Web CRD — Regulator Form U6 Filing

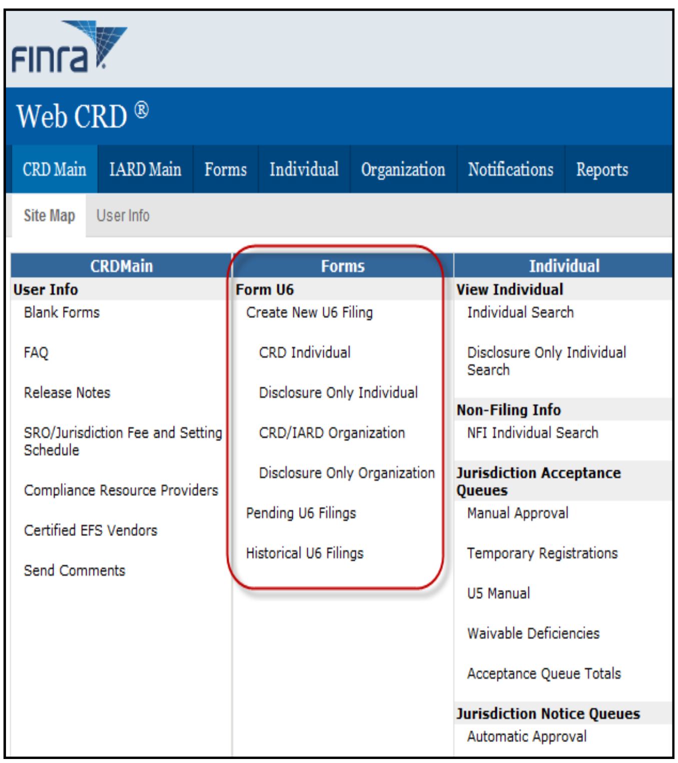
The Web CRD® and IARD™ systems provide regulators with the capability to electronically create and submit Form U6 filings to provide information and report disclosure events on individuals and organizations.

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.

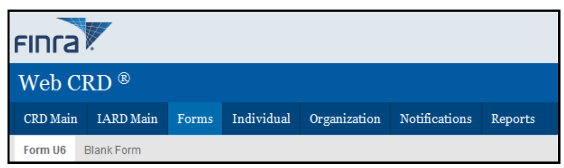
There are two ways to access the functionality in Web CRD.

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.

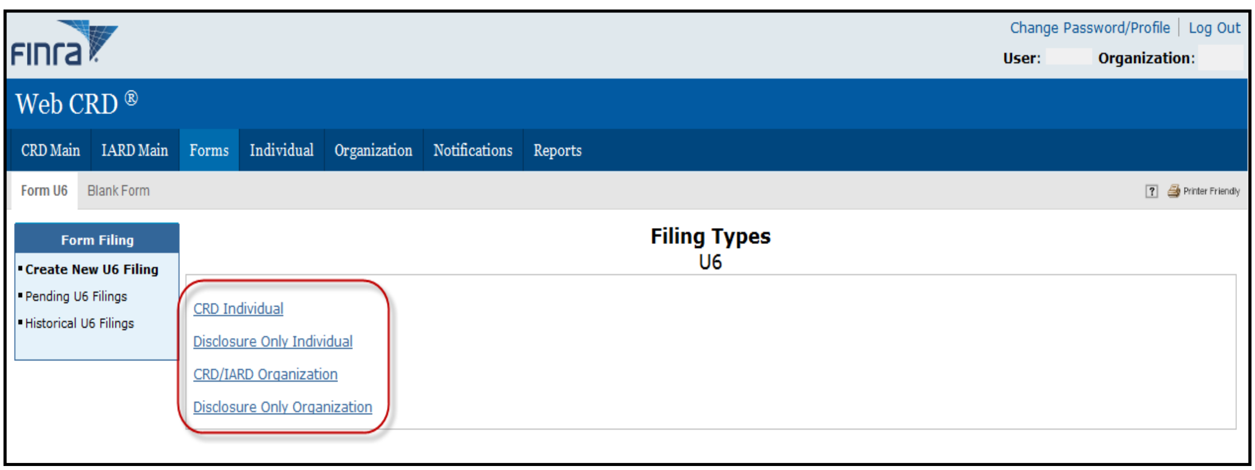
◊ **CRD/IARD Organization** - Choose this filing type to report information on a firm that is currently or has been previously registered in Web CRD and IARD.

