



Classic CRD

Individual Form Filing: Form U4

About Form U4

Form U4 is the Uniform Application for Securities Industry Registration or Transfer, and is used to fulfill securities registration and licensing requirements for Registered Representatives (RRs) and Investment Adviser Representatives (IARs).

Protecting Personal Information

Provide personal information about individuals in response to specific questions that solicit that information. When responding to more general questions that accept narrative responses, use terms that do not disclose personal information (including account numbers). Please review [guidance](#) posted on the FINRA website about how to protect this information.



IMPORTANT NOTE:

All classic CRD features should now be accessed through [FINRA Gateway](#), the new FINRA reporting and compliance platform. This new system is designed to focus on compliance functions, such as research, reporting and responding to requests, rather than focusing on the specific system you would access to fulfill your requirements.

Additionally, an [enhanced data entry experience](#) is now available in FINRA Gateway for all Form U4 filing types. **The classic CRD U4 data entry experience will be retired effective April 5, 2021.**

If you have any questions or feedback regarding the transition to FINRA Gateway, please contact FeedbackFINRAGateway@finra.org.

Contents:

- [Logging in Through FINRA Gateway](#) (pg. 2)
- [Form U4 Filing Types](#) (pg. 3)
- [Creating an Initial U4 Filing](#) (pg. 4)
- [Form U4 Section 1. General Information](#) (pg. 6)
- [Form U4 Section 4. SRO Registrations](#) (pg. 7)
- [Form U4 Section 6. Registration Requests with Affiliated Firms](#) (pg. 8)
- [Form U4 Section 7. Examination Requests](#) (pg. 9)
- [Form U4 Section 8. Professional Designations](#) (pg. 10)
- [Form U4 Section 11. Residential History](#) (pg. 10)
- [Form U4 Section 12. Employment History](#) (pg. 11)
- [Form U4 Section 13. Other Business](#) (pg. 11)
- [Form U4 Section 14. Disclosure Questions](#) (pg. 12)
- [Disclosure Reporting Pages \(DRPs\)](#) (pg. 13)
- [Allow Rep Edits Feature](#) (pg. 16)
- [Submitting Form U4](#) (pg. 18)
- [Retrieving Pending U4 Filings](#) (pg. 19)
- [Viewing Historical U4 Filings](#) (pg. 21)

Need help with CRD? Call the FINRA Gateway Call Center at **301-869-6699**
8 A.M. - 8 P.M., ET, Monday-Friday.

Logging in Through FINRA Gateway

Beginning in Summer 2020, the new [FINRA Gateway](https://gateway.finra.org) will become the primary method for accessing FINRA systems. To access FINRA Gateway:

1. Go to <https://gateway.finra.org>, and
2. Enter your existing CRD user ID and password.

Once you have successfully logged into FINRA Gateway, you can navigate to classic CRD using the **Quick Links** menu on the lower-left. Select **Classic CRD** from the list of links and then follow along with the rest of this guide.

The screenshot shows the FINRA Gateway interface. On the left is a dark blue sidebar with icons for Home, Profiles, Requests, Reports, and Support. The 'Requests' icon is highlighted with a red box and a red arrow. The main content area has a 'Search' bar at the top with a dropdown for 'Type' (set to 'Individual') and a search criteria field. Below the search bar is a 'Requests' section with a 'Lists' dropdown (set to 'All (307)') and 'Save' and 'Export' buttons. A table of requests follows, with columns for Request Type, Details, Created, Due, and Category. The table lists various FOCUS and SIS filings.

Request Type	Details	Created	Due	Category
Find out response time to complete		06/19/2020	06/19/2020	
FOCUS - Part II Monthly	Part II Monthly FOCUS Filing for J...	12/31/2015	02/24/2016	Financial / Operational
FOCUS - SIS Monthly	SIS Monthly FOCUS Filing for Jan...	01/31/2016	02/29/2016	Financial / Operational
FOCUS - SIS Monthly	SIS Monthly FOCUS Filing for Feb...	02/29/2016	03/29/2016	Financial / Operational
FOCUS - Part II Monthly	Part II Monthly FOCUS Filing for F...	01/31/2016	03/23/2016	Financial / Operational
FOCUS - Part II Monthly	Part II Monthly FOCUS Filing for ...	12/31/2015	04/25/2016	Financial / Operational
FOCUS - Custody Quarterly	Custody Quarterly FOCUS Filing f...	12/31/2015	04/25/2016	Financial / Operational
FOCUS - SIS Monthly	SIS Monthly FOCUS Filing for Mar...	03/31/2016	04/28/2016	Financial / Operational

The screenshot shows the 'Quick Links' menu. At the top are two buttons: 'FIRM GATEWAY' and 'CLASSIC CRD'. The 'CLASSIC CRD' button is highlighted with a red box and a red arrow. Below these buttons is a grid of links for various forms and services.

