

Web CRD[®] and IARD[™] Training

Individual and Organization Disclosure



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[View Individual Disclosure](#)

Current Disclosure Summary Screen – Definition of Terms

Term	Definition
Occurrence	A disclosure event that is reported to Web CRD via one or more Disclosure Reporting Pages (DRPs) and has been reviewed by a Disclosure Review Analyst. Each occurrence contains details regarding a specific disclosure event. More than one disclosure question may apply to a specific disclosure event. Therefore, there may be multiple “yes” answers for a particular occurrence. An occurrence can have as many as three sources reporting the same event: Forms U4, U5 and/or U6.
Reportable	An occurrence determined to be reportable in Web CRD via Forms U4 and/or U5.
Disclosable	An occurrence that is disclosed through FINRA BrokerCheck®.
Eligible for Public Disclosure	Eligible for Public Disclosure column is viewable via the Current Disclosure Summary page. However, it is not applicable to this page and should always be blank. The Eligible for Public Disclosure column <u>only</u> applies to the Reg. Arc. and Z Rec. Summary screen and it will only be populated (with either a Yes or No value) for customer complaint/arbitration/civil litigation disclosure occurrences. A Yes indicates the archived customer complaint/arbitration/civil litigation occurrence <i>may</i> be eligible to be disclosed through proposed changes to the FINRA BrokerCheck Program. Please be aware that the Eligible for Public Disclosure column does not include additional disclosure information that may be distributed to public investors pursuant to states' public record statutes.

Current Disclosure Summary Screen – Definition of Terms (Continued)

Term	Definition
Material Difference in Disclosure	The Material Difference Flag applies to dually registered individuals (RR/RR, RR/RA or RA/RA). This flag is set whenever a difference exists between the disclosures made by the multiple firms with which the individual is registered, in any of the factual Form U4 DRP fields for the same disclosure event (i.e., all DRP fields except for the last field, which is the summary details/representative commentary field). The flag acts as a notification to the individual's employing firm and regulators.
Event Date	The date the event occurred as reported on the DRP.
First Reported	The date the event was first reported to CRD, i.e., the filing date of the Form U4, U5 or U6 DRP that first reported the event.
Final Resolution	Generally, the date the event was resolved as reported on the DRP.
Questions Answered	The specific question(s) answered in the affirmative in the Disclosure Question section of Forms U4 and/or U5 that pertain to a particular disclosure event/occurrence. The disclosure question(s) checked on the DRP should pertain to the disclosure event being reported on the DRP and correspond to the affirmative response(s) in the Disclosure Questions section of Forms U4 and/or U5.

Disclosure Hyperlinks – Current Disclosures Summary Screen

? Printer Friendly

Current Disclosure Summary

Individual CRD#: [1111111](#) Individual Name: DOE, JOHN A

Occurrence	Reportable/ Disclosable		Eligible for Public Disclosure	Material Difference in Disclosure	Composite				
					Filing	Event Date	First Reported	Final Resolution	Questions Answered
Regulatory Action (00001)	Yes	Yes		No	U6-REGINDVL Regulatory Action 09/04/2005 FINRA U4- AMENDMENT Regulatory	02/12/2003	09/04/2005		
						02/12/2000			

The **Occurrence ID Number** or the **DRP Type** (e.g., Regulatory Action) hyperlink will allow you to view the Disclosure Occurrence Composite page. The Composite page consists of the most recent DRP submitted by each filing source (i.e. Form U4, U5 and/or U6) for that disclosure event.

The **Date** hyperlink will allow you to view all DRPs (historical and current) submitted for that disclosure event with the most recent DRP first.

The **Filing Type** hyperlink (e.g., U4-AMENDMENT) will allow you to view the last form filing that reported the disclosure event. The form filing includes all sections submitted and not just the DRP. You can also view the changes submitted on that particular filing.

NOTE: Forms U4, U5 and U6 DRPs were converted from Legacy to Web CRD for any individual that had an active registration since 11/96. The dates used for the conversion filing were 07/06/1999 and 07/07/1999.

Disclosure Occurrence Composite

- This is an example of a **Disclosure Occurrence Composite** screen that displays the most recent DRP submitted by each filing source (i.e., Form U6, U4 and/or U5) for disclosure event.

