate attribute is later than the date the file is submitted.
If the Form U4, Initial filing type of Initial is submitted for an individual without a CRD number, the system will create an individual record using the name supplied in the General Information section. The system will return an error message when creating an individual if the SSN provided already exists in the CRD system.

5.3.4.4.2 Form U5

The attribute employmentDate does not apply to Form U5. For Form U5, the system will return an error if the following attributes are not present in the CRD system or submitted on the filing for the individual: firmCRDNumber, individualCRDNumber.

5.3.4.4.3 Form NRF

The attribute privateResidence does not apply to Form NRF. The attribute reassociateFingerprints does not apply to Form NRF filing type Amendment. For Form NRF, the system will return an error if the following attributes are not present in the CRD system or submitted on the filing for the individual: employmentDate, firmCRDNumber, individualCRDNumber. To add or modify firmBillingCode, leave the GeneralInformation firmBillingCode blank & use Complex Type NonRegisteredBranch instead.

5.3.5 Complex Type RegisteredBranch

This section is used to edit a previously added Office of Employment Address.

○Registered ○Non-Registered	CRD BRANCH #:	NYSE BRANCH CODE #:	*FIRM* BILLING CODE:	○Located At ○Supervised From	START DATE:	END DATE:

5.3.5.1 RegisteredBranch Example

<RegisteredBranch seqNum="" mainOfcBDFl="" mainOfcIAFl="" brnchPK="" typeOfOffice="" startDate="" endDate="" />

5.3.5.2 RegisteredBranch Attributes

Name	Req.	Type	Length	Description
seqNum	No	integer		Uniquely identifies registered branch record in a list provided.

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mainOfcBDFl	No	string	1	Indication if individual is to be associated with the BD Main Office Allowed Values: **Y N**
mainOfcIAFl	No	string	1	Indication individual is to be associated with the IA Main Office Allowed Values: **Y N**
brnchPK	No	string	6	Provide the CRD Branch # (assigned by the CRD system to identify your branch office).if individual is to be associated with the branch office. Allowed Values: Numbers 1 to 999999 "" (Null/Empty String)
typeOfOffice	No	string	1	Indication of the Type of Office Code references are as follows: L - Located At, S - Supervised From Allowed Values: **L S**
startDate	No	date		Start Date (YYYY-MM-DD)
endDate	No	date		End Date (YYYY-MM-DD)

5.3.5.3 Form Filing Processing Tips

5.3.5.3.1 Form U4

The system will return an error message if the startDate is not entered.
The system will return an error message if the startDate is a future date.
The system will return an error message if the endDate is a future date.
The system will return an error message if the endDate is entered during post-dated processing time period is a future date other than 12/31 of the current year.

5.3.6 Complex Type NonRegisteredBranch

This section is used to add Non Registered Office of Employment Addresses.

❍Registered ❍Non-Registered	CRD BRANCH #:	NYSE BRANCH CODE #:	*FIRM* BILLING CODE:	❍Located At ❍Supervised From	START DATE:	END DATE:
OFFICE OF EMPLOYMENT ADDRESS STREET 1:			CITY:		STATE:	
OFFICE OF EMPLOYMENT ADDRESS STREET 2:			COUNTRY:		POSTAL CODE:	
Private Residence Check Box: If the Office of Employment address is a private residence, check this box. ❑						

5.3.6.1 NonRegisteredBranch Example

<NonRegisteredBranch seqNum="" firmBillingCode="" privateResidence="" startDate="" endDate="" >
<Address … />
</NonRegisteredBranch>

5.3.6.2 NonRegisteredBranch Referenced Complex Types

Name	Minimum Allowed	Maximum Allowed
Address	0	1

5.3.6.3 NonRegisteredBranch Attributes

Name	Req.	Type	Length	Description
seqNum	No	integer		Uniquely identifies non-registered branch record in a list provided.
firmBillingCode	No	string	8	Enter your firm's billing code. A billing code is an alpha/numeric value consisting of up to eight characters that your firm has established. If your firm does not use billing codes, leave this field blank.
privateResidence	No	NMTOKEN	1	This field indicates that this branch is a private residence. Allowed Values: **Y N**
startDate	No	date		Start Date (YYYY-MM-DD)
endDate	No	date		End Date (YYYY-MM-DD)

5.3.6.4 Form Filing Processing Tips

5.3.6.4.1 Form U4

The system will return an error message if the startDate is not entered.
The system will return an error message if the startDate is a future date.

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The system will return an error message if the endDate is a future date.
The system will return an error message if the endDate is entered during post-dated processing time period is a future date other than 12/31 of the current year.
For Complex Type Address, use attribute country and select one of the Allowed Values. If attribute country_nm is used, the system will ignore the attribute.

5.3.6.4.2 Form U5

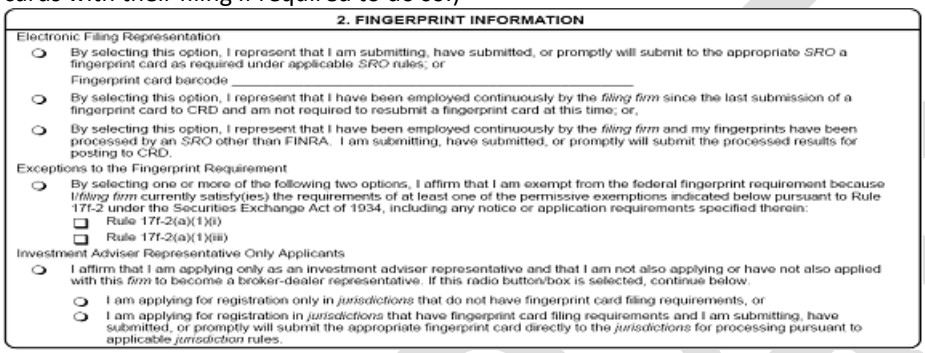
This section does not apply to Form U5.

5.3.6.4.3 Form NRF

For Complex Type Address, use attribute country_nm which is a free-form text. If attribute country is used, the system will ignore the attribute.

5.3.7 Complex Type FingerprintInformation

Finger Print Information - Section #2 of form U4 - Electronic Filing Representation. Providing this information affirms the following: By selecting this option, I represent that I am submitting or promptly will submit to the appropriate SRO the hard copy fingerprint cards via U.S. Mail or delivery service as required under applicable SRO rules. (Paper filers should skip this representation and should submit cards with their filing if required to do so.)



2. FINGERPRINT INFORMATION

Electronic Filing Representation

- By selecting this option, I represent that I am submitting, have submitted, or promptly will submit to the appropriate *SRO* a fingerprint card as required under applicable *SRO* rules; or

  Fingerprint card barcode _____
- By selecting this option, I represent that I have been employed continuously by the *filing firm* since the last submission of a fingerprint card to CRD and am not required to resubmit a fingerprint card at this time; or,
- By selecting this option, I represent that I have been employed continuously by the *filing firm* and my fingerprints have been processed by an *SRO* other than FINRA. I am submitting, have submitted, or promptly will submit the processed results for posting to CRD.

Exceptions to the Fingerprint Requirement

- By selecting one or more of the following two options, I affirm that I am exempt from the federal fingerprint requirement because I/*filing firm* currently satisfy(ies) the requirements of at least one of the permissive exemptions indicated below pursuant to Rule 17f-2 under the Securities Exchange Act of 1934, including any notice or application requirements specified therein:
  - ☐ Rule 17f-2(a)(1)(i)
  - ☐ Rule 17f-2(a)(1)(iii)

Investment Adviser Representative Only Applicants

- I affirm that I am applying only as an investment adviser representative and that I am not also applying or have not also applied with this *firm* to become a broker-dealer representative. If this radio button/box is selected, continue below.
  - I am applying for registration only in *jurisdictions* that do not have fingerprint card filing requirements, or
  - I am applying for registration in *jurisdictions* that have fingerprint card filing requirements and I am submitting, have submitted, or promptly will submit the appropriate fingerprint card directly to the *jurisdictions* for processing pursuant to applicable *jurisdiction* rules.

5.3.7.1 FingerprintInformation Example

<FingerprintInformation barCodeAvailCode="" barCodeExemption1IFlag="" barCodeExemption3IFlag="" IARSubOptionIndicator="" barCode="" positionInFirm="" />

5.3.7.2 FingerprintInformation Attributes

Name	Req.	Type	Length	Description
barCodeAvailCode	No	NMTOKEN	3-6	Fingerprint filing options PRVD- Electronic Filing Representation CNTND - Employed continuously with firm, not subject to new fingerprint requirement PRCSSD - Fingerprints Processed through another SRO EXMPT - Exceptions to the Fingerprint Requirement IAR - Investment Adviser Representative Only Applicants FFAPPL - Filing Firm fingerprint card information applies RR options: PRVD, CNTND, PRCSSD, EXMPT, FFAPPL RA option: IAR Allowed Values: **PRVD CNTND PRCSSD EXMPT IAR FFAPPL**
barCodeExemption1IFlag	No	string	1	Refer to SEC Rule 17f-2(a)(1)(i) Allowed Values: **Y N ""<empty string>**
barCodeExemption3IFlag	No	string	1	Refer to SEC Rule 17f-2(a)(1)(iii) Allowed Values: **Y N ""<empty string>**
IARSubOptionIndicator	No	string	1	Investment Adviser Representatives only Allowed Values: **Y N ""<empty string>** **Y**= I am applying for registration only in jurisdictions that do not have fingerprint card filing requirements , or **N** = I am applying for registration in jurisdictions that have fingerprint card filing requirements and I am submitting the appropriate fingerprint card directly to the

				jurisdictions for processing
barCode	No	string	10	The bar code as it appears on the individual's fingerprint card.
positionInFirm	No	string	128	Position that individual holds with the firm

5.3.7.3 Form Filing Processing Tips

5.3.7.3.1 Form U4

For a Form U4, the system will return an error if the following attributes are not present in the CRD system or submitted on the filing for the individual: barCodeAvailCode.
The system will return an error message if the barCodeAvailCode is 'IAR' and an RR registration exists or is requested with the filing firm.
The system will return an error message if the barCodeAvailCode is 'IAR' and IARSubOptionIndicator has no value.
The system will return an error message if the filing firm selects 'FFAPPL' in the barCodeAvailCode for the filing firm.
The system will return an error message if one of the RR fingerprint options is selected in the barCodeAvailCode and no RR registration exists or is being requested with the filing firm.
The system will return an error if one of the RR fingerprint options is selected in the barCodeAvailCode and the IARSubOptionIndicator has a value.
The system will return an error message if the barCodeAvailCode is 'EXMPT' and none of the barCodeExemption Flags are selected.
If barCodeAvailCode changes from 'EXMPT' to any other option, the system will require the previously selected barCodeExemption flag(s) to have an empty string.
The system will return an error message if the value submitted for the barCode attribute is a duplicate of an existing barcode in the CRD system.
If barCodeAvailCode changes from 'IAR' to any other option, the system will require the IARSubOptionIndicator to have an empty string.

