

Rule 4530 Application Help for Reporting

Welcome to the Rule 4530 Application reporting pages at the FINRA Firm Gateway. This application is used to compose and report to FINRA certain specified "events" pursuant to FINRA Rule 4530(a), 4530(b), 4530(c) and quarterly statistical summary information regarding written customer complaints pursuant to FINRA Rule 4530(d).

FINRA Rule 4530 was modeled after the former NASD Rule 3070 and NYSE Rule 351. The effective date of Rule 4530 was July 1, 2011. See [Regulatory Notices 11-06](#) and [14-20](#) for additional information.

The following links can be used as a first step in searching for information.

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Getting Started

The Rule 4530 Application for Events and Complaint Information is a web-enabled application in the FINRA Firm Gateway where you can: Create and edit and submit reportable Events and Complaints filings.

- View or amend filings that you have previously submitted.
- Print Event or Complaint filings to your printer.
- Upload Event or Complaint filings from your computer.


The user interface is divided into two main areas - [Main screens](#) and [Form screens](#). The main screens display lists of filings (or filing requirements), and the form screens display the form entry screens for a selected filing.

Main Screens

The Main Screens consist of four tabs that make up the main interface for Event and Complaint reporting blank forms, draft filings, submitted filings, and batch file upload. You can switch between the different lists by clicking on the corresponding tab in the side navigation window.

Note: Each list has search filters that the user may use to limit the records that they are working with. In order to apply your filter you must click the Search button

The following section provides details on each of these screens.

Tabs / Screens	Description
Draft Filings	The Draft Filings list displays all of the unsubmitted filings that have been created by your firm. Once a filing has been submitted, it is no longer a draft and will not appear in this list.  NOTE: The draft list will display 10 records per page up to 50 pages. If more than 50 pages of data is available, and the information you seek is not displayed, try to further restrict your selection criteria.
Submitted Filings	The Submitted list displays a history of the filings that your firm has submitted to the FINRA. From this list, you can view, copy, or amend a previously submitted filing. Both the draft and submitted lists may be filtered by Representative ID, Customer Account Number, Date Range, Filing ID, Firm Reference #, Filing Type, Branch ID and Filing Period.
Blank Forms	The Blank Forms list includes a blank form for each type of filing supported by the Rule 4530 Application
Batch File Upload	The Batch File Upload feature allows you to import XML-formatted batches of Events or Complaints from your system into the Rule 4530 Application. If the data is complete and passes all of the data validations, the Events or Complaints will be submitted. If the data is complete but does not pass all of the data validations, the filing will be left in draft status. Finally, if the data is incomplete (does not contain the minimum fields required in order to create the filing in this application), the file will be rejected with an explanation of the problem that was encountered. See the File Format Specifications for a description of the file format.



Filing Status

Every filing displayed in the lists will display the filing's status. As you work on a filing, its status will progress through the following stages.

Filing Status	Description
Draft	Draft filings have been created, but are not yet ready to be submitted. They can be edited until they are ready to be submitted. Before a filing can be submitted, it must pass a series of validation checks that are initiated by clicking the Submit button on the form entry screen.
Submitted	After a filing has been submitted, it will appear in the Submitted list with a status of submitted. Submitted filings may not be edited, but they may be amended by clicking on the Amend icon Amd . When a filing is amended a copy is created with a status of Draft , and the cycle begins again.

Filing actions

Every filing displayed in the lists will have one or more available actions depending on the filing's status as shown in the following list.







Action	Abbreviation	Description
Create	New	<u>Blank</u> filings will display the create icon. Click on this icon to create a new <u>Draft</u> filing of the corresponding type.
View	View	The view icon is used to open a read-only copy of the filing. No changes can be made.
Edit	Chg	The edit icon is used to open the selected filing for modification.
Delete	Del	Use the delete icon to remove a <u>Draft</u> filing from the system.  <i>Warning: There is no way to recover a deleted filing.</i>
Submit	Sub	The submit icon is used to submit a filing to the FINRA. 
Amend	Amd	The amend icon is used to amend a previously submitted filing. Amend is similar to the copy action except that the system will use the existing period and rule type rather than prompt for a new one. A draft copy of the submitted filing will be created.
Submit All		The Submit All button is used to submit all filings that are included by the current search criteria. For example, if your search criteria return 20 complaints, clicking on the Submit All button will attempt to submit only those 20 complaints that are returned by your criteria. After this action has been performed, the user is directed to a page that displays the results of the operation. This page will specify which of the filings fail the submission process and why, and will also show which filings passed validation and were successfully submitted. From this page, the user may return to either the Drafts List or the Submitted List.
Delete All		The Delete All button is used to delete all filings that are included by the current search criteria. For example, if your search criteria return 20 complaints, clicking on the Delete All button will attempt to delete only those 20 complaints that are returned by your criteria. The user is prompted as to whether they really wish to delete the specified records. Selecting Yes results in the deletion of the records, while selecting No cancels the action.