? Printer Friendly

Disclosure Occurrence Composite

Individual CRD#: [1111111](#) Individual Name: DOE, JOHN A

Occurrence: 00001
 Disclosure: Customer Complaint
 Publicly Disclosable: Yes
 Reportable: **Reportable** Reason

Material Difference in Disclosure: No

Latest Filings:	Filing	Event Date	First Reported	Questions Answered	Last Review
	U6-REGINDVL Regulatory Action 09/04/2005 FINRA	02/12/2003	09/04/2005		
	U4-AMENDMENT Regulatory Action 09/09/2005 SECURITIES FIRM (0000)	02/12/2003	09/05/2005	14E(2), 14E(4)	
	U5-FULL Regulatory Action 09/09/2005 FINRA	02/12/2003	09/09/2005	7D	

Last Review: REGULATOR 09/09/2005
 Comments:

U6 - REGINDVL
 09/04/2005
 FINRA

Rev. Form U6 (06/2003)

U6 - REGULATORY ACTION DRP

This Disclosure Reporting Page is an INITIAL OR AMENDED
Regulatory Action

1. Regulatory Action initiated by:

U4 - AMENDMENT
 09/09/2005
 SECURITIES FIRM A (0000)

Rev. Form U4 (03/2002)

REGULATORY ACTION DRP

This Disclosure Reporting Page is an INITIAL OR AMENDED response to report details for affirmative responses to **Questions 14C, 14D, 14E, 14F and 14G(1)** on Form U4;
Check question(s) you are responding to:

Regulatory Action

U5 - FULL
 09/09/2005
 SECURITIES FIRM B (1111)

Rev. Form U5 (03/2002)

REGULATORY ACTION DRP

This Disclosure Reporting Page is an INITIAL OR AMENDED response to report details for affirmative responses to **Questions 7(A) and 7(D)** on Form U5;
Check question you are responding to:

Disclosure Form Filing History

- This is an example of a **Disclosure Form History** screen which displays historical DRPs submitted for a specific disclosure event. The most recent DRP submission will be displayed first, with subsequent DRPs displayed in reverse chronological order based on form filing date.

Disclosure Form History

Filing Date for the more recent DRP submitted.

U4 - AMENDMENT	09/09/2005	SECURITIES FIRM A (0000)	Rev. Form U4 (03/2002)
REGULATORY ACTION DRP			

Filing Date for the older DRP submitted.

U4 - AMENDMENT	09/05/2005	SECURITIES FIRM A (0000)	Rev. Form U4 (03/2002)
REGULATORY ACTION DRP			

Complete Form Filing History

- This is an example of a U4 Amendment which displays the last full form filing that reported the disclosure event. Web CRD defaults to **Section 1. General Information** for Form U4 and U5 and the **Subject of Action** page for Form U6.