◊ **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.



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.

- **DRPs**

Select **DRPs** from the Navigation Bar.

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

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

- **Print Preview**

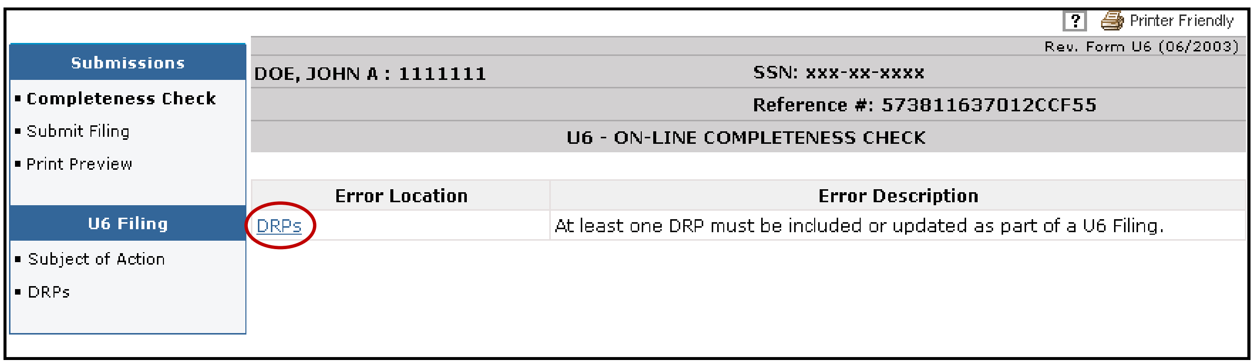
Select **Print Preview** to view a filing prior to printing. You can choose to view a specific section or the entire filing.

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.

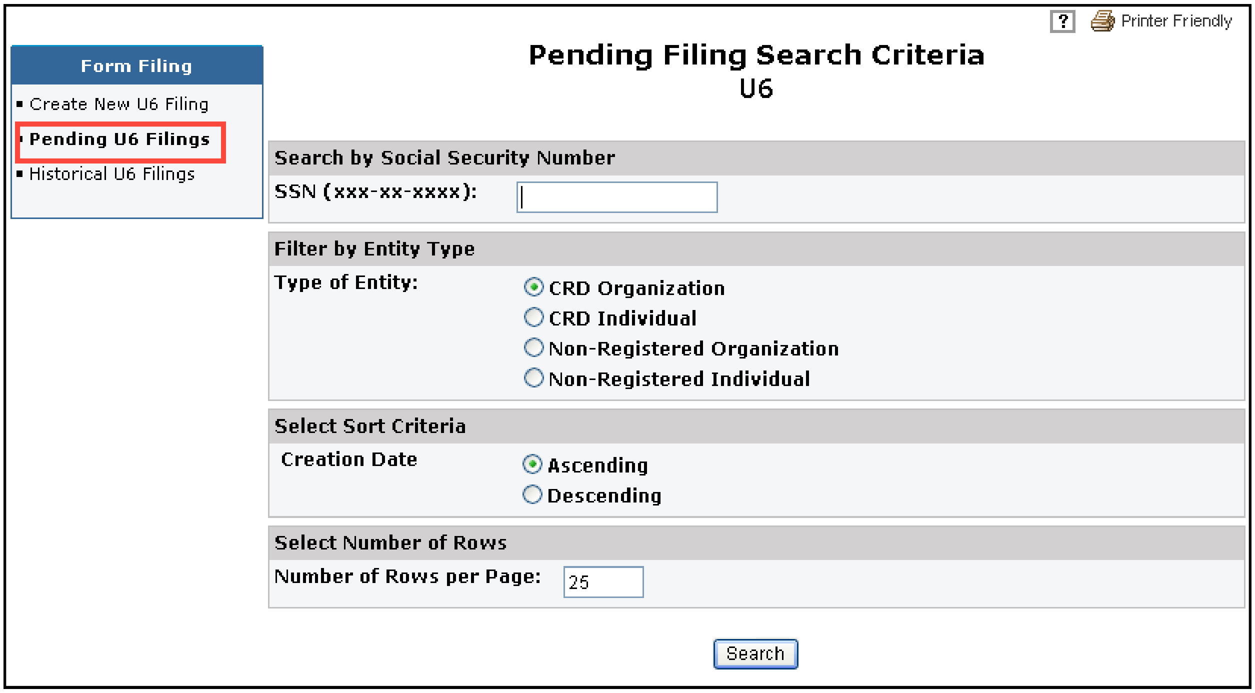


2. Click the **Submit Filing** button a second time, once the filing passes the completeness check. A screen displaying that the filing has been successfully submitted will appear.
3. Click **OK**.

