



Financial Industry Regulatory Authority

Web CRD

## Individual Form Filing: Form U5

### About Form U5

The Form U5 is the Uniform Termination Notice for Securities Industry Registration. Broker-dealers, investment advisers, and issuers of securities are required to use the Form U5 to terminate the registration of an individual in the appropriate self-regulatory organizations (SROs) and/or jurisdictions. For more information regarding the changes to the Individual Forms, please access the Individual Forms Web page at: [www.finra.org/crd/individualformchanges](http://www.finra.org/crd/individualformchanges).

### Accessing Web CRD

Access Web CRD at <https://crd.finra.org> or via FINRA Firm Gateway at <https://firms.finra.org>.

Form filing entitlement privileges are required to submit filings via Web CRD. For questions regarding your entitlement privileges, contact your firm's Super Account Administrator.

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**Questions on Web CRD? Call the FINRA Gateway Call Center at 301-869-6699**  
8 A.M. - 8 P.M., ET, Monday-Friday.

## Form U5 Filing Types

U5 Filing Type	When to use
<b>Full</b>	A Full Form U5 is used when terminating an individual from the firm. All registrations with SROs and Jurisdictions will be terminated. A Full U5 must be filed no later than thirty (30) days after the individual has left the firm's employment.  Disclosure answers, date of termination and reason for termination are required fields. Residential addresses can be updated. Branch office address information cannot be updated
<b>Partial</b>	A Partial Form U5 is used to terminate individuals from selected SROs and jurisdictions. The reason for termination and disclosure questions are not included on partial Form U5 filings. Branch office address information cannot be updated
<b>Amendment</b>	An Amendment Form U5 is used to update or amend disclosure, date of termination, reason for termination, and residential information on an individual already terminated from a firm.  Terminated individuals are required to update any residential address changes for two years following an individual's termination date.

### Form U5 Section: 3. Full Termination

For a full termination, complete the Reason for Termination and Termination Explanation. Firms should file amendments to the Reason for Termination and/or Termination Explanation promptly. When filing an amendment to the Reason for Termination and/or Termination Explanation, firms must explain the basis for the amendment.

**3. FULL TERMINATION**

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

**Reason for Termination:**

**Termination Explanation:** If the Reason for Termination is Deceased, Discharged, or Other, provide an explanation below:  
Permitted to Resign, Discharged or Other, provide an explanation below:  
Permitted to Resign  
Voluntary

**Next** **Save** **Reset** **Previous**

## Form U5 Section: 4. Date Terminated

For a full termination this date represents the date the firm terminated the individual's association with the firm in a capacity that required registration. This date is used by jurisdictions/SROs to determine whether an individual is required to requalify by exam or if the individual is eligible for a waiver upon re-association with another firm.

A post-dated termination date of 12/31 of the current year is only allowed during the renewal period.

**4. Date of Termination**

**Date Terminated (MM/DD/YYYY):** 08/04/2015

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.

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## Form U5 Section: 5. Partial Termination

This section is only available when the Partial filing type is selected. There are two parts to this section:

- 5A. SRO Partial Termination
- 5B. Jurisdiction Partial Termination

Only active SRO/Jurisdiction registrations will be available for selection. Check the box for each registration you wish to terminate.

REGISTRATION CATEGORY	<input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/>
OP - Registered Options Principal (S4)	FINRA
IR - Investment Company and Variable Contracts Products Rep. (S6)	NYSE
GS - Full Registration/General Securities Representative (S7)	NYSE-MKT
TR - Securities Trader (S7)	BATS-ZX
TS - Trading Supervisor (S7)	BATS-YX
SU - General Securities Sales Supervisor (S9 and S10)	BOX
	BX
	EDGA
	EDGX
	ARCA
	CBOE
	C2
	CHX
	PHLX
	ISE
	ISE GEMINI
	NQX
	MIAx

## Form U5 Section: 6. Affiliated Firm Termination

For partial terminations, select the affiliated firm(s) from which the individual seeks to terminate registrations and indicate the registrations the individual seeks to terminate. For full terminations, select the affiliated firm(s) from which the individual seeks to terminate.