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<div style="background-color: #4F81BD; color: white; padding: 2px; text-align: center; font-weight: bold;">View Filing Options</div> <ul style="list-style-type: none"> ■ View Changes From Previous Filing for Same Firm ■ View Changes From Previous Filing <div style="background-color: #4F81BD; color: white; padding: 2px; text-align: center; font-weight: bold; margin-top: 5px;">View Form Sections</div> <ul style="list-style-type: none"> ■ All Sections ■ 1. General Information ■ 2. Fingerprint Information ■ 3. Registration with Unaffiliated Firms ■ 4. SRO Registrations ■ 5. Jurisdiction Registration ■ 6. Registration Requests with Affiliated Firms ■ 7. Examination Requests ■ 8. Professional Designations ■ 9. Identifying Information/Name Change 	<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">Individual Name: DOE, JOHN</td> <td style="width: 50%;">SSN: xxx-xx-xxxx</td> </tr> <tr> <td>Individual CRD#: 1111111</td> <td>Firm CRD#: 0000</td> </tr> <tr> <td colspan="2">U4 - AMENDMENT</td> </tr> <tr> <td colspan="2">09/09/2005</td> </tr> <tr> <td colspan="2" style="text-align: right; font-size: small;">Rev. Form U4 (03/2002)</td> </tr> <tr> <td colspan="2" style="text-align: center; background-color: #f2f2f2; font-weight: bold;">1. GENERAL INFORMATION</td> </tr> <tr> <td>First Name: JOHN</td> <td>Middle Name: A</td> <td>Last Name: DOE</td> <td>Suffix:</td> </tr> <tr> <td>Firm CRD #: 0000</td> <td>Firm Name:</td> <td>Employment Date (MM/DD/YYYY): 03/01/2005</td> <td></td> </tr> <tr> <td>Firm Billing Code:</td> <td>Individual CRD #: 1111111</td> <td>Individual SSN: xxx-xx-xxxx</td> <td></td> </tr> <tr> <td colspan="4">Do you have an independent contractor relationship with the above named firm?: <input type="radio"/> Yes <input checked="" type="radio"/> No</td> </tr> <tr> <td colspan="4">Office of Employment Address</td> </tr> <tr> <td style="font-size: x-small;">CRD Branch #</td> <td style="font-size: x-small;">NYSE Branch Code #</td> <td style="font-size: x-small;">Firm Billing Code</td> <td style="font-size: x-small;">Address</td> <td style="font-size: x-small;">Private Residence</td> <td style="font-size: x-small;">Type of Office</td> <td style="font-size: x-small;">Start Date</td> <td style="font-size: x-small;">End Date</td> </tr> <tr> <td></td> <td></td> <td></td> <td>123 SECURITES LANE ROCKVILLE, MD 20850</td> <td>N</td> <td>Located At</td> <td>03/01/2005</td> <td></td> </tr> </table>	Individual Name: DOE, JOHN	SSN: xxx-xx-xxxx	Individual CRD#: 1111111	Firm CRD#: 0000	U4 - AMENDMENT		09/09/2005		Rev. Form U4 (03/2002)		1. GENERAL INFORMATION		First Name: JOHN	Middle Name: A	Last Name: DOE	Suffix:	Firm CRD #: 0000	Firm Name:	Employment Date (MM/DD/YYYY): 03/01/2005		Firm Billing Code:	Individual CRD #: 1111111	Individual SSN: xxx-xx-xxxx		Do you have an independent contractor relationship with the above named firm?: <input type="radio"/> Yes <input checked="" type="radio"/> No				Office of Employment Address				CRD Branch #	NYSE Branch Code #	Firm Billing Code	Address	Private Residence	Type of Office	Start Date	End Date				123 SECURITES LANE ROCKVILLE, MD 20850	N	Located At	03/01/2005	
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Complete Form Filing

- To view the full form filing, click **All Sections**.
- To view changes, click on **View Changes From Previous Filing for Same Firm** or **View Changes From Previous Filing**. Changes are highlighted in red.

? Printer Friendly

View Filing Options	Individual Name: DOE, JOHN		SSN: xxx-xx-xxxx																	
<ul style="list-style-type: none"> View Changes From Previous Filing for Same Firm View Changes From Previous Filing 	Individual CRD#: 1111111		Firm CRD#: 0000																	
View Form Sections	U4 - AMENDMENT																			
<ul style="list-style-type: none"> All Sections 1. General Information 2. Fingerprint Information 3. Registration with Unaffiliated Firms 4. SRO Registrations 5. Jurisdiction Registration 6. Registration Requests with Affiliated Firms 7. Examination Requests 8. Professional Designations 9. Identifying Information/Name Change 	09/09/2005		Rev. Form U4 (03/2002)																	
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Legacy Disclosure

Web CRD®

IARD Main

CRD Main

Forms

Individual

Organization

Accounting

Reports

| **View Individual** | Non-Filing Info | Firm Queues |

Quick Search

Search

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■ What is Legacy Disclosure?

- Web CRD was deployed in August 1999. Prior to the implementation of Web CRD, Legacy CRD was the system used to capture information submitted by the firms. In August 1999, FINRA converted Legacy disclosure records for only those individuals who had been “active” since November 1996.

■ Is Legacy Disclosure updated?

- No. Legacy Disclosure is a static snapshot of the individual’s disclosure as it existed in Legacy CRD prior to the implementation of Web CRD.

Legacy Disclosure

?  Printer Friendly

Legacy Disclosure Summary

Individual CRD#: [1111111](#) Individual Name: DOE, JOHN A

Occurrence ID	Last Filings		
	Source	Action Date	Question Numbers
2	U5	02/21/1991	13B1, 13B2, 14, 15
1	U5	07/17/1990	13B1, 15

Clicking on the Occurrence ID will allow you to view the Legacy Disclosure Occurrence Details.

