

Event Form Help

The following help describes how to complete the disclosure form.

Contact Info: (required)

Enter the first name, last name, and phone number of the contact at the member firm in case there is a question about this complaint. These fields will be automatically populated with name from the last submitted complaint.

Disclosure Number: (required)

If your firm has its own numbering system for disclosures, you may enter it here. If you plan to use the file upload feature, then this field is used to identify the disclosure in your upload file.

Event: (required)

Select one of the following events. See [Regulatory Notices 11-06](#) and [14-20](#) for additional information.

Event	Description
External Finding	Report pursuant to Rule 4530(a)(1)(A) when the member or an associated person of the member has been found to have violated any securities-, insurance-, commodities-, financial- or investment-related laws, rules, regulations or standards of conduct of any domestic or foreign regulatory body, self-regulatory organization or business or professional organization.
Customer Complaint Involving Certain Allegations	Report pursuant to Rule 4530(a)(1)(B) when the member or an associated person of the member is the subject of any written customer complaint involving allegations of theft or misappropriation of funds or securities or of forgery.
Named in a Regulatory Proceeding	Report pursuant to Rule 4530(a)(1)(C) when the member or an associated person of the member is named as a defendant or respondent in any proceeding brought by a domestic or foreign regulatory body or self-regulatory organization alleging the violation of any provision of the Exchange Act, or of any other federal, state or foreign securities, insurance or commodities statute, or of any rule or regulation thereunder, or of any provision of the by-laws, rules or similar governing instruments of any securities, insurance or commodities domestic or foreign regulatory body or self-regulatory organization.
Subject to Other Regulatory Actions	Report pursuant to Rule 4530(a)(1)(D) when the member or an associated person of the member is denied registration or is expelled, enjoined, directed to cease and desist, suspended or otherwise disciplined by any securities, insurance or commodities industry domestic or foreign regulatory body or self-regulatory organization or is denied membership or continued membership in any such self-regulatory organization; or is barred from becoming associated with any member of any such self-regulatory organization.
Criminal Actions Involving Felonies and Certain Misdemeanors	Report pursuant to Rule 4530(a)(1)(E) when the member or an associated person of the member is indicted, or convicted of, or pleads guilty to, or pleads no contest to, any felony; or any misdemeanor that involves the purchase or sale of any security, the taking of a false oath, the making of a false report, bribery, perjury, burglary, larceny, theft, robbery, extortion, forgery, counterfeiting, fraudulent concealment, embezzlement, fraudulent conversion, or misappropriation of funds, or securities, or a conspiracy to commit any of these offenses, or substantially equivalent activity in a domestic, military or foreign court.
Associated with a Financial Entity Subject to Certain Actions	Report pursuant to Rule 4530(a)(1)(F) when the member or an associated person of the member is a director, controlling stockholder, partner, officer or sole proprietor of, or an associated person with, a broker, dealer, investment company, investment advisor, underwriter or insurance company that was suspended, expelled or had its registration denied or revoked by any domestic or foreign regulatory body, jurisdiction or organization or is associated in such a capacity with a bank, trust company or other financial institution that was convicted of or pleaded no contest to, any felony or misdemeanor in a domestic or foreign court.
Civil Litigation; Arbitration Matters; or Certain Claims for Damages	Report pursuant to Rule 4530(a)(1)(G) when the member or an associated person of the member is a defendant or respondent in any securities- or commodities-related civil litigation or arbitration, is a defendant or respondent in any financial-related insurance civil litigation or arbitration, or is the subject of any claim for damages by a customer, broker or dealer that relates to the provision of financial services or relates to a financial transaction, and such civil litigation, arbitration or claim for damages has been disposed of by judgment, award or settlement for an amount exceeding \$15,000. However, when the member is the defendant or respondent or is the subject of any claim for damages by a customer, broker or dealer, then the reporting to FINRA shall be required only when such judgment, award or settlement is for an amount exceeding \$25,000.
Statutory Disqualification	Report pursuant to Rule 4530(a)(1)(H) when the member or an associated person of the member is, or is involved in the sale of any financial instrument, the provision of any investment advice or the financing of any such activities with any person who is, subject to a "statutory disqualification" as that term is defined in the Exchange Act. The report shall include the name of the person subject to the statutory disqualification and details concerning the disqualification.

