

Web CRD

Regulator Form U6 Filing

The Web CRD® and IARD™ systems provide regulators with the capability to electronically create and submit Form U6 filings to provide information and report disclosure events on individuals and organizations.

To Find Regulator Form Filing:

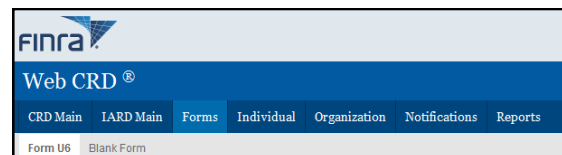
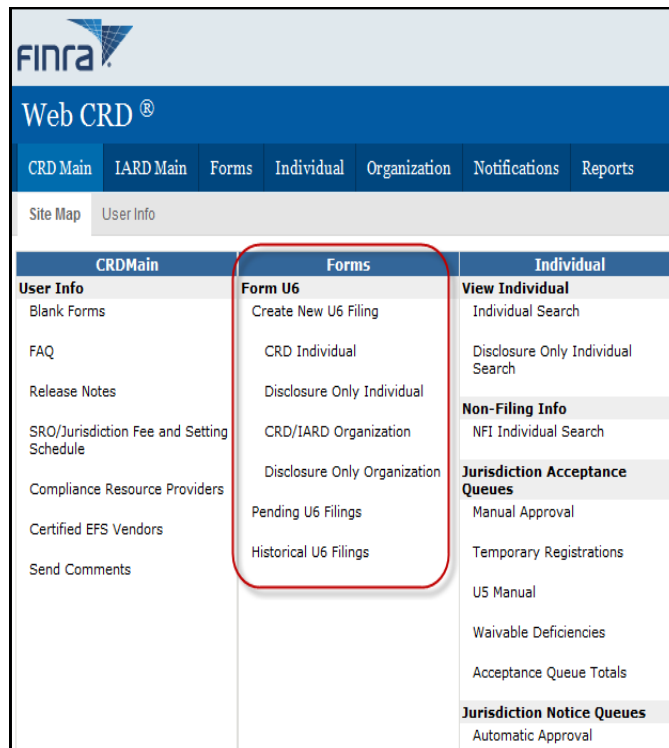
To access the **Regulator Form Filing** functionality logon to Web CRD at: <https://crd.finra.org>. Enter your user name and password then proceed using the steps below.

There are two ways to access the functionality in Web CRD.

1. From the Forms section of the Web CRD or IARD Site Map, click directly on the link for a specific filing type.

OR

1. Click the **Forms** tab on the toolbar.



2. Click **U6 Form** from the Sub-menu.
3. Click the appropriate U6 filing type.

NOTE: The **Blank Form** link directs users to <http://www.finra.org/crd/forms> where they can view blank PDF versions of the Uniform Registration forms.

Questions on Web CRD? Call Regulatory User Support at 240-386-4242
8 A.M and 8 P.M, ET, Monday-Friday.

Form U6 Filing Types

- ◇ **CRD Individual** - Choose this filing type to report information on an individual who is currently or has been previously registered in Web CRD.
- ◇ **Disclosure Only Individual** - Choose this filing type to report identifying information and/or disclosure information on an individual who has never been registered in Web CRD and/or IARD, including, but not limited to, regulatory and/or other disciplinary actions taken against an individual by a regulator.
- ◇ **CRD/IARD Organization** - Choose this filing type to report information on a firm that is currently or has been previously registered in Web CRD and IARD.
- ◇ **Disclosure Only Organization** - Choose this filing type to report information on a firm that has never been registered in Web CRD or IARD.

Form Filing Functions

• Creating a New U6 Filing

Choose **Create New U6 Filing** from the Web CRD Site Map or from the Form Filing navigation panel to begin work on a new filing. Choosing **Create New U6 Filing** provides you with options for choosing the correct filing type: CRD Individual, Disclosure Only Individual, CRD or IARD Organization or Disclosure Only Organization.

The screenshot displays the FINRA Web CRD interface. At the top, the FINRA logo is on the left, and links for 'Change Password/Profile' and 'Log Out' are on the right. Below the header, there's a navigation bar with tabs: 'CRD Main', 'IARD Main', 'Forms', 'Individual', 'Organization', 'Notifications', and 'Reports'. The 'Forms' tab is active, showing 'Form U6' and 'Blank Form' options. On the left, a 'Form Filing' panel lists 'Create New U6 Filing', 'Pending U6 Filings', and 'Historical U6 Filings'. The 'Create New U6 Filing' option is selected, leading to a 'Filing Types U6' section. This section contains four links: 'CRD Individual', 'Disclosure Only Individual', 'CRD/IARD Organization', and 'Disclosure Only Organization'. The first two links are highlighted with a red rounded rectangle.