### Partial Termination Example:

6. AFFILIATED FIRM TERMINATION	
Name <a href="#">AFFILIATE FIRM</a>	BD# 0001
<p>Is this a <i>multiple termination</i> with one or more firms affiliated with the <i>filings firm</i>?            If "yes" to the above question and the termination requests for the <i>filings firm</i> are identical to the termination requests of each affiliated firm, then mark the same termination request for each affiliate. If the termination requests of the affiliated firm(s) differ from those of the <i>filings firm</i>, complete the <i>SRO</i> and/or <i>jurisdiction</i> sections for each affiliated firm.</p>	
<input checked="" type="radio"/> Yes <input type="radio"/> No	
<a href="#">Next</a> <a href="#">Save</a> <a href="#">Previous</a>	

6. AFFILIATED FIRM TERMINATION							
Affiliated Firm CRD # 0001	Affiliated Firm Name AFFILIATE FIRM						
<b>Affiliated Firm Billing Code:</b>							
<b>Office of Employment Address:</b>							
CRD Branch #	NYSE Branch Code #	Firm Billing Code	Address	Private Residence	Type of Office	Start Date	End Date
IA Main			123 MAIN STREET ROCKVILLE, MD 20850 UNITED STATES	No	Located At	09/20/2010	
<a href="#">SRO Registrations</a> <a href="#">Jurisdictions</a>							

### Full Termination Example:

6. AFFILIATED FIRM TERMINATION		
Name <a href="#">AFFILIATE FIRM</a>	BD# 0001	<input checked="" type="checkbox"/> Terminate Affiliate
<p>Is this a <i>multiple termination</i> with one or more firms affiliated with the <i>filings firm</i>?            If "yes" to the above question and the termination requests for the <i>filings firm</i> are identical to the termination requests of each affiliated firm, then mark the same termination request for each affiliate. If the termination requests of the affiliated firm(s) differ from those of the <i>filings firm</i>, complete the <i>SRO</i> and/or <i>jurisdiction</i> sections for each affiliated firm.</p>		
<input type="radio"/> Yes <input checked="" type="radio"/> No		

## Form U5 Section: 7. Disclosures

This section applies to full terminations only. If the individual has no new or updated disclosure information to be reported in response to Questions 7A, 7C, 7D or 7E, you may utilize the Disclosure Certification Checkbox option in lieu of completing Section 7. The Disclosure Certification Checkbox may not be used if answering "yes" to Questions 7B or 7F.

Questions 7E(4) or 7E(5) should be answered "yes" if the individual was not named as a respondent/defendant but (1) the Statement of Claim or Complaint specifically mentions the individual by name and alleges the individual was involved in one or more sales practice violations or (2) the Statement of Claim or Complaint does not mention the individual by name, but the firm has made a good faith determination that the sales practice violation(s) alleged involves one or more particular individuals.

7. DISCLOSURE QUESTIONS		
<b>IF THE ANSWER TO ANY OF THE FOLLOWING QUESTIONS IN SECTION 7 IS 'YES', COMPLETE DETAILS OF ALL EVENTS OR PROCEEDINGS ON APPROPRIATE DRP(S). IF THE INFORMATION IN SECTION 7 HAS ALREADY BEEN REPORTED ON FORM U4 OR FORM U5, DO NOT RESUBMIT DRPs FOR THESE ITEMS. REFER TO THE EXPLANATION OF TERMS SECTION OF FORM U5 INSTRUCTIONS FOR EXPLANATION OF ITALICIZED WORDS.</b>		
<b>Disclosure Certification Checkbox (optional):</b> <input type="checkbox"/> <span style="border: 1px solid red; border-radius: 50%; padding: 2px;"> </span>		
<p>By selecting the Disclosure Certification Checkbox, the firm certifies that (1) there is no additional information to be reported at this time; (2) details relating to Questions 7A, 7C, 7D and 7E have been previously reported on behalf of the individual via Form U4 and/or amendments to Form U4 (if applicable); and (3) updated information will be provided, if needed, as it becomes available to the firm. Note: Use of "Disclosure Certification Checkbox" is optional.</p>		
<b>Investigation Disclosure</b>		
YES NO		
7A.	Currently is, or at termination was, the individual the subject of an <i>investigation</i> or <i>proceeding</i> by a domestic or foreign governmental body or <i>self-regulatory organization</i> with jurisdiction over <i>investment-related</i> businesses? (Note: Provide details of an <i>investigation</i> on an Investigation Disclosure Reporting Page and details regarding a <i>proceeding</i> on a Regulatory Action Disclosure Reporting Page.)	
	<input type="radio"/> <input checked="" type="radio"/>	
<b>Internal Review Disclosure</b>		
YES NO		
7B.	Currently is, or at termination was, the individual under internal review for fraud or wrongful taking of property, or violating <i>investment-related</i> statutes, regulations, rules or industry standards of conduct?	
	<input type="radio"/> <input checked="" type="radio"/>	
<b>Criminal Disclosure</b>		
YES NO		
7C.	While employed by or associated with your <i>firm</i> , or in connection with events that occurred while the individual was employed by or associated with your <i>firm</i> , was the individual:	
1.	convicted of or did the individual plead guilty or nolo contendere ("no contest") in a domestic, foreign or military court to any <i>felony</i> ? <input type="radio"/> <input checked="" type="radio"/>	
2.	charged with any <i>felony</i> ? <input type="radio"/> <input checked="" type="radio"/>	
3.	convicted of or did the individual plead guilty or nolo contendere ("no contest") in a domestic, foreign or military court to a <i>misdemeanor involving</i> : investments or an <i>investment-related</i> business, or any fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses? <input type="radio"/> <input checked="" type="radio"/>	
4.	charged with a <i>misdemeanor</i> specified in 7(C)(3)? <input type="radio"/> <input checked="" type="radio"/>	
<b>Regulatory Action Disclosure</b>		