Legacy Disclosure – Occurrence Details

Legacy Disclosure Occurrence Details			
Individual CRD#: 1111111		Individual Name: DOE, JOHN A	
Occurrence Details - #1			
Incident Type	Filing	Updated By	Details
Y5	U5 - 07/17/1990	USERID	JDS 001-11122; Form U5; Full; B/D 000000 1. Questions: 13B1 15 2. Update: No 3. Initiated by: REID (CUSTOMER) 4. Type of Event/Proceeding: CUSTOMER COMPLAINT 5. Date Initiated: 6/12/90 6. Docket/Case#: N/A 7. Allegations: CLAIM THAT J.DOE HAD RECEIVED \$ 20,000.00 FROM MRS.DOE , FOR PAYMENT FOR INVESTMENTS, AND HAD POSSIBLY DIVERTED FUNDS

NOTE: Criminal History Record Information (CHRI) is available to authorized persons only.

Regulatory Archive and Z Records

- In the Web CRD system, **Regulatory Archive and Z Records** contains information specific to an individual's or firm's CRD record that is not or no longer reportable via Forms U4, Form U5, or Form BD.
 - Information in Regulatory Archive and Z Records is not generally disclosable via the BrokerCheck system.

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Quick Search

Search

View Disclosures

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- **Reg. Arc and Z Rec.**
- CHRI
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Regulatory Archive and Z Records

Individual CRD#: [1111111](#)
Individual Name: DOE, JOHN

Occurrence	Reportable/ Disclosable		Eligible for Public Disclosure	Material Difference in Disclosure	Composite				
					Filing	Event Date	First Reported	Final Resolution	Questions Answered
Civil Judicial Action (00001)	No	No	No	No	U4-AMENDMENT Civil Judicial Action 03/02/2005 SECURITIES FIRM (0000)	09/07/2004	09/20/2004	02/03/2005	14H(2)

Regulatory Archive and Z Records (Continued)

■ Below are some examples of information contained in Regulatory Archive and Z Records:

- Disclosure events that have passed the timeframe required to be reportable (e.g. for brokers the U4 Summary Questions 14K1-3 requests information specific to the last ten years).
- Written customer complaints and/or arbitrations/civil litigations in which the rep is the subject of the complaint (but not named in the arbitration or civil litigation) (i.e., 14I3 and 14I5) that were filed more than 24 months ago, and are withdrawn, dismissed, closed without action or settled for less than the threshold amount.
- Certain events pending a resolution that are therefore deemed non-reportable by the disposition.
 - Satisfied judgment/liens
 - Dismissed or denied arbitrations or litigations
 - Arbitrations/litigations settled for less than \$10,000 prior to 05/18/2009
 - Arbitrations/litigations settled for less than \$15,000 on or after 05/18/2009
 - Regulatory actions closed without action

NOTE: The above list is provided as an example. It is not all inclusive.

What is a Historic Customer Complaint?

- FINRA Rule 8312 (b)(2)(G) defines Historic Complaints as the information last reported on Registration Forms relating to customer complaints that are more than two (2) years old and that have not been settled or adjudicated, and customer complaints, arbitrations or litigations that have been settled for an amount less than \$10,000 prior to May 18, 2009 or an amount less than \$15,000 on or after May 18, 2009 and are no longer reported on a Registration Form), provided that any such matter became a Historic Complaint on or after August 16, 1999.

Definition of a “Historic” Customer Complaint

- The Historic Customer Complaint functionality was enhanced to provide expanded information that may now be available via the new BrokerCheck system.
- In Web CRD, a Historic Customer Complaint is displayed as a customer complaint event when the Disclosable Flag is set to "No" and the Eligible for Public Disclosure flag (EPD) is set to "Yes."