Form Screens

Selecting the View, Edit, Copy, or Amend action from the list screens will display the selected filing (or a copy of it) in the form entry screen. This is where you complete the Event or Complaint form.

Editing the form

The Event and Complaint form entry screens consist of edit boxes, drop down lists, check boxes, and radio buttons.

Entry Type	Description
	The edit boxes are used to enter numeric or text type of data. <ul style="list-style-type: none"> Commas may be used when entering numbers, but are reformatted when leaving the field. (e.g. 1,0000 would be reformatted to 10,000) Dollar signs (\$) or percent signs (%) may be entered, but are ignored. Decimal fractions may be entered, but are rounded to the nearest whole dollar. Any other non-numeric input in a numeric field will generate an error message. All dates must be entered in MM/DD/YYYY format.
	Drop down lists are used when there is a limited choice of possible values for a text field. Click on the down arrow to display the list of choices, and then click on a choice.
	Check boxes can be selected or not selected by clicking on it.
	Radio buttons appear in groups where only one choice can be selected.
	The tab key can be used to move from field to field.
	The shift + tab can be used to move backwards from field to field.

Changing Versions

Since Events and Complaints can be amended, it is possible for multiple versions to exist for a given filing. When you open a filing to view or edit, it will always open to the most recent version. A drop down containing all version numbers for the current filing can be found in the upper left-hand corner of the form. The higher the number is, the more recent the version. You may view previous versions of a filing by selecting one of the previous version numbers. It should be noted that previous versions of a filing can only be viewed in read-only mode. Also, once you have viewed a previous version of a filing, you must close the filing and reopen it from the Drafts List in order to make any modifications (simply returning back to the original version after viewing previous versions will leave the filing in a read-only state).




Submitting a Filing

Once you have completed entering information into a filing, you must Submit it before it can be accepted by FINRA. You can validate and submit the filing by clicking on the Submit button at the top of the form. The entry screen displays any validation errors near the fields that caused the error. The

following table will appear in the side navigation bar and show the error and warning counts. There is also a First Link hyperlink that will take you to the first error.

Validation Results
Errors - 5 Warnings - 2
First Error

The following is an example of an error. The arrows can be used to navigate to the previous and next error.

-  #2(Error) - Please enter the Contact Last Name  
- Once you have corrected all validation errors, you must click the submit button again to submit the filing.

Form Actions

The following actions can be executed from the Form screens.

Close Form

When you are finished editing the form, click on this icon to save the changes for the current section and return to the list screens.

-  *Warning: If you exit the form by pressing the browser's Back or Refresh button or by closing the browser, you will lose all changes to the current section.*

Submit



After a filing has been validated with no errors, its status will change to Submitted. Once a filing is submitted it will no longer appear in the Drafts list, but will appear in the Submitted list.

Performing Common Tasks

Create a new filing

Select the Blank Forms sidebar tab. Once on the Blank Forms tab, you may either create a new Complaint or a new Disclosure by clicking the appropriate Create icon. [New](#)

Delete a filing

From the Drafts list, find the filing that you would like to delete and click the delete icon. You will be prompted to confirm the deletion.   *Warning: Once a filing is deleted it cannot be recovered.* You can also delete all of your draft filings by clicking the Delete All button. This might be used if you upload a batch of complaints that could not be submitted due to validation errors. In this case, all of the complaints will stay in your draft filings screen. You might want to delete all of these and re-upload the corrected filings.

Upload filings

From the Upload tab, you can enter the filename of the file you want to upload, and click the upload button. See the [File Format Specifications](#) for a description of the required file format.

Submit filings

You can submit individual filings by opening the filing using the Edit icon **Chg**, then pressing the Submit button. You may also submit multiple filings by filtering the drafts list, then pressing the Submit All button. The system will attempt to validate and submit all of the filings that meet the filter criteria. If a filing cannot be validated, then it will remain as a draft filing.

Frequently Asked Questions

Q: What is the difference between the "edit filing" function and "amend filing" function?

A: "Edit filing" can be performed only when the filing is still in the "draft" mode. Once a filing is submitted and a member wants to make certain changes to it, the firm must use the "amend filing" function and re-submit that filing. The amended filing will be version number "2".

Q: What is the difference between the "Filing #" and the "Complaint #" fields?

A: "Filing #" is generated automatically by the system. "Complaint #" (or "Disclosure #") is a firm's own numbering system (if it has one) for tracking purposes.

Q: Where does a filing go if a member enters the information, closes the form, and fails to hit the "submit" button?

A: It will be stored in the "Draft" folder until submitted.

Q: Can a filing be submitted if any of the required fields are left blank?

A: No. The system will display an error message and not take a submission if any of the required fields are not entered.

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.