NOTE: The following steps demonstrate how to create a Form U6 Filing for a CRD Individual.

Conduct the **Search** and select the appropriate person from the **Individual Search Results** screen.

- **Subject of Action Section**

Complete the desired information.

NOTE: **Regulator Contact** and **Phone Number** are optional.

Source: REGULATOR		Rev. Form U6 (05/2009)	
doe, jane (1111111)		U6 CRD Individual - Filing ID: 41508839	
U6 - Subject of Action			
First Name: jane	Middle Name:	Last Name: doe	
Suffix:	Alias:		
DOB(MM/DD/YYYY): 07/02/1980	SSN: xxx-xx-xxxx View SSN	CRD#: 1111111	
Residential Address			
Business Address			
Regulator Contact:		Regulator Phone Number:	
<input type="text"/>		<input type="text"/>	
« Previous	Save	Next »	

- **DRPs**

Select **DRPs** from the Navigation Bar.

NOTE: The **DRP Instructions** and **DRP Types** will appear.

Submissions
<ul style="list-style-type: none"> Completeness Check Submit Filing Print Preview
U6 Filing
<ul style="list-style-type: none"> Subject of Action DRPs <ul style="list-style-type: none"> » DRP Instructions » Bankruptcy / SIPC / Compromise with Creditors » Civil Judicial » Criminal » Investigation » Regulatory Action » SRO Arbitration

Select the appropriate **DRP** type, click **Create New** and complete the **DRP** as needed.

- **Print Preview**

Select **Print Preview** to view a filing prior to printing. You can choose to view a specific section or the entire filing.

1. Select **Print Preview**.
2. Choose **All Sections** from the Navigation Bar.
3. Click the **Printer Friendly** icon located in the upper right corner of the screen.
4. Click the **Print** button.

NOTE: To continue with updates, click **Return To Data Entry**.

- **Submitting a Filing**

1. Select **Submit Filing** from the navigation panel. CRD will automatically perform a completeness check when **Submit Filing** is selected. If the filing does not pass the completeness check, the screen will display the error location and error description. Clicking the **Error Location**, will link you directly to the screen to correct the error. If the filing passes the completeness check, you can proceed in submitting the filing to CRD.

Submissions					
<ul style="list-style-type: none"> ▪ Completeness Check ▪ Submit Filing ▪ Print Preview 	<div> <div>DOE, JOHN A : 1111111</div> <div>SSN: xxx-xx-xxxx</div> <div>Reference #: 573811637012CCF55</div> <div>U6 - ON-LINE COMPLETENESS CHECK</div> </div> <table border="1"> <thead> <tr> <th>Error Location</th> <th>Error Description</th> </tr> </thead> <tbody> <tr> <td>DRPs</td> <td>At least one DRP must be included or updated as part of a U6 Filing.</td> </tr> </tbody> </table>	Error Location	Error Description	DRPs	At least one DRP must be included or updated as part of a U6 Filing.
Error Location	Error Description				
DRPs	At least one DRP must be included or updated as part of a U6 Filing.				

2. Click the **Submit Filing** button a second time, once the filing passes the completeness check. A screen displaying that the filing has been successfully submitted will appear.
3. Click **OK**.

Pending U6 Filings

1. Choose **Pending U6 Filings** to retrieve or view a filing that has already been started, but not yet completed or submitted to Web CRD or IARD.
2. Conduct a search by entering identifying information and clicking the **Search** button.

Form Filing

[?](#) [Printer Friendly](#)

- Create New U6 Filing
- Pending U6 Filings
- Historical U6 Filings

Pending Filing Search Criteria U6

Search by Social Security Number
SSN (xxx-xx-xxxx):

Filter by Entity Type
Type of Entity:

☒ CRD Organization
☐ CRD Individual
☐ Non-Registered Organization
☐ Non-Registered Individual

Select Sort Criteria
Creation Date

☒ Ascending
☐ Descending

Select Number of Rows
Number of Rows per Page:

3. Click the **Filing ID** link of the filing you wish to view or complete.

NOTE: If you no longer wish to submit this filing, you have the option to **Delete** the filing.