5.3.7.3.2 Form U5

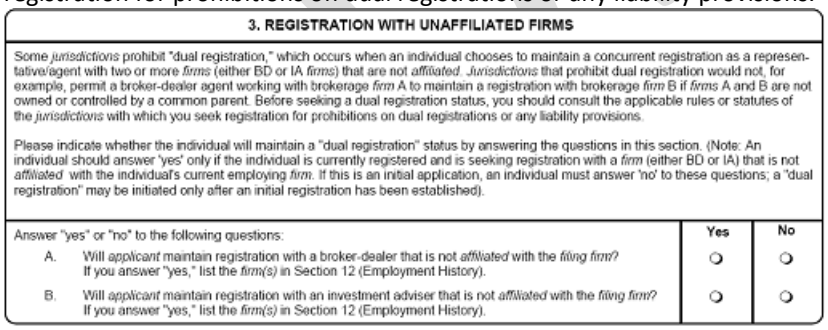
This section does not apply to Form U5.

5.3.7.3.3 Form NRF

The attributes barCodeAvailCode, barCodeExemption1IFlag , barCodeExemption3Iflag, and IARSubOptionIndicator do not apply to Form NRF. The attribute positionInFirm only applies to Form NRF. For Form NRF, the system will return an error if the following attributes are not present in the CRD system or submitted on the filing for the individual: positionInFirm.

5.3.8 Complex Type UnaffiliatedFirms

Registration with Unaffiliated Firms - Section 3 of Form U4 - Some jurisdictions prohibit dual registration, which occurs when an individual chooses to maintain a concurrent registration as a representative/agent with two or more firms (either BD or IA firms) that are not affiliated. Jurisdictions that prohibit dual registration would not, for example, permit a broker-dealer agent working with brokerage firm A to maintain a registration with brokerage firm B if firms A and B are not owned or controlled by a common parent. Before seeking a dual registration status, you should consult the applicable rules or statutes of the jurisdictions with which you seek registration for prohibitions on dual registrations or any liability provisions.



3. REGISTRATION WITH UNAFFILIATED FIRMS

Some *jurisdictions* prohibit "dual registration," which occurs when an individual chooses to maintain a concurrent registration as a representative/agent with two or more *firms* (either BD or IA *firms*) that are not *affiliated*. *Jurisdictions* that prohibit dual registration would not, for example, permit a broker-dealer agent working with brokerage *firm* A to maintain a registration with brokerage *firm* B if *firms* A and B are not owned or controlled by a common parent. Before seeking a dual registration status, you should consult the applicable rules or statutes of the *jurisdictions* with which you seek registration for prohibitions on dual registrations or any liability provisions.

Please indicate whether the individual will maintain a "dual registration" status by answering the questions in this section. (Note: An individual should answer 'yes' only if the individual is currently registered and is seeking registration with a *firm* (either BD or IA) that is not *affiliated* with the individual's current employing *firm*. If this is an initial application, an individual must answer 'no' to these questions; a "dual registration" may be initiated only after an initial registration has been established).

Answer "yes" or "no" to the following questions:	Yes	No
A. Will *applicant* maintain registration with a broker-dealer that is not *affiliated* with the *filing firm*? If you answer "yes," list the *firm(s)* in Section 12 (Employment History).	○	○
B. Will *applicant* maintain registration with an investment adviser that is not *affiliated* with the *filing firm*? If you answer "yes," list the *firm(s)* in Section 12 (Employment History).	○	○

5.3.8.1 UnaffiliatedFirms Example

<UnaffiliatedFirms bdDualRegistration="" iaDualRegistration="" />

5.3.8.2 UnaffiliatedFirms Attributes

Name	Req.	Type	Length	Description
bdDualRegistration	Yes	NMTOKEN	1	Applicant will maintain registration with a broker-dealer that is not affiliated with

				the filing firm. If you answer yes, list the firm(s) in Section 12 (EMPLOYMENT HISTORY). Allowed Values: **Y N**
iaDualRegistration	Yes	NMTOKEN	1	Applicant will maintain registration with an investment adviser that is not affiliated with the filing firm. If you answer yes, list the firm(s) in Section 12 (EMPLOYMENT HISTORY). Allowed Values: **Y N**

5.3.8.3 Form Filing Processing Tips

5.3.8.3.1 Form U4

For a Form U4, the system will return an error if the following attributes are not present in the CRD system or submitted on the filing for the individual: bdDualRegistration and iaDualRegistration.

5.3.8.3.2 Form U5

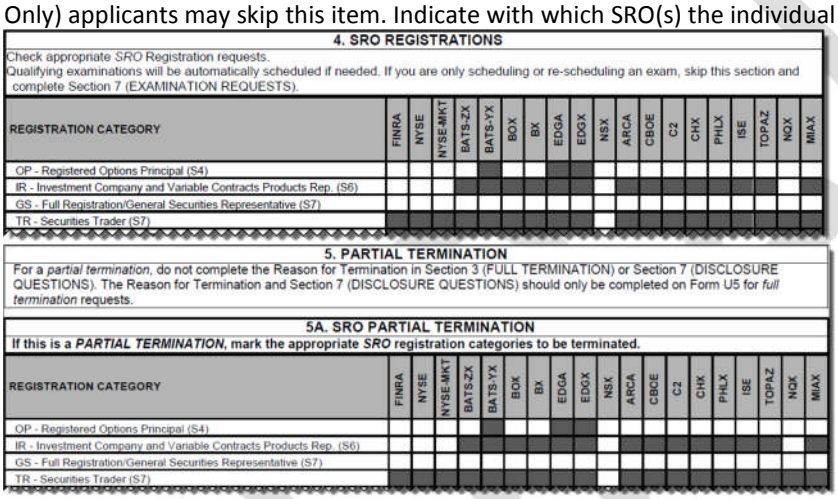
This section does not apply to Form U5.

5.3.8.3.3 Form NRF

This section does not apply to Form NRF.

5.3.9 Complex Type SROs

SRO Registration/Termination Requests. Section #4 of Form U4, section #5A of Form U5. Investment Adviser Representative Only (RA Only) applicants may skip this item. Indicate with which SRO(s) the individual seeks to register or terminate.



4. SRO REGISTRATIONS

Check appropriate *SRO* Registration requests.
Qualifying examinations will be automatically scheduled if needed. If you are only scheduling or re-scheduling an exam, skip this section and complete Section 7 (EXAMINATION REQUESTS).

REGISTRATION CATEGORY	FINRA	NYSE	NYSE-MKT	BATS-ZX	BATS-YX	BOX	BX	EDGA	EDGX	NSX	ARCA	CBOE	C2	CHX	PHLX	ISE	TOPAZ	NQX	MIAX
OP - Registered Options Principal (S4)																			
IR - Investment Company and Variable Contracts Products Rep. (S6)																			
GS - Full Registration/General Securities Representative (S7)																			
TR - Securities Trader (S7)																			

5. PARTIAL TERMINATION

For a *partial termination*, do not complete the Reason for Termination in Section 3 (FULL TERMINATION) or Section 7 (DISCLOSURE QUESTIONS). The Reason for Termination and Section 7 (DISCLOSURE QUESTIONS) should only be completed on Form U5 for *full termination* requests.

5A. SRO PARTIAL TERMINATION

If this is a *PARTIAL TERMINATION*, mark the appropriate *SRO* registration categories to be terminated.

REGISTRATION CATEGORY	FINRA	NYSE	NYSE-MKT	BATS-ZX	BATS-YX	BOX	BX	EDGA	EDGX	NSX	ARCA	CBOE	C2	CHX	PHLX	ISE	TOPAZ	NQX	MIAX
OP - Registered Options Principal (S4)																			
IR - Investment Company and Variable Contracts Products Rep. (S6)																			
GS - Full Registration/General Securities Representative (S7)																			
TR - Securities Trader (S7)																			

The following are valid FINRA registration categories: OP, IR, GS, SU, AR, IE, DR, GP, IP, FA, FN, FI, RS, RP, DP, OR, MR, MP, CS, RG, PG, PR, CD, CN, ET, IF, SA, IB, OS and FP.
The following are valid NYSE registration categories: OP, IF, IR, GS, BM, SM, IE, DR, MR, SA, CD, CN, IF, AP, LE, LS, ME, FE, PM, PC, RS, SC, TA, CO, CF, GP, FN, FI, IP, DP, MP, CS, ET, and PR.
The following are valid NYSE-MKT registration categories: OP, GP, DP, IP, MP, LS, IR, DR, MR, GS, CS, BM, IE, CN, CD, LE, AM, ET, AP, ME, SA, PR, SC, FE, PM, FN, PC, AF, AO, OT, CF, CO, IF, RS, SM, TA, FI, AC, and PT.
The following is a valid BATS-ZX registration category: OP, GS, GP, FN, CD, CN, MT, IE, and PT.
The following is a valid BATS-YX registration category: GS, IE, GP, FN, CD, CN, MT, and PT.
The following is a valid BOX registration category: GS, IE, OR, GP, FN, CD, CN, OP, SU, FE, AP, ME, PT, and TP.
The following are valid BX registration categories: OP, GS, SU, AP, GP, FN, OR, ME, FE, IE, PT, and TP.
The following is a valid EDGA registration category: GS, GP, FN, SU, IE, CD, CN, MT, and PT.
The following is a valid EDGX registration category: GS, GP, FN, SU, IE, CD, CN, MT, and PT.
The following are valid NSX registration categories: OP, IR, GS, TR, TS, SU, AR, DR, GP, IP, FN, FI, DP, MR, MP, CS, ET, ME, FE, and PT.
The following are valid ARCA registration categories: OP, GS, GP, FN, AM, SU, CD, CN, MM, FB, IE, OT, MT, AP, FE, and PT.
The following are valid CBOE registration categories: OP, GS, SU, IE, FN, CD, CN, AP, CT PT, and TP.
The following are valid C2 registration categories: OP, GS, SU, IE, FN, CD, CN, AP, CT, PT, and TP.
The following are valid CHX registration categories: OP, GS, SU, AR, DR, GP, FN, FI, DP, OR, MR, MP, CS, ME, and PT.
The following are valid PHLX registration categories: OP, GS, SU, AP, IE, GP, FN, ME, FE, PT, and TP.
The following are valid ISE registration categories: OP, GS, BM, AP, CO, GP, CT, PT, TP, and FN.