? Printer Friendly

Regulatory Archive and Z Records

Individual CRD#: [1111111](#) Individual Name: DOE, JOHN A

Occurrence	Reportable/ Disclosable	Eligible for Public Disclosure	Material Difference in Disclosure	Composite				
				Filing	Event Date	First Reported	Final Resolution	Questions Answered
Customer Complaint (0000001)	No <input type="radio"/> No <input checked="" type="radio"/> Yes <input type="radio"/>	<input checked="" type="radio"/>	No	U5- AMENDMENT Customer Complaint 09/10/2002 SECURITIES FIRM (0000)	05/28/2002	09/10/2002	08/28/2002	7E(3)(a)
				U4- AMENDMENT Customer Complaint 06/18/2002 SECURITIES FIRM (0000)	05/28/2002	06/18/2002		14I(3)(a)

When Are Historic Customer Complaints Disclosed?

- BrokerCheck displays all Customer Complaints made non-reportable on or after an individual's first RR registration approval.
 - Customer Complaints that became non-reportable before August 16, 1999 will not display in BrokerCheck
- BrokerCheck also displays Customer Complaints and Arbitration Complaints/Civil Litigations (i.e. party of and/or subject of) archived for the following reasons:
 - Arbitration/Civil Litigation – settled for less than \$10,000 prior to 05/18/2009
 - Arbitration/Civil Litigation – settled for less than \$15,000 on or after 05/18/2009
 - Customer Complaint – filed more than 24 months ago and did not settle for \$10,000 or more, and was settled prior to 05/18/2009
 - Customer Complaint – filed more than 24 months ago and did not settle for \$15,000 or more, was settled on or after 05/18/2009

Criminal History Record Information (CHRI)

- Access CHRI from the View Disclosures Navigation Bar.

View Disclosures

- Back To Previous Menu
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- Reg. Arc and Z Rec.
- **CHRI**
- CHRI Occurrences
- Disclosure Letter History
- U4 Summary Questions

- [Result] The CHRI Terms and Conditions screen displays

CHRI Terms and Conditions ? Printer Friendly


CHRI Terms And Conditions

NOTICE: You have requested access to FBI-maintained Criminal History Record Information (CHRI), which includes information collected by criminal justice agencies on individuals consisting of identifiable descriptions and notations of arrests, indictments, informations, or other

Accept

Criminal History Record Information (CHRI)

- Below is an illustration of the Barcode hyperlink that you will see after conducting a CHRI search.

?  Printer Friendly

Criminal History Record Information

Individual CRD#: [1111111](#) Individual Name: DOE, JOHN A

CHRI Terms And Conditions

NOTICE: You have requested access to FBI-maintained Criminal History Record Information (CHRI), which includes information collected by criminal justice agencies on individuals consisting of identifiable descriptions and notations of arrests, indictments, informations, or other

Firm Name	Barcode	Received Date
SECURITIES FIRM (0000)	2500226607	01/16/2008
SECURITIES FIRM (0000)	2500226607	01/16/2008

- Clicking on the Barcode will allow you to access an individual's CHRI report.

CHRI Report

- The Terms and Conditions page of the CHRI Report will display.

UNITED STATES DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION
CRIMINAL JUSTICE INFORMATION SERVICES DIVISION
CLARKSBURG, WV 26306

DCSEC Z ICN IF002

BECAUSE ADDITIONS OR DELETIONS MAY BE MADE AT ANY TIME, A NEW COPY SHOULD BE REQUESTED WHEN NEEDED FOR SUBSEQUENT USE.

THIS RECORD IS SUBJECT TO THE FOLLOWING USE AND DISSEMINATION RESTRICTIONS

UNDER PROVISIONS SET FORTH IN TITLE 28, CODE OF FEDERAL REGULATIONS (CFR), SECTION 50.12, BOTH GOVERNMENTAL AND NONGOVERNMENTAL ENTITIES AUTHORIZED TO SUBMIT FINGERPRINTS AND RECEIVE FBI IDENTIFICATION RECORDS MUST NOTIFY THE INDIVIDUALS FINGERPRINTED THAT THE FINGERPRINTS WILL BE USED TO CHECK THE CRIMINAL HISTORY RECORDS OF THE FBI. IDENTIFICATION RECORDS OBTAINED FROM THE FBI MAY BE USED SOLELY FOR THE PURPOSE REQUESTED AND MAY NOT BE DISSEMINATED OUTSIDE THE RECEIVING DEPARTMENT, RELATED AGENCY OR OTHER AUTHORIZED ENTITY. IF THE INFORMATION ON THE RECORD IS USED TO DISQUALIFY AN APPLICANT, THE OFFICIAL MAKING THE DETERMINATION OF SUITABILITY FOR LICENSING OR EMPLOYMENT SHALL PROVIDE THE APPLICANT THE OPPORTUNITY TO COMPLETE, OR CHALLENGE THE ACCURACY OF, THE INFORMATION CONTAINED IN THE FBI IDENTIFICATION RECORD. THE DECIDING