Event	Description
Disciplinary Action Taken by a Firm against an Associated Person	Report pursuant to Rule 4530(a)(2) when the member or an associated person of the member an associated person of the member is the subject of any disciplinary action taken by the member involving suspension, termination, the withholding of compensation or of any other remuneration in excess of \$2,500, the imposition of fines in excess of \$2,500 or is otherwise disciplined in any manner that would have a significant limitation on the individual's activities on a temporary or permanent basis.
Internal Conclusion	Report pursuant to Rule 4530(b) when the member has concluded or reasonably should have concluded that an associated person of the member or the member itself has violated any securities-, insurance-, commodities-, financial- or investment-related laws, rules, regulations or standards of conduct of any domestic or foreign regulatory body or self-regulatory organization.

Allegation Activity Dates From _____ To _____: (required)

The allegation activity period is required for all complaints if stated within the body of the letter or gleaned from enclosed information such as an account statement or confirmation. The system will allow zeros in the month or day fields for those instances where all such precise dates are not known (for example, when the specific day of the month is not known, but the month and year is known, you may enter "mm/00/yyyy"). The activity "from" date must be less than or equal to the filing submission date. The activity "to" date must be less than or equal to the filing submission date and equal or subsequent to the activity "from" date. For example, when the alleged activity is for a specific day, the activity "from" and "to" dates will be the same.

Discovery Date (required)

Circumstances of how the firm is notified may vary depending on the type of event. Refer to the Event Code descriptions above for context to determine the date the firm was notified, or became aware of the subject disclosure.

Related To (required)

Select all of the categories that apply to this disclosure. If a registered rep is involved in the disclosure, then you must enter the registered rep information.

Branch # (required)

Enter the CRD Branch Number for where the alleged activity occurred or where the Rep is or was located. You may enter "HOME" if the complaint is related to a residential office that does not meet the Branch Office definition and therefore does not have a CRD Branch Number.

Rep CRD Number:

Enter the CRD number of the rep named in the complaint.

Supervisor Name:

Enter the name of the representative's supervisor.

Customer Info:

If the event is Customer Complaint Involving Certain Allegations pursuant to Rule 4530(a)(1)(B), you must enter ALL of the Customer Complaint Info data fields:

▪ **Customer Account # and Name:**

Enter the account number of the account reference in the complaint or of the customer making the allegation. The first and last names of the complaining investor must be provided.

- When the customer is not a proper name, such as for institutional or "for the benefit of" type accounts, the account title must be entered in the last name field the way the account is reflected on the organization's books and records. Do not abbreviate the account title.
- Third-party complaints: Enter the term "third party" or use the customer's name in the last name field.
- Attorney writing on behalf of client: Enter the customer's name.
- Investment advisory accounts: Enter the entire title. For example, "ABC Advisory for the Benefit of Joe Doe."
- Anonymous complaints: Write "anonymous" in the last name field.

▪ **Security Info:**

This field is required for a Customer Complaint Involving Certain Allegations event reported pursuant to Rule 4530(a)(1)(B). This field is for the description of the security related to the predominant allegation(s) in the complaint. If the security has a symbol, it must be used. Member firms may enter up to three valid securities symbols. If a complaint is not related to a security, then "not applicable" must be used. If the security name is included in the complaint but the symbol is not included, the symbol should be obtained by the member. For instances where there are no security symbols, such as variable annuities, free-form text must be utilized to identify the security. A maximum of three securities relating to the predominant problem and product allegation can be included.

▪ **Product Codes**

Select the most egregious in the complaint from the following codes.