Pending U6 Filings

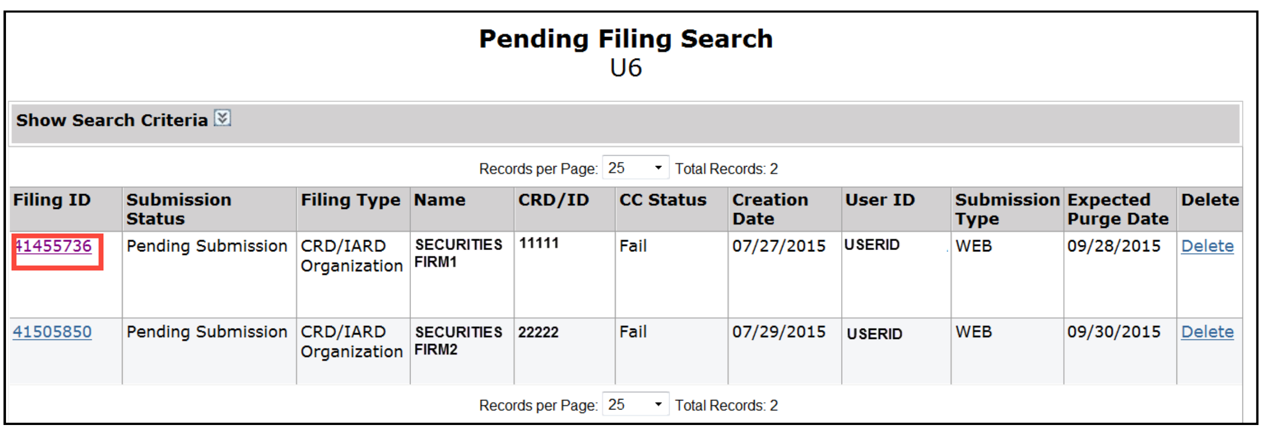
1. Choose **Pending U6 Filings** to retrieve or view a filing that has already been started, but not yet completed or submitted to Web CRD or IARD.

2. Conduct a search by entering identifying information and clicking the **Search** button.



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
41455736	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