The following are valid NQX registration categories: OP, IR, GS, SU, AP, AR, IE, GP, IP, FN, FI, OR, CS, CD, CN, ET, PT, and TP.
The following is a valid MIAX registration category: OP, GS, SU, GP, FN, FI, AP, ME, CO, CT, PT, and TP.
The following are valid GEMINI registration categories: OP, GS, BM, AP, CO, GP, CT, PT, TP, and FN.

5.3.9.1 SROs Example

<SROs>
<SRO sroRequested="" registrationCategory="" />
</SROs>

5.3.9.2 SROs Attributes

Name	Req.	Type	Length	Description
sroRequested	Yes	NMTOKEN	1-8	Allowed Values: **FINRA NYSE NYSE-MKT BATS-ZX BATS-YX BOX MIAX BX EDGA EDGX NSX ARCA C2 CBOE CHX PHLX ISE NQX GEMINI**
registrationCategory	Yes	NMTOKEN	2	Allowed Values: **OP IR GS TR TS SU BM SM AR IE DR GP IP FA FN FI DP OR MR MP CS RG PG SA PR CD CN IF ET AM AP LE LS ME FE CO CF PM PC SC TA IF FP RS RP MM FB OT MT IB AF AO AC CT PT TP OS**

5.3.9.3 Form Filing Processing Tips

5.3.9.3.1 Form U4

If a State AG position is requested, the system will return an error message if there is not one FINRA SRO registration in the CRD system or submitted on the filing for the individual.
If an invalid combination of regulator/registration category is requested, the system will return an error message.
If attribute sroRequested or registrationCategory is blank, the system will return an error message.

5.3.9.3.2 Form U5

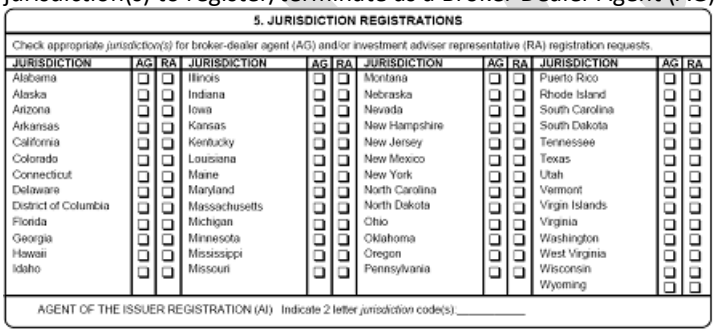
For a Partial U5, the system shall return an error message if at least one SRO or Jurisdiction registration is not provided for termination.
If an invalid combination of regulator/registration category is requested for termination is requested, the system will return an error message.
If attribute sroRequested or registrationCategory is blank, the system will return an error message.

5.3.9.3.3 Form NRF

This section does not apply to Form NRF.

5.3.10 Complex Type Jurisdictions

Jurisdiction Registration - Section #5 of Form U4 or Jurisdiction Partial Termination - Section 6B of Form U5. The appropriate jurisdiction(s) to register/terminate as a Broker Dealer Agent (AG) and/or Investment Adviser Representative (RA).



5. JURISDICTION REGISTRATIONS

Check appropriate *jurisdiction(s)* for broker-dealer agent (AG) and/or investment adviser representative (RA) registration requests.

JURISDICTION	AG	RA	JURISDICTION	AG	RA	JURISDICTION	AG	RA	JURISDICTION	AG	RA
Alabama	☐	☐	Illinois	☐	☐	Montana	☐	☐	Puerto Rico	☐	☐
Alaska	☐	☐	Indiana	☐	☐	Nebraska	☐	☐	Rhode Island	☐	☐
Arizona	☐	☐	Iowa	☐	☐	Nevada	☐	☐	South Carolina	☐	☐
Arkansas	☐	☐	Kansas	☐	☐	New Hampshire	☐	☐	South Dakota	☐	☐
California	☐	☐	Kentucky	☐	☐	New Jersey	☐	☐	Tennessee	☐	☐
Colorado	☐	☐	Louisiana	☐	☐	New Mexico	☐	☐	Texas	☐	☐
Connecticut	☐	☐	Maine	☐	☐	New York	☐	☐	Utah	☐	☐
Delaware	☐	☐	Maryland	☐	☐	North Carolina	☐	☐	Vermont	☐	☐
District of Columbia	☐	☐	Massachusetts	☐	☐	North Dakota	☐	☐	Virgin Islands	☐	☐
Florida	☐	☐	Michigan	☐	☐	Ohio	☐	☐	Virginia	☐	☐
Georgia	☐	☐	Minnesota	☐	☐	Oklahoma	☐	☐	Washington	☐	☐
Hawaii	☐	☐	Mississippi	☐	☐	Oregon	☐	☐	West Virginia	☐	☐
Idaho	☐	☐	Missouri	☐	☐	Pennsylvania	☐	☐	Wisconsin	☐	☐
									Wyoming	☐	☐

AGENT OF THE ISSUER REGISTRATION (AI) Indicate 2 letter *jurisdiction* code(s) _____

5.3.10.1 Jurisdictions Example

<Jurisdictions> <Jurisdiction jurisdictionRequested="" registrationCategory="" /> </Jurisdictions>

5.3.10.2 Jurisdictions Attributes

Name	Req.	Type	Length	Description
jurisdictionRequested	Yes	stateCode		Name of jursidiction to register as Broker Dealer Agent (AG) and/or Investment

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		Type		Advisor Representative (RA). Allowed Values: **AL AK AZ AR CA CO CT DE DC FL GA HI ID IL IN IA KS KY LA MA MD MI MN MS MO MT NE NV NH NJ NM NY NC ND OH OK OR PA PR RI SC SD TN TX UT VT VA VI WA WV WI WY**
registrationCategory	Yes	NMTOKEN	2	The type of registration you are seeking: Broker Dealer Agent (AG) and/or Investment Adviser Representative (RA). Select the appropriate jurisdiction(s) to register as a Broker Dealer Agent (AG) and/or Investment Adviser Representative (RA). Allowed Values: **AG RA**

5.3.10.3 Form Filing Processing Tips

5.3.10.3.1 Form U4

For a Form U4, the system shall return an error message if an AG position is requested with a state, and the individual does not have or is not requesting a FINRA registration with the same firm. The system shall return an error message if an RA position is requested for NY.
If an invalid combination of regulator/registration category is requested, the system will return an error message.
If attribute jurisdictionRequested or registrationCategory is blank, the system will return an error message.

5.3.10.3.2 Form U5

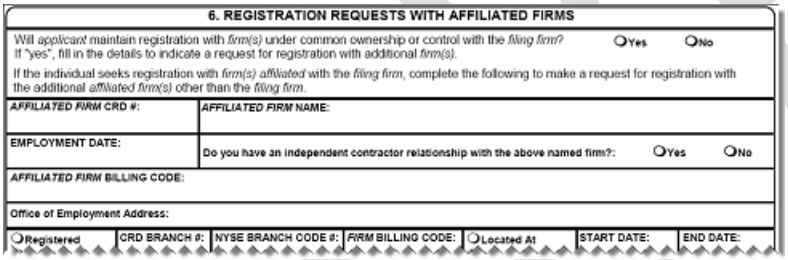
For a Partial U5, the system shall return an error message if at least one SRO or Jurisdiction registration is not provided for termination.
If an invalid combination of regulator/registration category is requested for termination, the system will return an error message.
If attribute jurisdictionRequested or registrationCategory is blank, the system will return an error message.

5.3.10.3.3 Form NRF

This section does not apply to Form NRF.

5.3.11 Complex Type AffiliatedFirms

Affiliated Firms - U4 - Section #6 - If the individual seeks registration with firm(s) affiliated with the filing firm, complete the following to make a request for registration with the additional affiliated firm(s). Note: the presence of an Affiliated Firms node implies the 'Yes' checkbox depicted below has been checked. If an Affiliated Firms node does not exist it is implied that the 'No' checkbox has been checked.



6. REGISTRATION REQUESTS WITH AFFILIATED FIRMS

Will *applicant* maintain registration with *firm(s)* under common ownership or control with the *filing firm*? ○Yes ○No
If "yes", fill in the details to indicate a request for registration with additional *firm(s)*.

If the individual seeks registration with *firm(s) affiliated* with the *filing firm*, complete the following to make a request for registration with the additional *affiliated firm(s)* other than the *filing firm*.

AFFILIATED FIRM CRD #:	*AFFILIATED FIRM* NAME:
EMPLOYMENT DATE:	Do you have an independent contractor relationship with the above named firm?: ○Yes ○No
AFFILIATED FIRM BILLING CODE:	
Office of Employment Address:	

○Registered	CRD BRANCH #:	NYSE BRANCH CODE #:	*FIRM* BILLING CODE:	○Located At	START DATE:	END DATE:

5.3.11.1 AffiliatedFirms Example

```
<AffiliatedFirms>
<AffiliatedFirm firmCRDNumber="" firmBillingCode="" employmentDate="" maintainSRORegistration="" indpntContractor="" >
<RegisteredBranch ... />
<NonRegisteredBranch ... />
<SROs ... />
<Jurisdictions ... />
<FingerprintInformation ... />
</AffiliatedFirm>
</AffiliatedFirms>
```

5.3.11.2 AffiliatedFirms Referenced Complex Types

Name	Minimum Allowed	Maximum Allowed
RegisteredBranch	0	unbounded
NonRegisteredBranch	0	unbounded

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SROs	0	1
Jurisdictions	0	1
FingerprintInformation	0	1

5.3.11.3 AffiliatedFirms Attributes

Name	Req.	Type	Length	Description
firmCRDNumber	Yes	integer	1-8	The affiliated firm's CRD Number.
firmBillingCode	No	string	8	Enter your firm's billing code. A billing code is an alpha/numeric value consisting of up to eight characters that your firm has established. If your firm does not use billing codes, leave this field blank.
employmentDate	No	date		Enter the month, day, and year of hire by the affiliated firm. Do not enter the date of application for registration. (YYYY-MM-DD).
maintainSRORegistration	No	NMTOKEN	1	This field indicates that you wish to register with the same SROs and jurisdictions that you registered with for association with the filing firm. Allowed Values: **Y N**
indpntContractor	No	NMTOKEN	1	Indicates if the individual is an independent contractor Allowed Values: **Y N**

5.3.11.4 Form Filing Processing Tips

5.3.11.4.1 Form U4

For a Form U4, the system will return an error if the following attributes are not present in the CRD system or submitted on the filing for the individual: firmCRDNumber, employmentDate. For a Form U4, the system will return an error if the individual already has an active employment and the affiliated firm is being added to the individual's record. The system shall return an error message if there is not at least one SRO or jurisdiction registration for the affiliated firm with the individual. The system shall return an error message if the affiliated firm is not listed as a bank or business affiliate on the filing firm's BD form, or an advisory affiliated listed on the filing firm's ADV form.
To submit a U4 filing for affiliated firms, the Complex Type (Affiliated Firm) section must be submitted listing the affiliated firm. If the individual will be applying for the same set of registrations with affiliated firm as requested with the firm listing in the General Information section, the maintainSRORegistrations attribute should be set to 'Y'. If the individual will be requesting a different set of registrations with the affiliate firm, the maintainSRORegistrations attribute should be set to 'N' and a Complex Type (SROs) and/or Complex Type (Jurisdictions) sections should be submitted for the affiliated firm.