Individual Disclosure Questions - Analysis

Disclosure Late Filing

- Firms must amend disclosure information in a timely manner as required by FINRA By-Laws
 - On an Initial (i.e., Initial, Dual or Relicense) Form U4 or U5 filing, if the triggering event occurred prior to the date of such filing; or
 - On an Amendment Form U4 filing within 30 days of a triggering event (10 days for events that subject an individual to statutory disqualification)

Disclosure: Form U4 (Continued)

■ Criminal Actions: Statutory Disqualification

- If an individual is convicted of **ANY** felony charge within the past 10 years from the date of the conviction, the individual is subject to Statutory Disqualification.
- Individual could be subject to statutory disqualification for certain misdemeanor convictions, e.g., forgery, theft of funds or securities, etc

NOTE: Disqualifications are defined in Article III, Section 4 of the FINRA By-Laws. For information on the Statutory Disqualification process refer to: <http://www.finra.org> > Industry Professionals > Enforcement > Adjudication > National Adjudicatory Council (NAC) > Statutory Disqualification Process

Disclosure: Form U5

- The following Form U5 disclosure questions are similar to the U4 disclosure questions:
 - Question 7A: Investigation
 - Question 7C: (1) (2) (3) (4) Criminal Disclosure
 - Question 7D: Regulatory Disclosure
 - Question 7E: (1)(a)(b)(c), 7E(2), 7E(3)(a)(b), 7E(4)(a)(b), 7E(5)(a)(b) Customer Complaint, Arbitration Complaints/Civil Litigations
 - Question 7F: Termination Disclosure

- The following Form U5 disclosure question is specific to the Form U5:
 - Question 7B: Internal Review

Disclosure: Form U5 (Continued)

■ Internal Review Question

- Currently is, or at termination was, the individual under internal review for fraud or wrongful taking of property, or violating *investment-related* statutes, regulations, rules or industry standards of conduct?
 - DRP contains a Part I (the firm completes) and Part II (the RR may choose to complete once Part 1 has been submitted).

Disclosure – Reporting Guidance

- Refer to “Form U4 and Form U5 Interpretative Guidance” on the FINRA Web site for additional clarification on Form U4 and Form U5 questions: <http://www.finra.org/crd>
- Refer to the “Explanation of Terms” in the instructions on the Forms U4 and U5 for definitions of italicized words.
- Statutory Disqualifications are defined in Article III, Section 4 of the FINRA By-Laws. For information on the statutory disqualification process refer to: <http://www.finra.org/Industry/Enforcement/Adjudication/NAC/StatutoryDisqualificationProcess/index.htm>
- U4 filings including disclosure information (‘Yes’ answers and/or DRP’s) require the individual’s signature

NOTE: Examples of reportable or non-reportable events provided during training are not all inclusive of all scenarios

Additional disclosure information is also available in the Web CRD User’s Manual and at www.finra.org.

[View Organization Disclosure](#)



Disclosure: Form BD

- Disclosure questions are similar to the Form U4, however, the following questions are reportable for a specific time frame (within the past ten years):
 - Question 11A & B Criminal Disclosure
 - Question 11D(4) Regulatory Action Disclosure
 - Question 11H(1)(a) Civil Judicial Disclosure
 - Question 11I Financial Disclosure

- Web CRD will automatically archive the occurrence once the ten-year time frame has been met.

Disclosure: Form BD (Continued)

- If an event is reportable through multiple questions where one question limits reporting to 10 years and the other does not (i.e., 11D2 and 11D4), the event will not be archived.
- Consumer-initiated customer complaints, arbitrations and civil litigations are not reportable on Form BD. However, FINRA arbitration awards are disclosed through FINRA's Arbitration Awards Online system.
- Disclosure questions (except for 11J and 11K) are reportable for:
 - The Applicant
 - The Applicant and one or more Control Affiliates
 - One or more Control Affiliates
- Questions 11J and 11K are reportable for the applicant only.