Pending Filing Search U6										
Show Search Criteria										
Records per Page: 25 Total Records: 2										
Filing ID	Submission Status	Filing Type	Name	CRD/ID	CC Status	Creation Date	User ID	Submission Type	Expected Purge Date	Delete
1455736	Pending Submission	CRD/IARD Organization	SECURITIES FIRM1	11111	Fail	07/27/2015	USERID	WEB	09/28/2015	Delete
41505850	Pending Submission	CRD/IARD Organization	SECURITIES FIRM2	22222	Fail	07/29/2015	USERID	WEB	09/30/2015	Delete
Records per Page: 25 Total Records: 2										

4. Enter the necessary data and click the **Save** button.

NOTE: Form U6 filings can remain pending for 60 days. After this period, any pending U6 filings that have not been submitted will be automatically deleted from the system.

Historical U6 Filings

1. Choose **Historical U6 Filing** to view or print previously submitted filings.
2. Choose the correct filing type.

FINRA Web CRD®

Change Password/Profile | Log Out
User: arttx Organization: 50053

CRD Main | IARD Main | **Forms** | Individual | Organization | Notifications | Reports

Form U6 | Blank Form

Form Filing

- Create New U6 Filing
- Pending U6 Filings
- Historical U6 Filings**

Filing Types U6

- [CRD Individual](#)
- [Disclosure Only Individual](#)
- [CRD/IARD Organization](#)
- [Disclosure Only Organization](#)

3. Perform a search by entering necessary data on the *Historical Filing Search Criteria* screen.

NOTE: The following steps demonstrate how to search for a Form U6 Filing for a CRD Individual.

4. Click **Search**.

Form Filing

- Create New U6 Filing
- Pending U6 Filings
- Historical U6 Filings**

Historical Filing Search Criteria
U6 - CRD Individual

Search by CRD Number
CRD Number :

Search by Social Security Number
SSN (xxx-xx-xxxx):

Search by Name
Last Name: First Name:
Middle Name: Perform "sounds-like" search ☐

Filter by Other Information
Birthdate (mm/dd/yyyy):

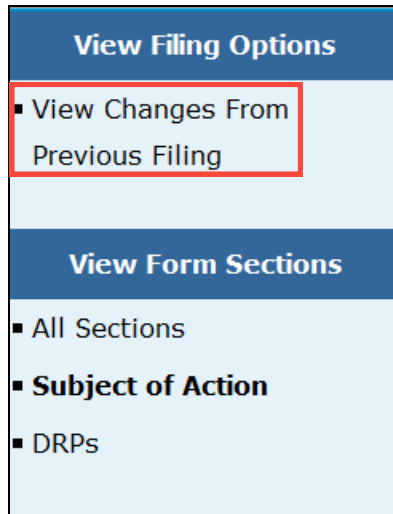
Filter by Date Range
Begin Date (mm/dd/yyyy): End Date (mm/dd/yyyy):

Select Number of Rows
Number of Rows per Page:

Historical Filing Search					
U6 - CRD Individual					
Individual: DOE, JOHN (1111111)					
Show Search Criteria <input type="button" value="v"/>					
Records per Page: 25 Total Records: 7					
ID	Date	Type	Source	User ID	Submission Type
35437252	10/16/2013	U6 CRD Individual	REGULATOR	USERID	WEB

5. Click the **ID** number to display the historical U6 filing you wish to view.

Historical U6 Filings (cont.)



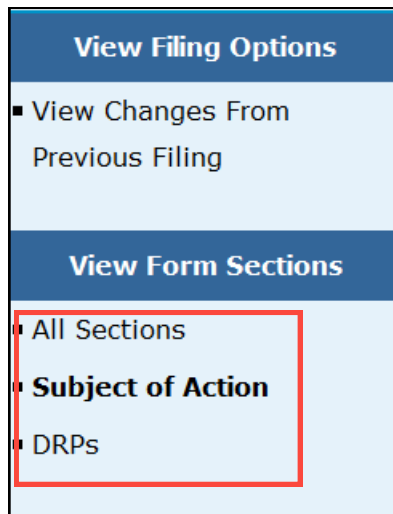
The screenshot shows a navigation bar with two main sections. The first section, 'View Filing Options', contains a single item 'View Changes From Previous Filing' which is highlighted with a red rectangular box. The second section, 'View Form Sections', contains three items: 'All Sections', 'Subject of Action', and 'DRPs'.

View Filing Options
■ View Changes From Previous Filing

View Form Sections
■ All Sections
■ Subject of Action
■ DRPs

To view changes in redline mode, select **View Changes from Previous Filing** located on the Navigation Bar.

The form can be viewed section by section or select **All Sections** to view the entire form.



The screenshot shows the same navigation bar as the previous one. In this instance, a red rectangular box highlights the three items under the 'View Form Sections' header: 'All Sections', 'Subject of Action', and 'DRPs'.

View Filing Options
■ View Changes From Previous Filing

View Form Sections
■ All Sections
■ Subject of Action
■ DRPs