### About Internal Review Disclosure

Generally, the Internal Review Disclosure question in Question 7B and the Internal Review Reporting Page (DRP U5) are used to report matters relating to compliance, not matters of a competitive nature. Responses should not include situations involving employment related disputes between the firm and the individual.

If a "yes" answer is provided to the Internal Review Disclosure question, the individual whose name appears in Section 1 (GENERAL INFORMATION) of this form may provide a brief summary of the event on Part II of the Internal Review Disclosure Reporting Page (DRP U5).

## Submission Menu

**Completeness Check** - A firm can manually perform a Completeness Check, prior to submission, to check filings for completeness of required fields. If the filing does not pass the completeness check, the system will display a description of the error and a link to the error location.

<b>Submissions</b> <ul style="list-style-type: none"> <li>▪ <a href="#">Completeness Check</a></li> <li>▪ <a href="#">Submit Filing</a></li> <li>▪ <a href="#">Print Preview</a></li> </ul> <b>U5 Filing</b> <ul style="list-style-type: none"> <li>▪ <a href="#">Filing Instructions</a></li> <li>▪ <a href="#">1. General Information</a></li> <li>▪ <a href="#">2. Current Residential Address</a></li> <li>▪ <a href="#">3. Full Termination</a></li> <li>▪ <a href="#">4. Date Terminated</a></li> </ul>	<p>Reference #: 9702673898B0EB</p> <p>Individual Name: DOE, JOHN (1111111)</p> <p>Firm Name: SECURITIES FIRM (0000)</p> <p style="text-align: center;">ON-LINE COMPLETENESS CHECK</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: center; padding: 5px;">Error Location</th> <th style="text-align: center; padding: 5px;">Error Description</th> </tr> </thead> <tbody> <tr> <td style="padding: 5px;"><a href="#">Date Terminated</a></td> <td style="padding: 5px;">Date of termination is required.</td> </tr> <tr> <td style="padding: 5px;"><a href="#">Termination</a></td> <td style="padding: 5px;">Reason for termination is required.</td> </tr> </tbody> </table>	Error Location	Error Description	<a href="#">Date Terminated</a>	Date of termination is required.	<a href="#">Termination</a>	Reason for termination is required.
Error Location	Error Description						
<a href="#">Date Terminated</a>	Date of termination is required.						
<a href="#">Termination</a>	Reason for termination is required.						

**Submit Filing** - Submitting a filing is a two-step process: Web CRD automatically runs a completeness check when Submit Filing is selected. If the filing passes the completeness check, the system allows you to continue with the submission process, if the filing does not pass the completeness check, return to the screens where the errors have occurred and correct them.

1. Select **Submit Filing**.
2. Once the filing has passed the completeness check, select **Submit Filing** a second time.

<b>Submissions</b> <ul style="list-style-type: none"> <li>▪ <a href="#">Completeness Check</a></li> <li>▪ <a href="#">Submit Filing</a></li> <li>▪ <a href="#">Print Preview</a></li> </ul> <b>U5 Filing</b> <ul style="list-style-type: none"> <li>▪ <a href="#">Filing Instructions</a></li> <li>▪ <a href="#">1. General Information</a></li> <li>▪ <a href="#">2. Current Residential Address</a></li> <li>▪ <a href="#">3. Full Termination</a></li> <li>▪ <a href="#">4. Date Terminated</a></li> <li>▪ <a href="#">6. Affiliated Firm Termination</a></li> </ul>	<p>Reference #: 9702673898B0EB</p> <p>Individual Name: DOE, JOHN (1111111)</p> <p>Firm Name: SECURITIES FIRM (0000)</p> <p style="text-align: center;">SUBMISSION COMPLETENESS CHECK</p> <p style="text-align: center; font-weight: bold; font-size: 10pt;"><b>U5 SUBMISSION COMPLETENESS CHECK PASSED SUCCESSFULLY. PLEASE SELECT THE 'SUBMIT FILING' BUTTON BELOW TO SUBMIT TO CRD.</b></p> <p style="text-align: center; margin-top: 20px;"> <input style="border: 1px solid #ccc; border-radius: 10px; padding: 5px 20px; width: fit-content;" type="button" value="Submit Filing"/> </p>
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**Print Preview** - Used to view or prepare the filing for printing. You can choose to print a specific page or the entire filing.