5.3.11.4.2 Form U5

The attributes employmentDate and maintainSRORegistrations do not apply to Form U5.
To submit a Full U5 filing for an affiliated firm terminating all registrations with the affiliated firm in addition to the firm listed in General Information section, the Complex Type (Affiliated Firm) section must be submitted listing the affiliated firm.
To submit a Partial U5 filing for an affiliated firm terminating selected registrations with the affiliated firm, the Complex Type (Affiliated Firm) section must be submitted listing the affiliated firm, and the Complex Type (SROs) and/or Complex Type (Jurisdictions) section should be submitted for the affiliated firm listing the registrations that are requested to be terminated.

5.3.11.4.3 Form NRF

This section does not apply to Form NRF.

5.3.12 Complex Type ExamRequests

Exam Requests - U4 - Section #7 - This section is for scheduling or rescheduling an examination or continuing education session. Do not select the Series 63 or 65 examinations in this section if you have completed Section 5 (JURISDICTION REGISTRATION) and have selected registration in a jurisdiction. If you have completed Section 5 (JURISDICTION REGISTRATION), and requested a Broker Dealer Agent (AG) registration in a jurisdiction that requires that you pass the Series 63 examination, a Series 63 examination will be automatically scheduled for you upon submission of this Form U4. If you have completed Section 5 (JURISDICTION REGISTRATION), and requested an Investment Adviser Representative (RA) registration in a jurisdiction that requires that you pass the Series 65 examination, a Series 65 examination will be automatically scheduled for you upon submission of this Form U4.

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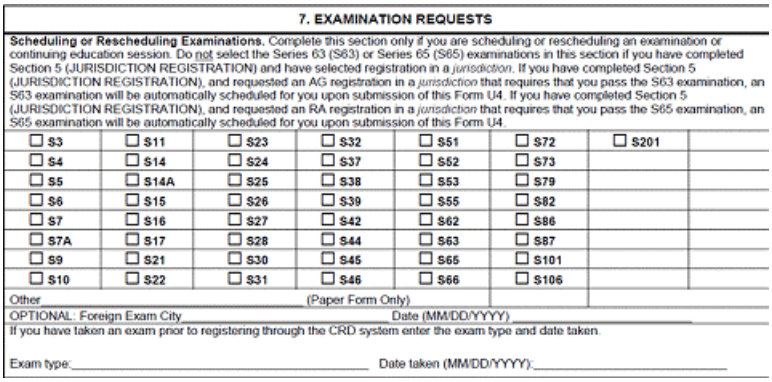


7. EXAMINATION REQUESTS

Scheduling or Rescheduling Examinations. Complete this section only if you are scheduling or rescheduling an examination or continuing education session. Do not select the Series 63 (S63) or Series 65 (S65) examinations in this section if you have completed Section 5 (JURISDICTION REGISTRATION) and have selected registration in a *jurisdiction*. If you have completed Section 5 (JURISDICTION REGISTRATION), and requested an AG registration in a *jurisdiction* that requires that you pass the S63 examination, an S63 examination will be automatically scheduled for you upon submission of this Form U4. If you have completed Section 5 (JURISDICTION REGISTRATION), and requested an RA registration in a *jurisdiction* that requires that you pass the S65 examination, an S65 examination will be automatically scheduled for you upon submission of this Form U4.

☐ S3	☐ S11	☐ S23	☐ S32	☐ S51	☐ S72	☐ S201	
☐ S4	☐ S14	☐ S24	☐ S37	☐ S52	☐ S73		
☐ S5	☐ S14A	☐ S25	☐ S38	☐ S53	☐ S79		
☐ S6	☐ S15	☐ S26	☐ S39	☐ S55	☐ S82		
☐ S7	☐ S16	☐ S27	☐ S42	☐ S62	☐ S86		
☐ S7A	☐ S17	☐ S28	☐ S44	☐ S63	☐ S87		
☐ S9	☐ S21	☐ S30	☐ S45	☐ S65	☐ S101		
☐ S10	☐ S22	☐ S31	☐ S46	☐ S66	☐ S106		

Other _____ (Paper Form Only)

OPTIONAL: Foreign Exam City _____ Date (MM/DD/YYYY) _____

If you have taken an exam prior to registering through the CRD system enter the exam type and date taken.

Exam type:_____ Date taken (MM/DD/YYYY):_____

5.3.12.1 ExamRequests Example

<ExamRequests priorExamCode="" priorExamDate="" >
<ExamRequest examCode="" />
</ExamRequests>

5.3.12.2 ExamRequests Attributes

Name	Req.	Type	Length	Description
examCode	Yes	string	4	Code representing the exam being requested Allowed Values: **S3 S4 S6 S7 S9 S10 S11 S14 S16 S17 S22 S23 S24 S26 S27 S28 S30 S31 S32 S37 S38 S39 S42 S51 S52 S53 S55 S56 S62 S63 S65 S66 S72 S79 S82 S86 S87 S99 S101 S106 S201 S501 S901**
priorExamCode	No	string	4	Exam type taken prior to registering through the CRD system. Allowed Values: **S3 S4 S5 S6 S7 S9 S10 S11 S12 S14 S15 S16 S17 S22 S23 S24 S26 S27 S28 S30 S31 S32 S33 S37 S38 S39 S42 S44 S45 S46 S51 S52 S53 S55 S56 S62 S63 S65 S66 S72 S79 S82 S86 S87 S99 S101 S106 S201 S501 S901**
priorExamDate	No	date		Date of exam taken prior to registering through the CRD system. (YYYY-MM-DD).

5.3.12.3 Form Filing Processing Tips

5.3.12.3.1 Form U4

Use this section to request exams. Note, if the system determines that an exam is needed for a requested position, the system will open an exam window automatically for the exam and therefore, that exam does not need to be requested through this section.

5.3.12.3.2 Form U5

This section does not apply to Form U5.

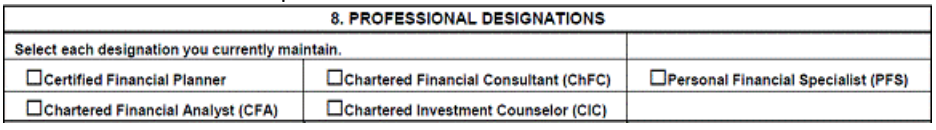
5.3.12.3.3 Form NRF

This section does not apply to Form NRF.

5.3.13 Complex Type Designations

Designations - U4 - Section #8 - Use this section to add and delete designations. If you maintain one or more of the designations listed in Section 8 (PROFESSIONAL DESIGNATIONS), you may be eligible for a waiver from the examination(s) required to become an Investment Adviser Representative (RA). Refer to the UNIFORM FORM REFERENCE GUIDE for additional information about designations. Note: This section is optional unless you are seeking a waiver from the examination(s) required to become an Investment Adviser Representative (RA).

Professional Designations:
CFP = Certified Financial Planner
ChFC = Chartered Financial Consultant (ChFC)
CFA = Chartered Financial Analyst
CIC = Chartered Investment Counselor
PFS = Personal Financial Specialist.



8. PROFESSIONAL DESIGNATIONS

Select each designation you currently maintain.

☐Certified Financial Planner	☐Chartered Financial Consultant (ChFC)	☐Personal Financial Specialist (PFS)
☐Chartered Financial Analyst (CFA)	☐Chartered Investment Counselor (CIC)	

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5.3.13.1 Designations Example

<Designations>
<Designation code="" requested=""/>
</Designations>

5.3.13.2 Designations Referenced Complex Types

Name	Minimum Allowed	Maximum Allowed
Designation	0	5

5.3.13.3 Designations Attributes

Name	Req.	Type	Length	Description
Code	Yes	NMTOKEN	3-4	Code representing the designation. Allowed Values: **CFP ChFC CFA CIC PFS**
requested	Yes	NMTOKEN	1	Flag representing the action: Y-Designation is being requested N-Designation is being removed

5.3.13.4 Form Filing Processing Tips

5.3.13.4.1 Form U4

For a Form U4, when adding a designation the system will return an error if the code attribute and requested attribute with a value of 'Y' are not completed. To remove a designation the requested attribute should be submitted with a Value of 'N'.
The system shall return an error message if a designation is submitted and the individual is not requesting or does not hold RA registrations.

5.3.13.4.2 Form U5

This section does not apply to Form U5.

5.3.13.4.3 Form NRF

This section does not apply to Form NRF.

5.3.14 Complex Type IdentifyingInformation

Identifying Information - U4 - Section #9 - This section will contain the individual's identifying information. If the individual's name has changed, enter the new name.

9. IDENTIFYING INFORMATION/NAME CHANGE

FIRST NAME:	MIDDLE NAME:		LAST NAME:	SUFFIX:
DATE OF BIRTH (MM/DD/YYYY):	STATE/PROVINCE OF BIRTH:		COUNTRY OF BIRTH:	SEX: ○Male ○Female
HEIGHT (FT):	HEIGHT (IN):	WEIGHT (LBS):	HAIR COLOR:	EYE COLOR:

5.3.14.1 IdentifyingInformation Example

<IdentifyingInformation dateOfBirth="" stateProvinceOfBirth="" countryOfBirth="" gender="" weight="" hairColor="" eyeColor="" >
<Name ... />
<Height ... />
</IdentifyingInformation>

5.3.14.2 IdentifyingInformation Referenced Complex Types

Name	Minimum Allowed	Maximum Allowed
Name	0	1
Height	0	1

5.3.14.3 IdentifyingInformation Attributes

Name	Req.	Type	Length	Description
dateOfBirth	No	date		Individual's Date of Birth (YYYY-MM-DD).