NOTE: Control Affiliate: A person named in items 1A, 9 or in Schedules A, B or C as a control person or any other individual or organization that directly or indirectly controls, is under common control with, or is controlled by, the applicant, including any current employee except one performing only clerical, administrative support or similar functions, or who, regardless of title, performs no executive duties or has no senior policy making authority.

Current Disclosure Summary Screen – Definition of Terms

Term	Definition
Occurrence	A disclosure event that is reported to Web CRD on a DRP and has been reviewed by a Disclosure Review Analyst. Each occurrence contains details regarding a specific disclosure event. More than one disclosure question may apply to a specific disclosure event, therefore there may be multiple “yes” answers for a particular occurrence. An occurrence can have as many as two sources reporting the event: Form BD (submitted by the firm) and Form U6 (submitted by a regulator).
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Event Date	The date the event occurred as reported on the DRP.
Questions Answered	The specific disclosure question(s) answered in the affirmative in the Disclosure Question section of Form BD that pertain to a particular disclosure event/occurrence. The disclosure question(s) checked on the DRP should pertain to the disclosure event being reported on the DRP and correspond to the affirmative response(s) in the Disclosure Questions section of Form BD.
Filed Against	The person(s) or entity(ies) for whom the DRP was filed. Applicant: The action was filed against the firm only. Both: The action was filed against the applicant and one or more control affiliates. Affiliate: The action was filed against one or more control affiliates.

Current Disclosure Summary

? Printer Friendly

Current Disclosure Summary

Organization CRD#: [0000](#) Organization Name: SECURITIES FIRM
 Organization SEC#: Applicant Name: SECURITIES FIRM
[View IA Record](#)

Occurrence	Reportable/ Disclosable		Composite			
	Yes	Yes	Filing	Event Date	Questions Answered	Filed Against
Regulatory Action (0000001)	Yes	Yes	U6-REGORG 12/12/2006 FINRA	12/11/2006		
			BD-AMENDMENT 12/18/2006	01/01/2002	11E2	Applicant
Regulatory Action (0000002)	Yes	Yes	BD-AMENDMENT 03/06/2006	10/01/2004	11D2	
				/2000	11D2	
				/2006		
				/2005	11E2	Applicant
			U6-REGORG 10/12/2005 FINRA	09/27/2005		

Click the **Occurrence ID Number** hyperlink to view the Disclosure Occurrence Composite. The Composite consists of the most recent Disclosure Reporting Page (DRP) submitted by each filing source (i.e., Form BD and/or U6) for that disclosure event.

Click the **Date** hyperlink to view all historical DRPs submitted for that disclosure event with the most recent DRP first.

NOTE: Form U6 DRPs were converted from Legacy to Web CRD for all firms that had an active registration since 11/96. The dates used for the conversion filing were 07/06/1999 and 07/07/1999. Form BD DRPs were not converted from Legacy to Web CRD. Firms were required to electronically refile their Form BD, including BD DRPs, by December 15, 1999.

Current Disclosure Summary (Continued)

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Current Disclosure Summary

Organization CRD#: 0000		Organization Name: SECURITIES FIRM			
Organization SEC#:		Applicant Name: SECURITIES FIRM			
View IA Record					

Occurrence	Reportable/ Disclosable		Composite			
			Filing	Event Date	Questions Answered	Filed Against
Regulatory Action (0000001)	Yes	Yes	U6-REGORG 12/12/2006 FINRA	12/11/2006		
			BD-AMENDMENT 12/18/2006	01/01/2002	11E2	Applicant
Regulatory Action (0000002)	Yes	Yes	BD-AMENDMENT 03/06/2006	10/01/2004	11D2	Applicant
Regulatory Action (0000003)	Yes	Yes	BD-AMENDMENT 02/02/2006	04/26/2000	11D2	Applicant
			U6-REGORG 05/03/2006 KS			
Regulatory Action (0000004)	Yes	Yes	BD-AMENDMENT 10/04/2005			
			U6-REGORG 10/12/2005 FINRA			

Click the **Filing Type** hyperlink (e.g., BD-Amendment) to view the last form filing that reported the disclosure event. The form filing includes all sections submitted and not just the DRP. You can also view the changes submitted on that particular filing.