1. Select **Print Preview** from the Submission menu

Submissions

- Completeness Check
- Submit Filing
- **Print Preview**

US Filing

- Filing Instructions
- 1. General Information
- 2. Current Residential Address
- 3. Full Termination
- 4. Date Terminated
- 6. Affiliated Firm Terminations

Reference #: 9702673898B0EB  
Rev. Form U5 (05/2009)

Individual Name: DOE, JOHN (1111111)  
Firm Name: SECURITIES FIRM (0000)

SUBMISSION COMPLETENESS CHECK

**U5 SUBMISSION COMPLETENESS CHECK PASSED SUCCESSFULLY.  
PLEASE SELECT THE 'SUBMIT FILING' BUTTON BELOW TO SUBMIT  
TO CRD.**

Submit Filing

2. To print the entire form filing select **All Sections** from the navigation panel. Otherwise, select the Form U5 section you wish to print.
3. Click the **Printer Friendly** icon located on the right side of the screen

Submissions

- Completeness Check
- Submit Filing
- Return to Data Entry

View Form Sections

- 1. General Information
- 2. Current Residential Address
- 3. Full Termination
- 4. Date Terminated
- 6. Affiliated Firm Terminations
- 7. Disclosure Questions
- 8. Signature Page
- DRPs
- **All Sections**

Reference #: 9702673898B0EB  
Rev. Form U5 (05/2009)

Individual Name: DOE, JOHN (1111111)  
Firm Name: SECURITIES FIRM (0000)

**FORM U5  
UNIFORM TERMINATION NOTICE FOR SECURITIES INDUSTRY  
REGISTRATION**

**NOTICE TO THE INDIVIDUAL WHO IS THE SUBJECT OF THIS FILING**

*Even if you are no longer registered you continue to be subject to the jurisdiction of regulators for at least two years after your registration is terminated and may have to provide information about your activities while associated with this firm. Therefore, you must forward any residential address changes for two years following your termination date or last Form U5 amendment to: CRD Address Changes, P.O. Box 9495, Gaithersburg, MD 20898-9495.*

**1. GENERAL INFORMATION**

First Name: JOHN	Middle Name:	Last Name: DOE	Suffix:
Firm CRD #: 0000	Firm Name: SECURITIES FIRM	Firm NFA #:	
Individual CRD #: 1111111	Individual SSN: XXX-XX-XXXX	Individual NFA #:	Firm Billing Code:

Office of Employment Address

Printer Friendly

## Pending Filings

Once a filing is created, it remains in a pending, or draft state for 60 days from the creation date. The Expected Purge date indicates the day the filing will be deleted from the Pending Filing queue. Click the Filing ID hyperlink to continue working on the filing. If you no longer wish to submit this filing, you have the option to Delete the filing.

Pending Filing Search													
U5													
Show Search Criteria <span style="font-size: small;">▼</span>													
Records per Page: <span style="border: 1px solid #ccc; padding: 2px;">25</span> <span style="font-size: small;">▼</span> Total Records: 1													
Filing ID	Submission Status	Filing Type	Name	CRD	SSN	Billing Code	CC Status	Creation Date	User ID	Submission Type	Expected Purge Date	Delete	
<a href="#">#1508780</a>	Pending Submission	Partial	DOE, JOHN	1111111	xxx-xx-xxxx		Fail	08/13/2015	USERID	WEB	10/14/2015	<a href="#">Delete</a>	

## Historical Filings

The **Historical Filings** feature allows users to view and/or print Form U5 filings submitted by your firm for a specific individual. Users will have the option to view the full filing or view changes in “redline mode” by selecting one of the “View Changes” options. [Redlining will not display across form versions.](#)

Historical Filing Search						
U5						
Individual: DOE, JOHN (1111111)						
Show Search Criteria <span style="font-size: small;">▼</span>						
Records per Page: <span style="border: 1px solid #ccc; padding: 2px;">25</span> <span style="font-size: small;">▼</span> Total Records: 4						
ID	Date	Type	Submitted by			User ID
<a href="#">41508781</a>	08/13/2015	U5 Full	SECURITIES FIRM ( <a href="#">11111</a> )			USERID
<a href="#">38455253</a>	02/13/2015	U5 Partial	SECURITIES FIRM ( <a href="#">11111</a> )			USERID
<a href="#">38435466</a>	02/11/2015	U5 Partial	SECURITIES FIRM ( <a href="#">11111</a> )			USERID
<a href="#">37734596</a>	11/06/2014	U5 Partial	SECURITIES FIRM ( <a href="#">11111</a> )			USERID
Records per Page: <span style="border: 1px solid #ccc; padding: 2px;">25</span> <span style="font-size: small;">▼</span> Total Records: 4						