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stateProvinceOfBirth	No	string	40	Individual's State/Province of Birth
countryOfBirth	No	string	50	Individual's Country of Birth
gender	No	NMTOKEN	1	Individual's gender Allowed Values: **M F**
weight	No	short		Individual's weight in pounds.
hairColor	No	NMTOKEN	3	Individual's hair color. Code references are as follows: BAL - Bald, BLK - Black, BLN - Blond or Strawberry, BRO - Brown, GRY - Gray or Partially Gray, RED - Red or Auburn, SDY - Sandy, WHI - White, BLU - Blue, GRN - Green, ONG - Orange, PNK - Pink, PLE - Purple Allowed Value: **BAL BLK BLN BRO GRY RED SDY WHI BLU GRN ONG PNK PLE**
eyeColor	No	NMTOKEN	3	Individual's eye color. Code references are as follows: BLK - Black, BLU - Blue, BRO - Brown, GRY - Gray, GRN - Green, HAZ - Hazel, MAR - Maroon, MUL - Multicolored, PNK - Pink Allowed Values: **BLK BLU BRO GRY GRN HAZ MAR MUL PNK**

5.3.14.4 Form Filing Processing Tips

5.3.14.4.1 Form U4

For a Form U4, the system will return an error if the following attributes are not present in the CRD system or submitted on the filing for the individual: dateOfBirth, gender, weight, height, hairColor, eyeColor, and either stateProvinceOfBirth or countryOfBirth. Attribute countryOfBirth is a free-form text entry.

5.3.14.4.2 Form U5

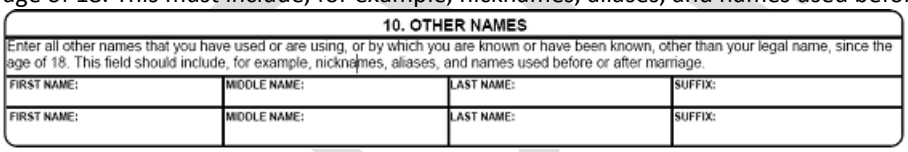
This section does not apply to Form U5.

5.3.14.4.3 Form NRF

For Form NRF, the system will return an error if the following attributes are not present in the CRD system or submitted on the filing for the individual: dateOfBirth, gender, weight, hairColor, eyeColor, and either stateProvinceOfBirth or countryOfBirth.
To change an individual's legal name, submit the name change using the Complex Type (Name) in the Identifying Information section.
Attribute countryOfBirth is a free-form text entry.

5.3.15 Complex Type OtherNames

Other names that you have used or are using, or by which you are known or have been known, other than your legal name, since the age of 18. This must include, for example, nicknames, aliases, and names used before or after marriage.



10. OTHER NAMES

Enter all other names that you have used or are using, or by which you are known or have been known, other than your legal name, since the age of 18. This field should include, for example, nicknames, aliases, and names used before or after marriage.

FIRST NAME:	MIDDLE NAME:	LAST NAME:	SUFFIX:
FIRST NAME:	MIDDLE NAME:	LAST NAME:	SUFFIX:

5.3.15.1 OtherNames Example

<OtherNames >
<Name ... />
</OtherNames>

5.3.15.2 OtherNames Referenced Complex Types

Name	Minimum Allowed	Maximum Allowed
Name	1	unbounded

5.3.15.3 Form Filing Processing Tips

5.3.15.3.1 Form U4

Use this section to list all other names used by the individual (aliases, maiden name, etc.).

5.3.15.3.2 Form U5

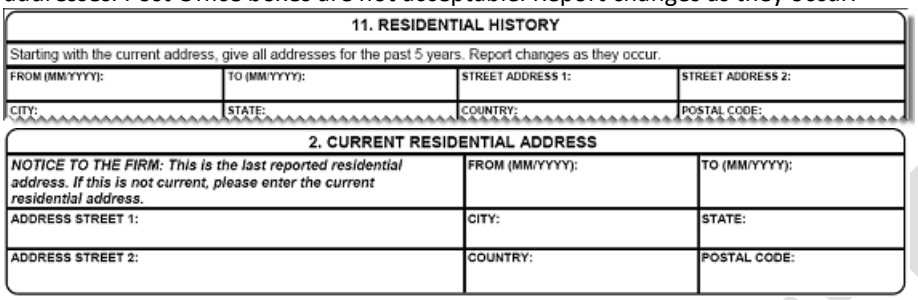
This section does not apply to Form U5.

5.3.15.3.3 Form NRF

Use this section to list all other names used by the individual (aliases, maiden name, etc.).

5.3.16 Complex Type ResidentialHistories

Provide the individual's residential addresses for the past five (5) years. Leave no gaps greater than three (3) months between addresses. Post Office boxes are not acceptable. Report changes as they occur.



11. RESIDENTIAL HISTORY			
Starting with the current address, give all addresses for the past 5 years. Report changes as they occur.			
FROM (MM/YYYY):	TO (MM/YYYY):	STREET ADDRESS 1:	STREET ADDRESS 2:
CITY:	STATE:	COUNTRY:	POSTAL CODE:

2. CURRENT RESIDENTIAL ADDRESS		
NOTICE TO THE FIRM: This is the last reported residential address. If this is not current, please enter the current residential address.	FROM (MM/YYYY):	TO (MM/YYYY):
ADDRESS STREET 1:	CITY:	STATE:
ADDRESS STREET 2:	COUNTRY:	POSTAL CODE:

5.3.16.1 ResidentialHistories Example

<ResidentialHistories > <ResidentialHistory seqNum="" mode="">
<Address ... />
<DateRange ... /> <ResidentialHistory>
</ResidentialHistories>

5.3.16.2 ResidentialHistories Referenced Complex Types

Name	Minimum Allowed	Maximum Allowed
Address	1	1
DateRange	1	1

5.3.16.3 ResidentialHistories Attributes

Name	Req.	Type	Length	Description
seqNum	No	integer		Uniquely identifies ResidentialHistories record in a list provided
mode	No	string	1	An indication that the information is being deleted. D=Delete. Allowed Value: **D**

5.3.16.4 Form Filing Processing Tips

5.3.16.4.1 Form U4

For a Form U4, the system will return an error if the individual's record does not list five years of residential history without any gaps longer than 3 months. At least one address on the U4 form must be a present address. Leave the To date blank to indicate a 'present' address. Use the seqNum from the Individual Information Report to denote changes to current addresses. Note, if the seqNum is blank, the system will assume that the address is a new address and will create a new record for the address populating the seqNum field with a new value.
For Complex Type Address, use attribute country which is a free-form text entry. If attribute country_nm is used, the system will ignore the attribute.
The system will return an error message if the fromDate is a future date.
The system will return an error message if the toDate is a future date.

5.3.16.4.2 Form U5

For Form U5, the system will require a current address, unless the Reason for Termination is 'Deceased.' The system will return an error if the following attributes are not present in the CRD system or submitted on the filing for the individual: seqNum. Use the seqNum from the Individual Information Report to denote changes to current addresses. Note, if the seqNum is blank, the system will assume that the address is a new address and will create a new record for the address populating the seqNum field with a new value.

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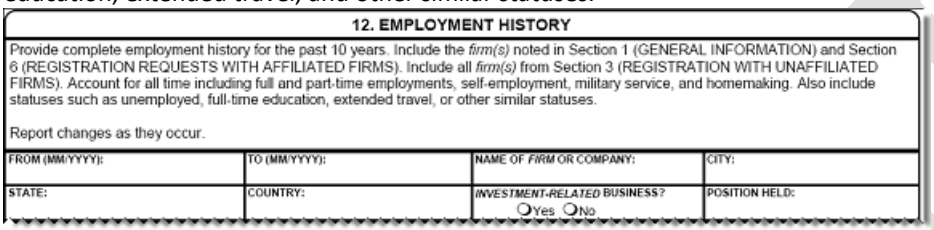
For Complex Type Address, use attribute country which is a free-form text entry. If attribute country_nm is used, the system will ignore the attribute.
The system will return an error message if the fromDate is a future date.
The system will return an error message if the toDate is a future date.

5.3.16.4.3 Form NRF

This section does not apply to Form NRF.

5.3.17 Complex Type EmploymentHistories

Employment Histories - U4 - Section #12 - This section identifies the individual's employment and personal history for the past ten (10) years. Leave no gaps greater than three (3) months between entries. All entries must include the beginning and end dates of employment. Include in your response the firm named in Section 1 (GENERAL INFORMATION); the firm(s) named in Section 3 (REGISTRATION WITH UNAFFILIATED FIRMS); and the firm(s) named in Section 6 (REGISTRATION REQUESTS WITH AFFILIATED FIRMS). Account for full-time and part-time employment, self-employment, military service, and homemaking. Include unemployment, full-time education, extended travel, and other similar statuses.



12. EMPLOYMENT HISTORY

Provide complete employment history for the past 10 years. Include the *firm(s)* noted in Section 1 (GENERAL INFORMATION) and Section 6 (REGISTRATION REQUESTS WITH AFFILIATED FIRMS). Include all *firm(s)* from Section 3 (REGISTRATION WITH UNAFFILIATED FIRMS). Account for all time including full and part-time employments, self-employment, military service, and homemaking. Also include statuses such as unemployed, full-time education, extended travel, or other similar statuses.

Report changes as they occur.

FROM (MM/YYYY):	TO (MM/YYYY):	NAME OF *FIRM* OR COMPANY:	CITY:
STATE:	COUNTRY:	*INVESTMENT-RELATED* BUSINESS? ○Yes ○No	POSITION HELD:

5.3.17.1 EmploymentHistories Example

<EmploymentHistories>
<EmploymentHistory seqNum="" name="" city="" state="" country="" investmentRelatedBusiness="" positionHeld="" mode="" >
<DateRange ... />
</EmploymentHistory></EmploymentHistories>

5.3.17.2 EmploymentHistories Referenced Complex Types

Name	Minimum Allowed	Maximum Allowed
DateRange	1	1

5.3.17.3 EmploymentHistories Attributes

Name	Req.	Type	Length	Description
seqNum	No	integer		Uniquely identifies EmploymentHistories record in a list provided
name	No	string	64	Enter the name of the employing firm or company for this position.
city	No	string	50	Enter the name of the city where you are/were employed in this position.
state	No	string	2	Enter the name of the state where you are/were employed in this position. Paper filers should enter the two-character state identification.
country	No	string	50	Enter the name of the country where you are/were employed in this position.
investmentRelatedBusiness	Yes	NMTOKEN	1	Indicates whether the employer is or was an investment-related business at the time of your employment, regardless of the position that you hold or held at the time of employment. Allowed Values: **Y N**
positionHeld	No	string	512	Enter your last title or position held with this employer.
mode	No	string	1	An indication that the information is being deleted. D=Delete. Allowed Value: **D**

5.3.17.4 Form Filing Processing Tips

5.3.17.4.1 Form U4

For a Form U4, the system will return an error if the individual's record does not list ten years of employment history without any gaps longer than 3 months. At least one employment on the U4 form must be a present employment. Leave the To date blank to indicate a

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'present' employment. The system will return an error if the following attributes are not present in the CRD system or submitted on the filing for the individual: name, city, state or country, investmentRelatedBusiness, positionHeld, and seqNum. Use the seqNum from the Individual Information Report to denote changes to current employments. Note, if the seqNum is blank, the system will assume that the employment is a new employment and will create a new record for the employment populating the seqNum field with a new value. Attribute country is a free-form text entry.
The system will return an error message if the fromDate is a future date.
The system will return an error message if the toDate is a future date.

