

Web EFT Form Filings

Annual Web EFT Form Filing Fee: \$3,600

Below is a list of filing types that may be submitted through Web EFT:

NOTE: Web EFT does not currently have the functionality to accept Form BD/BDW, Form ADV/ADV-W, Form U6, nor Form U4 Concurrence filings.

Form Filing Types
U4 Initial
U4 Relicense All
U4 Relicense CRD
U4 Relicense IA
U4 Dual
U4 Amendment
U4 Page 2 Initial for Schedule A/B
U4 Page 2 Amendment for Schedule A/B
U5 Partial
U5 Full
U5 Amendment
NRF Initial
NRF Amendment
BR Initial
BR Amendment
BR Closing/Withdrawal