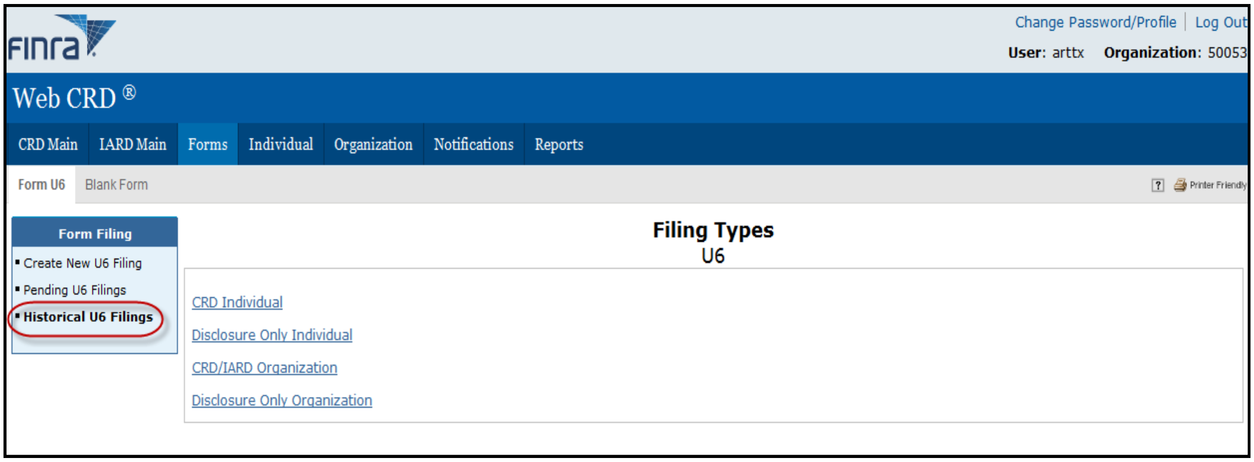
Records per Page: 25 Total Records: 2

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

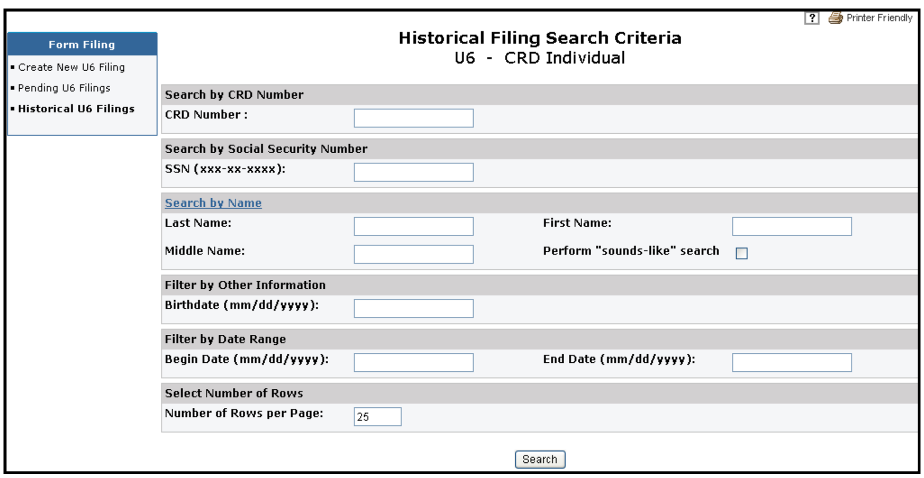
1. Choose **Historical U6 Filing** to view or print previously submitted filings.
2. Choose the correct filing type.

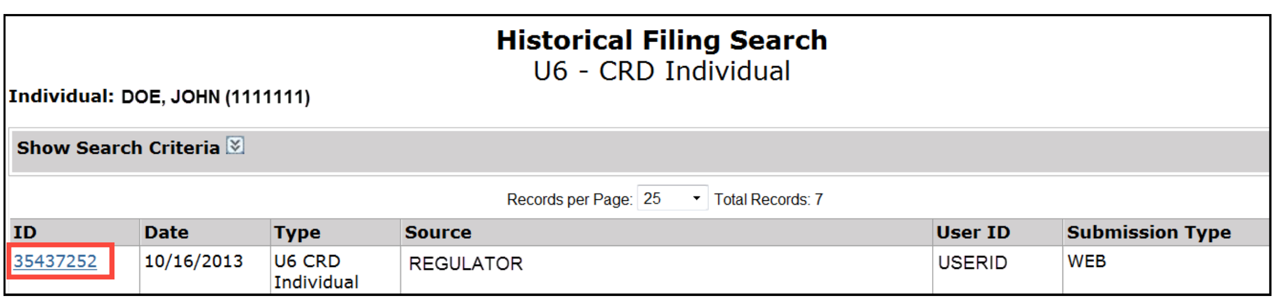


3. Perform a search by entering necessary data on the *Historical Filing Search Criteria* screen.

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

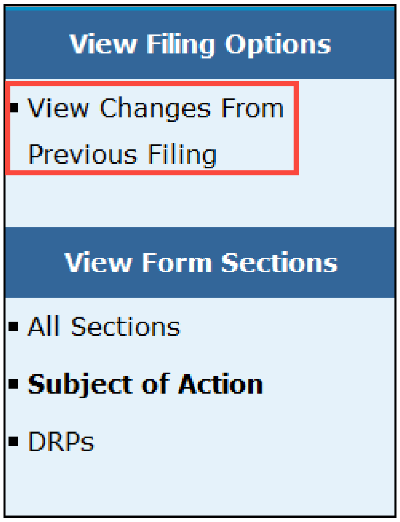
4. Click **Search**.





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

Historical U6 Filings (cont.)



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.