5.3.17.4.2 Form U5

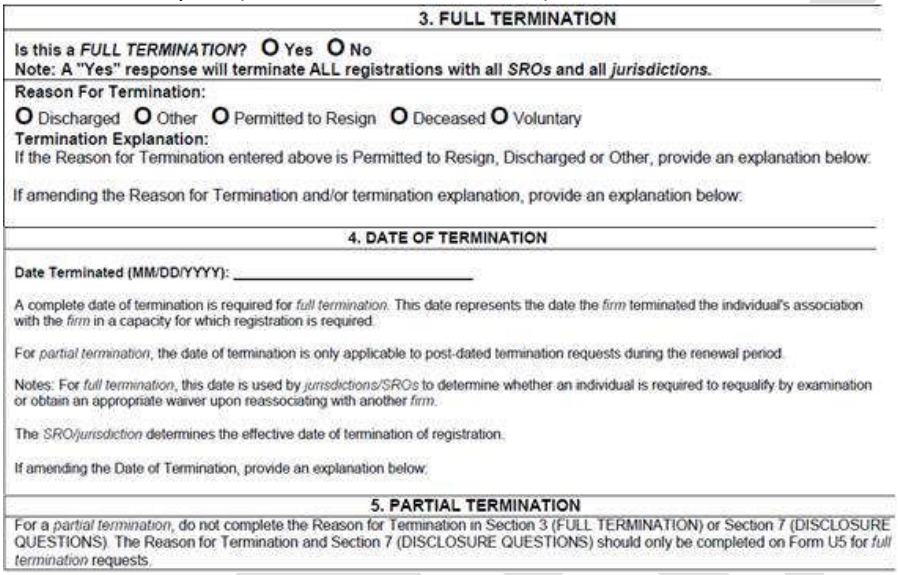
This section does not apply to Form U5.

5.3.17.4.3 Form NRF

This section does not apply to Form NRF.

5.3.18 Complex Type TerminationRequest

Termination Request (Full, Partial, or Amendment)



3. FULL TERMINATION

Is this a *FULL TERMINATION*? O **Yes** O **No**
Note: A "Yes" response will terminate ALL registrations with all *SROs* and all *jurisdictions*.

Reason For Termination:

O Discharged O Other O Permitted to Resign O Deceased O Voluntary

Termination Explanation:
If the Reason for Termination entered above is Permitted to Resign, Discharged or Other, provide an explanation below:

If amending the Reason for Termination and/or termination explanation, provide an explanation below:

4. DATE OF TERMINATION

Date Terminated (MM/DD/YYYY): _____

A complete date of termination is required for *full termination*. This date represents the date the *firm* terminated the individual's association with the *firm* in a capacity for which registration is required.

For *partial termination*, the date of termination is only applicable to post-dated termination requests during the renewal period.

Notes: For *full termination*, this date is used by *jurisdictions/SROs* to determine whether an individual is required to requalify by examination or obtain an appropriate waiver upon reassociating with another *firm*.

The *SRO/jurisdiction* determines the effective date of termination of registration.

If amending the Date of Termination, provide an explanation below:

5. PARTIAL TERMINATION

For a *partial termination*, do not complete the Reason for Termination in Section 3 (FULL TERMINATION) or Section 7 (DISCLOSURE QUESTIONS). The Reason for Termination and Section 7 (DISCLOSURE QUESTIONS) should only be completed on Form U5 for *full termination* requests.

5.3.18.1 TerminationRequest Example

<TerminationRequest fullTermination="" reasonForTermination="" terminationDate="" explanation="" terminationAmendmentExplanation="" terminationDateAmendmentExplanation="" />

5.3.18.2 TerminationRequest Attributes

Name	Req.	Type	Length	Description
fullTermination	No	string	1	NRF specific: fullTermination is equivalent to "Terminate Nonregistered Fingerprint relationship?" checkbox Allowed Values: **Y N**
reasonForTermination	No	string	5-11	For a full termination, provide the reason for termination. Code references are as follows: DECEASED - Deceased DISCHARGE - Discharge OTHER - Other RESIGNED - Permitted to resign VOLUNTARY - Voluntary Allowed Values: **DECEASED DISCHARGE OTHER RESIGNED VOLUNTARY**
terminationDate	No	date		Enter the actual date that the termination is effective. Fill in the year, month, and day (YYYY-MM-DD).
explanation	No	string	1-512	Provide a text description describing the reason for termination. Mandatory when reasonForTermination is OTHER or DISCHARGE or RESIGNED.
terminationAmendmentExplanation	No	string	2000	Explanation for amending the reason for termination and/or termination explanation as specified on a U5 Amendment.

terminationDateAmendmentExplanation	No	string	2000	Explanation for amending the termination date as specified on a U5 Amendment.

5.3.18.3 Form Filing Processing Tips

5.3.18.3.1 Form U4

This section does not apply to Form U4.

5.3.18.3.2 Form U5

The reasonForTermination and explanation attributes are only applicable to U5. The terminationDate are applicable to U5 and NRF Amendments.
For a Full U5, the system will return an error if the following attributes are not submitted on the filing for the individual: reasonForTermination and terminationDate. If the reasonForTermination is either **DISCHARGE, OTHER, or RESIGNED,** the system will return an error if the explanation attribute is blank.
For partial termination, the date of termination is only applicable to post-dated termination requests during the renewal period.
For a Full, Partial, or Amendment U5 form, the system will return an error if the terminationDate is before the employment start date for the employment being terminated. If the current date of the filing submission is between 11/1 and 12/31 of the current year the terminationDate must either be equal to or prior to the current date or for Postdated U5 filings can be 12/31 of the current year. If the current date of the filing submission is not between 11/1 and 12/31 of the current year the terminationDate must be equal to or prior to the current date.
The terminationAmendmentExplanation and terminationDateAmendmentExplanation attributes are applicable to U5 Amendment only.

5.3.18.3.3 Form NRF

The fullTermination attribute is only applicable to NRF. The terminationDate are applicable to U5 and NRF Amendments.
For Form NRF, the system will return an error if the following attributes are not submitted on the filing for the individual: terminationDate. The system will return an error if the terminationDate is before the employment start date for the employment being terminated.

5.3.19 Complex Type Name

Common Name Type

FIRST NAME:	MIDDLE NAME:	LAST NAME:	SUFFIX:

5.3.19.1 Name Example

<Name last="" first="" middle="" suffix="" seqNum="" />

5.3.19.2 Name Attributes

Name	Req.	Type	Length	Description
last	Yes	string	1-25	The individual's last name. Do not use nicknames or abbreviations or make modifications to the individual's last name. Include punctuation when and where appropriate.
first	Yes	string	1-25	The individual's first name. Do not use nicknames or abbreviations or make modifications to the individual's first name.
middle	No	string	20	If the individual has a middle name, specify the full middle name. Do not use nicknames or abbreviations or make modifications to the individual's middle name. If the individual does not have a middle name, leave this field blank.
suffix	No	string	5	Any suffix that follows the individual's last name, such as Jr., Sr., etc. Include punctuation when and where appropriate.
seqNum	No	integer		Uniquely identifies Name record in a list provided.

5.3.19.3 Form Filing Processing Tips

5.3.19.3.1 Form U4

For all forms, the system will return an error if the following attributes are not present in the CRD system or submitted on the filing for the individual: last and first. Use the seqNum attribute to uniquely identify the Other Name that you are modifying. Note, if the seqNum

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is blank, the system will assume that the name is a new name and will create a new record for the name populating the seqNum field with a new value.

5.3.19.3.2 Form U5

For all forms, the system will return an error if the following attributes are not present in the CRD system or submitted on the filing for the individual: last and first.

5.3.19.3.3 Form NRF

For all forms, the system will return an error if the following attributes are not present in the CRD system or submitted on the filing for the individual: last and first.

5.3.20 Complex Type Address

Common Address Type

OFFICE OF EMPLOYMENT ADDRESS STREET 1:	CITY:	STATE:
OFFICE OF EMPLOYMENT ADDRESS STREET 2:	COUNTRY:	POSTAL CODE:

5.3.20.1 Address Example

<Address street1="" street2="" city="" state="" country="" country_nm="" postalCode="" />

5.3.20.2 Address Attributes

Name	Req.	Type	Length	Description
street1	Yes	string	50	Street address
street2	No	string	50	Street address (cont.)
City	Yes	string	40	The city
State	No	stateCodeType	2	The state Allowed Values: **AL AK AR AZ CA CO CT DC DE FL GA HI IA ID IL IN KS KY LA MA MD ME MI MN MO MS MT NC ND NE NH NJ NM NV NY OH OK OR PA PR RI SC SD TN TX UT UX VA VI VT WA WI WV WY**
country	No	CntryCdType	3	The country Allowed Values: **USA NON ABC ABW AFG AGO AIA ALB AND ANT ARE ARG ARM ASM ATG AUS AUT AZE BCC BDI BEL BEN BFA BGD BGR BHR BHS BIH BLR BLZ BMU BOL BRA BRB BRN BTN BWA CAF CAN CCK CHE CHL CHN CIV CMR COD COG COK COL COM CPV CRI CUB CXR CYM CYP CZE DEU DJI DMA DNK DOM DZA ECU EGY ERI ESH ESP EST ETH FIN FJI FLK FRA FRO FSM GAB GBR GEO GHA GIB GIN GLP GMB GNB GNQ GRC GRD GRL GTM GGY GUF GUM GUY HKG HND HRV HTI HUN IDN IND IRL IRN IRQ ISL IMN ISR ITA JAM JEY JOR JPN KAZ KEN KGZ KHM KIR KNA KOR KWT LAO LBN LBR LBY LCA LIE LKA LSO LTU LUX LVA MAC MAR MBC MCO MDA MDG MDV MEX MHL MKD MLI MLT MMR MNE MNG MNP MOZ MRT MSR MTQ MUS MWI MYS MYT NAM NBC NCL NER NFK NGA NIC NIU NLC NLD NOR NPL NRU NSC NTC NZL OMN ONC PAK PAN PCN PEC PER PHL PLW PNG POL PRK PRT PRY PYF QAT QCC REU ROU RUS RWA SAU SCG SDN SEN SGP SGS SHN SJM SKC SLB SLE SLV SMR SOM SPM STP SUR SVK SVN SWE SWZ SYC SYR TCA TCD TGO THA TJK TKL TKM TLS TON TTO TUN TUR TUV TWN TZA UGA UKR URY UZB VAT VCT VEN VGB VNM VUT WLF WSM XXX YEM YTC ZAF ZWB ZWE**
country_nm	No	string	50	The country name
postalCode	No	string	11	The postal code

5.3.20.3 Form Filing Processing Tips

5.3.20.3.1 Form U4

For all forms, the system will return an error if the following attributes are not present in the CRD system or submitted on the filing for the individual: street1, city, and either state or country. If a state is present the system shall return an error message if the postalCode is not present.