Code	Description of Product	(Effective 10/01/2014)
00	Miscellaneous	
01	Equity-Listed (Common and Preferred Stock, Closed-end funds)	
02	Debt-Corporate (not Asset-Backed, include convertible Corporate Zeros)	
03	Debt-U.S. Government/U.S. Government Agency/U.S. Government Zeros and U.S. Zeros Receipts (e.g., Treasury Investors Growth Receipt (TIGR), Certificate of Accrual on Treasury Securities (CATS))	
04	Commodities/Futures (except Commodity Options and Financial Futures)	
05	Commodity Options	
06	Options (except Index)	
07	Index Options	
08	Insurance (not annuities)	
09	Mutual Funds (open-ended, includes money market funds)	
10	Certificate of Deposit (CD) (coupon and zero CDs)	
11	Unit Investment Trusts (UITs) (corporate, government and municipal defined asset funds)	
12	Direct Investments (limited partnerships, etc.)	
13	Financial Futures	
14	Equity-OTC (Common and Preferred, New Issues)	
15	Debt-Municipal (bonds, notes and zeros, not Municipal Investment Trusts (MITs))	
16	Debt-Asset Backed (Collateralized Mortgage Obligations (CMOs), credit card receivables, etc.)	
17	Managed/Wrap Accounts (in-house money manager)**	
18	No Product	
19	Managed/Wrap Accounts (outside money manager)**	
20	Variable Annuities - A variable annuity is an insurance company contract that allows the owner to elect to receive immediate or future periodic payments. A variable annuity is purchased, either with a lump sum or over time, with premiums allocated among various, separate account funds offered in the annuity contract. During the accumulation phase, the rate of return and the contract fund value on a variable annuity fluctuates with the performance of the underlying investments in the separate account funds, sometimes called investment portfolios or subaccounts.	
21	Warrants/Rights	
22	Real Estate Investment Trusts (REITS)	
23	Employee/Employer Stock Option Plans (not listed options)**	
24	Equity-Foreign	
25	Debt-Foreign	
26	Exchange Traded Funds (ETFs)	
27	Single Stock Futures	
28	529 Plans**	
29	Hedge Funds	
30	Private Placements (e.g., Private Investments in Public Equity Securities (PIPES), etc.)	
31	Promissory Note	
32	Mortgage (pledged assets, reverse mortgage)	
33	Closed End Funds	
34	Cash Management Accounts (e.g., debit/credit card)**	
35	Self-Directed Fee Based Accounts (non-managed)**	
36	Contractual Plans/Systematic Investment Plans	
37	Tenant in Common (e.g., 1031 Exchanges)	
38	Money Markets (e.g., commercial paper, Banker's Acceptance (BA), not money market funds) if the matter relates to money markets.	
39	Auction Rate Securities – Municipal Debt	
40	Auction Rate Securities – Corporate Debt	
41	Auction Rate Securities – Closed-End Funds	

Code	Description of Product	(Effective 10/01/2014)
42	Structured Products - For the purposes of this reporting, Structured Products are investment instruments designed to facilitate a particular risk-return objective, the performance of which is based on one or more referenced asset, index, interest rate, or other market measure. Some structured products offer full protection of the principal invested, whereas others offer limited or no protection of the principal. Structured Products may be listed on a securities exchange or traded in the over-the-counter market.	
43	Fixed Annuities - A fixed annuity is an insurance contract that is purchased either in a lump sum or over time. A fixed annuity is credited with a fixed or set interest rate and allows the owner to elect to receive immediate or future periodic payments. The insurance company guarantees both earnings and principal.	
44	Equity-Indexed Annuities - An equity-indexed annuity is an insurance company product purchased either in a lump sum or with a series of payments. The insurance company credits the holder with a return that is based on performance of an equity index, such as the S&P 500 Composite Stock Price Index. The insurance company may guarantee a minimum return. After the accumulation period, the insurance company makes periodic payments under the terms of the contract or in a lump sum.	
45	Life Settlements - A life settlement is a financial transaction in which a policy owner sells an existing life insurance policy to a third party for more than the policy's cash surrender value, but less than the net death benefit.	
46	Viatical Settlement - The sale of a terminally ill policy owner's existing life insurance policy to a third party for more than its cash surrender value, but less than its net death benefit. Such a sale provides the policy owner with a lump sum. The third party becomes the new owner of the policy, pays the monthly premiums, and receives the full benefit of the policy when the insured dies.	
47	Private Securities - Securities that are not registered; not listed on an exchange; and otherwise not publicly available for trade.	
48	Non-Broker-Dealer Affiliate Product - Such as banking and insurance instruments or services related to non-broker-dealer affiliate activity and not otherwise characterized by another Product Code.	
49	Exchange-Traded Notes (ETNs) - Senior, unsecured, unsubordinated debt security issued by an underwriting bank designed to provide investors access to the returns of various market benchmarks. ETNs do not actually own anything they are tracking. The note is backed by the credit of the underwriting bank that is promising to pay the amount reflected in the index, minus fees upon maturity.	