5.3.20.3.2 Form U5

For all forms, the system will return an error if the following attributes are not present in the CRD system or submitted on the filing for the individual: street1, city, and either state or country. If a state is present the system shall return an error message if the postalCode is not present.

5.3.20.3.3 Form NRF

For all forms, the system will return an error if the following attributes are not present in the CRD system or submitted on the filing for the individual: street1, city, and either state or country. If a state is present the system shall return an error message if the postalCode is not present.

5.3.21 stateCodeType

5.3.21.1 stateCodeType Example

<element type="stateCodeType"/>

Name	Type	Length	Description
stateCodeType	xs:NMTOKEN	2-2	Allowed Values: **AL AK AR AZ CA CO CT DC DE FL GA HI IA ID IL IN KS KY LA MA MD ME MI MN MO MS MT NC ND NE NH NJ NM NV NY OH OK OR PA PR RI SC SD TN TX UT VA VI VT WA WI WV WY**

5.3.22 The Country Codes and corresponding Country Names

CNTRY_CD	CNTRY_NM
USA	UNITED STATES
NON	Not on List
AFG	AFGHANISTAN
ALB	ALBANIA
ABC	ALBERTA, CANADA
DZA	ALGERIA
ASM	AMERICAN SAMOA
AND	ANDORRA
AGO	ANGOLA
AIA	ANGUILLA
ATG	ANTIGUA AND BARBUDA
ARG	ARGENTINA
ARM	ARMENIA
ABW	ARUBA
AUS	AUSTRALIA
AUT	AUSTRIA
AZE	AZERBAIJAN
BHS	BAHAMAS, THE
BHR	BAHRAIN
BGD	BANGLADESH
BRB	BARBADOS
BLR	BELARUS
BEL	BELGIUM
BLZ	BELIZE
BEN	BENIN
BMU	BERMUDA

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BTN	BHUTAN
BOL	BOLIVIA
BIH	BOSNIA AND HERCEGOVENA
BWA	BOTSWANA
BRA	BRAZIL
BCC	BRITISH COLUMBIA, CANADA
VGB	BRITISH VIRGIN ISLANDS
BRN	BRUNEI
BGR	BULGARIA
BFA	BURKINA FASO
MMR	BURMA (MYANMAR)
BDI	BURUNDI
KHM	CAMBODIA
CMR	CAMEROON
CAN	CANADA
CPV	CAPE VERDE ISLANDS
CYM	CAYMAN ISLANDS
CAF	CENTRAL AFRICAN REPUBLIC
TCD	CHAD
CHL	CHILE
CHN	CHINA
CXR	CHRISTMAS ISLAND
CCK	COCOS (KEELING) ISLANDS
COL	COLUMBIA
COM	COMOROS
COD	CONGO (DEMOCRATIC REPUBLIC OR ZAIRE)
COG	CONGO, REPUBLIC OF
COK	COOK ISLANDS
CRI	COSTA RICA
CIV	COTE DE IVOIRE (IVORY COAST)
HRV	CROATIA
CUB	CUBA
CYP	CYPRUS
CZE	CZECH REPUBLIC
DNK	DENMARK
DJI	DJIBOUTI
DMA	DOMINICA
DOM	DOMINICAN REPUBLIC
TLS	EAST TIMOR
ECU	ECUADOR
EGY	EGYPT (UNITED ARAB REPUBLIC)
SLV	EL SALVADOR
GNQ	EQUATORIAL GUINEA
ERI	ERITREA

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EST	ESTONIA
ETH	ETHIOPIA
FLK	FALKLAND ISLANDS (ISLAS MALVINAS)
FRO	FAROE ISLANDS
FJI	FIJI ISLANDS
FIN	FINLAND
FRA	FRANCE
GUF	FRENCH GUIANA
PYF	FRENCH POLYNESIA
GAB	GABON
GMB	GAMBIA
GEO	GEORGIA/GRUZINSKAYA
DEU	GERMANY
GHA	GHANA
GIB	GIBRALTAR
GRC	GREECE
GRL	GREENLAND
GRD	GRENADA
GLP	GUADELOUPE
GUM	GUAM
GTM	GUATEMALA
GGY	GUERNSEY
GIN	GUINEA
GNB	GUINEA BISSAU
GUY	GUYANA
HTI	HAITI
VAT	HOLY SEE, VATICAN CITY
HND	HONDURAS
HKG	HONG KONG
HUN	HUNGARY
ISL	ICELAND
IND	INDIA
IDN	INDONESIA
IRN	IRAN
IRQ	IRAQ
IRL	IRELAND
IMN	ISLE OF MAN
ISR	ISRAEL
ITA	ITALY
JAM	JAMAICA
JPN	JAPAN
JEY	JERSEY
JOR	JORDAN
KAZ	KAZAKHSTAN

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KEN	KENYA
KIR	KIRIBATI
PRK	KOREA, NORTH
KOR	KOREA, SOUTH
KWT	KUWAIT
KGZ	KYRGYZSTAN
LAO	LAOS
LVA	LATVIA
LBN	LEBANON
LSO	LESOTHO
LBR	LIBERIA
LBY	LIBYA
LIE	LIECHTENSTEIN
LTU	LITHUANIA
LUX	LUXEMBOURG
MAC	MACAU
MKD	MACEDONIA
MDG	MADAGASCAR
MWI	MALAWI
MYS	MALAYSIA
MDV	MALDIVES
MLI	MALI
MLT	MALTA
MBC	MANITOBA, CANADA
MHL	MARSHALL ISLANDS
MTQ	MARTINIQUE
MRT	MAURITANIA
MUS	MAURITIUS
MYT	MAYOTTE
MEX	MEXICO
FSM	MICRONESIA, FEDERATED STATES OF
MDA	MOLDOVA
MCO	MONACO
MNE	MONTENEGRO_
MNG	MONGOLIA
MSR	MONTESERRAT
MAR	MOROCCO
MOZ	MOZAMBIQUE
NAM	NAMIBIA
NRU	NAURU
NPL	NEPAL
NLD	NETHERLANDS
ANT	NETHERLANDS ANTILLES
NBC	NEW BRUNSWICK, CANADA

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NCL	NEW CALEDONIA
NZL	NEW ZEALAND
NLC	NEWFOUNDLAND, CANADA
NIC	NICARAGUA
NER	NIGER
NGA	NIGERIA
NIU	NIUE
NFK	NORFOLK ISLAND
MNP	NORTHERN MARIANA ISLANDS
NTC	NORTHWEST TERRITORIES, CANADA
NOR	NORWAY
NSC	NOVA SCOTIA, CANADA
OMN	OMAN
ONC	ONTARIO, CANADA
PAK	PAKISTAN
PLW	PALAU
PAN	PANAMA
PNG	PAPUA NEW GUINEA
PRY	PARAGUAY
PER	PERU
PHL	PHILIPPINES
PCN	PITCAIRN ISLANDS (DUCIE, HENDERSON, OENO)
POL	POLAND
PRT	PORTUGAL
PEC	PRINCE EDWARD ISLE, CANADA
QAT	QATAR
QCC	QUEBEC, CANADA
REU	REUNION
ROU	ROMANIA
RUS	RUSSIA
RWA	RWANDA
SHN	SAINT HELENA
KNA	SAINT KITTS AND NEVIS
LCA	SAINT LUCIA
SPM	SAINT PIERRE AND MIQUELON
VCT	SAINT VINCENT AND THE GRENADINES
WSM	SAMOA
SMR	SAN MARINO
STP	SAO TOME AND PRINCIPE
SKC	SASKATCHEWAN, CANADA
SAU	SAUDI ARABIA
SEN	SENEGAL
SCG	SERBIA AND MONTENEGRO
SYC	SEYCHELLES

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SLE	SIERRA LEONE
SGP	SINGAPORE
SVK	SLOVAKIA
SVN	SLOVENIA
SLB	SOLOMON ISLANDS
SOM	SOMALIA
ZAF	SOUTH AFRICA
SGS	SOUTH GEORGIA/SOUTH SANDWICH ISLANDS
ESP	SPAIN
LKA	SRI LANKA
SDN	SUDAN
SUR	SURINAM
SJM	SVALBARD
SWZ	SWAZILAND
SWE	SWEDEN
CHE	SWITZERLAND
SYR	SYRIA
TWN	TAIWAN, REPUBLIC OF CHINA
TJK	TAJIKISTAN
TZA	TANZANIA
THA	THAILAND
TGO	TOGO
TKL	TOKELAU
TON	TONGA
TTO	TRINIDAD AND TOBAGO
TUN	TUNISIA
TUR	TURKEY
TKM	TURKMENISTAN
TCA	TURKS AND CALCOS ISLANDS
TUV	TUVALU
UGA	UGANDA
UKR	UKRAINE
ARE	UNITED ARAB EMIRATES
GBR	UNITED KINGDOM
URY	URUGUAY
UZB	UZBEKISTAN
VUT	VANUATU
VEN	VENEZUELA
VNM	VIETNAM
WLF	WALLIS AND FUTUNA
ESH	WESTERN SAHARA
YEM	YEMEN
YTC	YUKON TERRITORY, CANADA
ZWB	ZAMBIA

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ZWE	ZIMBABWE

5.3.23 Complex Type DateRange

Common Date Range (From/To)

FROM (MM/YYYY):	TO (MM/YYYY):

5.3.23.1 DateRange Example

<DateRange fromDate toDate="" />

5.3.23.2 DateRange Attributes

Name	Req.	Type	Length	Description
fromDate	Yes	gYearMonth		The from date (Month/Year) of the given date range. In the form of YYYY-MM
toDate	No	gYearMonth		The to date (Month/Year) of the given date range. In the form of YYYY-MM

5.3.23.3 Form Filing Processing Tips

5.3.23.3.1 Form U4

For all forms, the system will return an error if the following attributes are not present in the CRD system or submitted on the filing for the individual: fromDate. Note: If the toDate is blank, the system will set the toDate attribute to 'Present'..

5.3.23.3.2 Form U5

For all forms, the system will return an error if the following attributes are not present in the CRD system or submitted on the filing for the individual: fromDate. Note: If the toDate is blank, the system will set the toDate attribute to 'Present'..

5.3.23.3.3 Form NRF

For all forms, the system will return an error if the following attributes are not present in the CRD system or submitted on the filing for the individual: fromDate. Note: If the toDate is blank, the system will set the toDate attribute to 'Present'..

5.3.24 Complex Type Height

Height of the Individual (Feet/Inches)

HEIGHT (FT):	HEIGHT (IN):

5.3.24.1 Height Example

<Height feet="" inches="" />

5.3.24.2 Height Attributes

Name	Req.	Type	Length	Description
feet	No	integer		Feet portion of an individual's height
inches	No	integer		Inch portion of an individual's height

5.3.24.3 Form Filing Processing Tips

5.3.24.3.1 Form U4

The system will return an error if the following attributes are not present in the CRD system or submitted on the filing for the individual: feet and inches.

5.3.24.3.2 Form U5

This section does not apply to Form U5.

5.3.24.3.3 Form NRF

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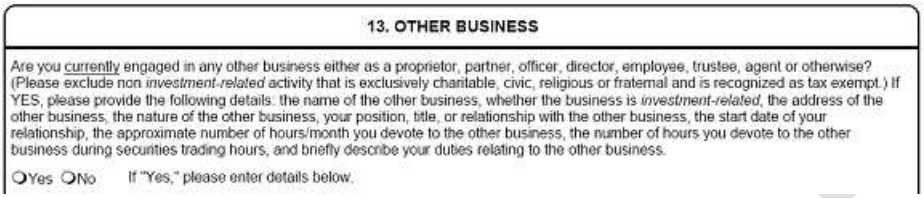
The system will return an error if the following attributes are not present in the CRD system or submitted on the filing for the individual: feet and inches.

5.3.25 Complex Type OtherBusiness

Other Business - U4 - Section 13 - Enter yes or no to indicate whether you currently are engaged in any other business, either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. Exclude non-investment-related activity that is exclusively charitable, civic, religious or fraternal, and is recognized as tax exempt. If you answer yes to this question, provide the following information: name and address of the other business, the nature of the other business, including whether it is investment related, your position, title, or association with the other business, including your duties, the start date of your relationship with the other business, the approximate number of hours per month you devote to the other business, the number of hours you devote to the other business during securities trading hours.



13. OTHER BUSINESS

Are you currently engaged in any other business either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise? (Please exclude non *investment-related* activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.) If YES, please provide the following details: the name of the other business, whether the business is *investment-related*, the address of the other business, the nature of the other business, your position, title, or relationship with the other business, the start date of your relationship, the approximate number of hours/month you devote to the other business, the number of hours you devote to the other business during securities trading hours, and briefly describe your duties relating to the other business.

○Yes ○No If "Yes," please enter details below.

5.3.25.1 OtherBusiness Example

<OtherBusiness currentlyEngaged="" description=""/>

5.3.25.2 OtherBusiness Attributes

Name	Req.	Type	Length	Description
currentlyEngaged	Yes	string		Engaged in other business indicator Allowed Values: Y,N
description	No	string	4000	Description for other business if currentlyEngaged = Yes

5.3.25.3 Form Filing Processing Tips

5.3.25.3.1 Form U4

For a Form U4, the system will return an error if the currentlyEngaged attribute is not present in the CRD system or submitted on the filing for the individual. The system shall return an error if the currentlyEngaged attribute is 'Y' and the description attribute is blank. The system shall return an error if the description attribute is not blank and the currentlyEngaged attribute is 'N'.

5.3.25.3.2 Form U5

This section does not apply to Form U5.

5.3.25.3.3 Form NRF

This section does not apply to Form NRF.

5.3.26 Complex Type (Signatures)

Signatures

5.3.26.1 Signatures Example

<Signatures >
<IndividualSignature ... />
<FirmSignature ... />
<TemporaryRegistrationSignature ... />
<IndividualAmendmentSignature ... />
<FirmAmendmentSignature ... />
<ExecutionSignature.../>
</Signatures>

5.3.26.2 Signatures Referenced Complex Types

Name	Minimum Allowed	Maximum Allowed

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IndividualSignature	0	1
FirmSignature	0	1
TemporaryRegistrationSignature	0	1
IndividualAmendmentSignature	0	1
FirmAmendmentSignature	0	1
ExecutionSignature	0	1

5.3.26.2.1 Complex Type (Individual Signature)

IndividualSignature Example

<IndividualSignature signature="" date="" />

5.3.26.2.2 IndividualSignature Attributes

Name	Req.	Type	Length	Description
signature	No	string	1-128	Signatures name
date	No	date		Date of signing (YYYY-MM-DD)

5.3.26.2.3 Form Filing Processing Tips

5.3.26.2.3.1 Form U4

This section only applies to Form U4, BD Page 2 Filing Type.
For a Form U4, the system will return an error if the following attributes are not submitted on the filing for the individual: signature and date.

5.3.26.2.3.2 Form U5

This section does not apply to Form U5.

5.3.26.2.3.3 Form NRF

This section does not apply to Form NRF.

5.3.26.2.4 Complex Type (Firm Signature)

5.3.26.2.4.1 FirmSignature Example

<FirmSignature contact="" phone="" signature="" date="" />

5.3.26.2.4.2 FirmSignature Attributes

Name	Req.	Type	Length	Description
contact	No	string	128	Contact Person
phone	No	string	27	Contact Phone
signature	Yes	string	1-128	Firm's signature
date	Yes	date		Date of signing (YYYY-MM-DD)

5.3.26.2.4.3 Form Filing Processing Tips

5.3.26.2.4.3.1 Form U4

This section must be completed on all Form U4 Initial, Dual or Temporary Registration form filings. For Form U4, the system will return an error if the following attributes are not present in the CRD system or submitted on the filing for the individual: signature and date.

5.3.26.2.4.3.2 Form U5

This section must be completed on all Form U5 filings. For Form U5, the system will return an error if the following attributes are not present in the CRD system or submitted on the filing for the individual: contact, phone, signature and date.

5.3.26.2.4.3.3 Form NRF

This section does not apply to Form NRF.

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5.3.26.2.5 Complex Type (TemporaryRegistrationSignature)

5.3.26.2.5.1 TemporaryRegistrationSignature Example

<TemporaryRegistrationSignature signature="" date="" />

5.3.26.2.5.2 TemporaryRegistrationSignature Attributes

Name	Req.	Type	Length	Description
signature	No	string	128	Temp Registration signature
date	No	date		Date of signing (YYYY-MM-DD)

5.3.26.2.5.3 Form Filing Processing Tips

5.3.26.2.5.3.1 Form U4

If this section is not completed on a Form U4 Relicensing filings, the individual will not be able to receive Temporary registration.

5.3.26.2.5.3.2 Form U5

This section does not apply to Form U5.

5.3.26.2.5.3.3 Form NRF

This section does not apply to Form NRF.

5.3.26.2.6 Complex Type (IndividualAmendmentSignature)

5.3.26.2.6.1 IndividualAmendmentSignature Example

<IndividualAmendmentSignature signature="" date="" />

5.3.26.2.6.2 IndividualAmendmentSignature Attributes

Name	Req.	Type	Length	Description
signature	No	string	128	Individual's signature
date	No	date		Date of signing (YYYY-MM-DD)

5.3.26.2.6.3 Form Filing Processing Tips

5.3.26.2.6.3.1 Form U4

This section must be completed on any amendment that amends any information in Disclosure Questions or any Disclosure Reporting Page (DRP). Note: Disclosure-related form filings are not currently available in Web EFT.

5.3.26.2.6.3.2 Form U5

This section does not apply to Form U5.

5.3.26.2.6.3.3 Form NRF

This section does not apply to Form NRF.

5.3.26.2.7 Complex Type (FirmAmendmentSignature)

5.3.26.2.7.1 FirmAmendmentSignature Example

<FirmAmendmentSignature signature="" date="" />

5.3.26.2.7.2 FirmAmendmentSignature Attributes

Name	Req.	Type	Length	Description
signature	No	string	128	Firm's signature
date	No	date		Date of signing (YYYY-MM-DD)

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5.3.26.2.7.3 Form Filing Processing Tips

5.3.26.2.7.3.1 Form U4

This section only applies to Form U4, Amendment Filing Type.
For a Form U4, the system will return an error if the following attributes are not submitted on the filing for the individual: signature and date.

5.3.26.2.7.3.2 Form U5

This section does not apply to Form U5.

5.3.26.2.7.3.3 Form NRF

This section does not apply to Form NRF.

5.3.26.2.8 Complex Type (ExecutionSignature)

BD Page 2 Execution

5.3.26.2.8.1 ExecutionSignature Example

<ExecutionSignature signature="" title="" date="" />

5.3.26.2.8.2 ExecutionSignature Attributes

Name	Req.	Type	Length	Description
signature	Yes	string	1-128	Signature's name
title	No	string	64	Title of signature
date	Yes	date		Date of signing (YYYY-MM-DD)

5.3.26.2.8.3 Form Filing Processing Tips

5.3.26.2.8.3.1 Form U4

This section only applies to Form U4, BD Page 2 Filing Type.
For a Form U4, the system will return an error if the following attributes are not submitted on the filing for the individual: signature and date.

5.3.26.2.8.3.2 Form U5

This section does not apply to Form U5.

5.3.26.2.8.3.3 Form NRF

This section does not apply to Form NRF.

6 Change History

09/07/2013
Updated Form Filing Errors section to add the following error codes: 1605302.
Updated Complex Type Jurisdictions Form Filing Processing Tips for Form U4 to remove "MN"
Updated Complex Type SROs to change TOPAZ to GEMINI,

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