- **Disputed Amount:**

The alleged compensatory damages should be classified as follows:

- Enter the specified amount in whole dollars (if included in complaint) \$ _____.

Otherwise:

- Select the radio button when the compensatory damages amount is not specified but is believed to be \$5,000 or more, or if you cannot determine the amount per a good faith effort.
- Select the radio button when the compensatory damages amount is not specified but is believed to be under \$5,000, or when it is determined there is no alleged or potential monetary damages related to the dispute.
- Members firms must provide the amount of alleged compensatory damage in the complaint for sales practice complaints. If a specific amount is included in the complaint, it must be used. When a specific amount is not included, members are required to make a good faith estimate.

- **Total Amount:**

Total investment amount of all transactions named in the complaint (whole dollars). This is not a required field.

Statutory Disqualification

If the event is Statutory Disqualification pursuant to Rule 4530(a)(1)(H), then you must enter ALL of the following:

- **Relation to Member:**

Specify Affiliate, Firm, Representative, or Other

- **Party Name**

Enter the SD party name.

- **Party Company Name**

Enter the SD party's company name.

- **Explanation**

Enter the details surrounding the SD.

Disciplinary Action

If the event is Disciplinary Action Taken by a Firm against an Associated Person pursuant to Rule 4530(a)(1)(2), then you must enter the disciplinary action code (Termination, Withholding of Commissions, Suspension, Imposition of Fines)

Comments:

Enter any comments you would like regarding this disclosure. Our examiners may not need to contact you if you describe any extenuating circumstances here. This field can hold up to 255 characters.

Frequently Asked Questions

Q: What should our firm enter in the Activity From _____ To _____ fields if the activity is alleged or known to be ongoing?

A: Since the 4530 Application requires the "Activity" From date be equal or prior to the filing submission date, and the "Activity To" date be equal or prior to the filing submission date and equal or subsequent to the Activity From date, provide an explanation in the Comment field if the activity is alleged or known to be ongoing.

Q: Our firm was a defendant in a securities-related civil litigation that we settled for an amount that exceeds the threshold dollar amount that requires the reporting of a Civil Litigation; Arbitration Matters; or Certain Claims for Damages event pursuant to Rule 4530(a)(1)(G). For purposes of disclosing this event, is the "Discovery Date" the date we knew or should have known that we were a defendant in the case, or is it the date we knew or should have known of the settlement?

A: The "Discovery Date" is the date the firm knew or should have known of the settlement.

Q: Does a Customer Complaint Involving Certain Allegations event reported pursuant to Rule 4530(a)(1)(B) also have to be reported as a quarterly statistical and summary information customer complaints pursuant to FINRA Rule 4530(d)?

A: Any written customer complaint reported as a Customer Complaint Involving Certain Allegations event pursuant to Rule 4530(a)(1)(B) must also be reported as a quarterly statistical and summary information customer complaints pursuant to FINRA Rule 4530(d).