Quick Links	
FIRM GATEWAY	CLASSIC CRD
Advertising- Ad Reg	BD Form
E-bill	Exam Waiver Form
eFocus	IA Amend form (ADV Amend)
RegT Extension	NewCRD
Report Center	Pre-Registration Search
Shorts	NRF Form
See More Forms...	SIE

Form U4 Filing Types

U4 Filing Type	When to use
Initial	Use this filing type for individuals who have never been registered on CRD or were last registered more than thirty (30) days ago with a previous firm.
Amendment	File an Amendment to add or change information on an individual already registered with the filing firm.
Concurrence	A Concurrence filing is used to concur with and adopt the information submitted by another firm on an individual also registered with the filing firm. It is a read-only filing; only the Signatures section of a Concurrence Filing must be completed. If the firm chooses not to concur with and adopt the information submitted, it can submit a U4 Amendment.
Page 2 Initial for Schedule A/B	<p>Page 2 for BD Schedule A/B is used to submit personal, employment and residential information on a firm's Direct or Indirect Owners who are identified on a firm's Form BD Schedule A or B.</p> <p>This type of filing is referred to as a "Page 2 for BD Schedule A/B" because the Direct or Indirect Owners formerly provided information on "Page 2" of the paper Form U4, used prior to electronic filing through CRD.</p>
Page 2 Amendment for Schedule A/B	<p>Page 2 Amendment for BD Schedule A/B is used to amend personal, employment and residential information on a firm's Direct or Indirect Owners who are identified on the firm's Form BD Schedule A or B.</p> <p>To terminate a Direct or Indirect Owner the firm should file a BD Amendment. Once a BD Amendment is submitted, the system will automatically update the Page 2 to reflect the termination.</p>
Dual	<p>Dual filings are for applicants that intend to maintain registrations with two (2) or more unaffiliated broker-dealer and/or investment adviser firms.</p> <p>(If the applicant intends to maintain registrations with multiple affiliated firms, the first affiliate firm that registers the person should use 'Section 6: Registrations with Affiliated Firms' on a U4 Amendment to add the other affiliates.)</p>
Relicense All	Relicense All is for an individual who wishes to register with a new firm within thirty (30) days from the date of termination with the previous firm(s), and intends to be registered SOLELY with the new firm. All other firms with which the applicant has been registered must submit a U5 to terminate his or her employment.
Relicense CRD	Relicense CRD is for an individual who wishes to register as a broker-dealer agent (AG) with a new broker-dealer firm and terminate his or her AG positions with any other firms (i.e., the other firms will submit U5 filings on the individual) but leave any investment adviser associations he or she may have current. (This filing type is not applicable to RAs.)
Relicense IA	Relicense IA is for an individual who wishes to register as a RA with a new investment adviser firm and terminate his or her RA positions with any other firms (i.e., the other firms will submit U5 filings on the individual), but leave any broker-dealer associations he or she may have current. The individual's AG status will not be affected. (This filing type is not applicable to AGs.)

Creating a Initial U4 Filing

Prior to creating any individual filing, the system will require you to search for the individual. Enter the individual's CRD Number or type a combination of one of the following: individual's Last Name and at least two (2) characters of the First Name, CRD Number, and/or Social Security Number.

For a more specific search, type a Middle Name and Birth Date to locate the individual or verify that the individual does not exist in CRD.

Individual Search Criteria U4 - Initial			
Search by CRD Number			
CRD Number :	<input type="text"/>		
Search by Social Security Number			
SSN (xxx-xx-xxxx):	<input type="text"/>		
Search by Name			
Last Name:	<input type="text" value="Doe"/>	First Name:	<input type="text" value="John"/>
Middle Name:	<input type="text"/>	Perform "sounds-like" search	<input type="checkbox"/>
Filter by Other Information			
Birthdate (mm/dd/yyyy):	<input type="text"/>		
<input type="button" value="Search"/>			

Create a New Individual in CRD

If the individual does not exist in CRD, enter the individual's SSN, Last Name, First Name, and Birth Date. Click the **Create New ID** button to begin the Form U4 filing for this individual.

For foreign associates without a SSN, the firm should use the checkbox indicating that the individual does not have a SSN in order to create a new ID.

Individual Search Criteria U4 - Initial			
Create a New Individual			
SSN:	<input type="text" value="000-00-0000"/>	SSN (again):	<input type="text" value="000-00-0000"/>
<input type="checkbox"/> By selecting this box, I certify that this individual does not have a Social Security number.			
Last Name:	<input type="text" value="Doe"/>	First Name:	<input type="text" value="John"/>
Middle Name:	<input type="text"/>	Suffix:	<input type="text"/>
Birth Date:	<input type="text" value="01/01/1974"/>		
<input type="button" value="Create New ID"/>			

Additional Verification for Existing Individuals

If the individual already exists in CRD, you may be required to verify the individual before proceeding. The following U4 filing types will require additional verification of the individual's social security number (SSN) and month/day of birth for individuals already in CRD:

- Initial
- Dual
- Relicense (all types)
- Page 2 Initial

The verification screen will display after the name hyperlink is selected from the search results. Enter the verification information and click Submit to open the form.

Form Filing

- Create New U4 Filing
- Pending U4 Filings
- Historical U4 Filings

Printer Friendly

Individual Search Results

<<Previous Next>>
 Rows 1 to 1

U4 - Relicense All

Name	CRD	Birth Year
DOE, JOHN A.	1111111	1970

<<Previous Next>>
 Rows 1 to 1

Form Filing

- Create New U4 Filing
- Pending U4 Filings
- Historical U4 Filings

Printer Friendly

Individual Search

Verify SSN, Birth Month/Day

CRD Number: 1111111

First Name: JOHN

Middle Name: A

Last Name: DOE

Suffix:

Birth Year: 1970

Please provide the following information. Leave the Verify SSN field blank and select the check box below if the Individual does not have a SSN:

This individual does not have a SSN. ☐

Verify SSN (xxx-xx-xxxx):

Verify Month/Day of Birth (MM/DD):

Form U4 Section: 1. General Information

On an Initial U4 filing, the Employment date field must be populated with a present or past date (i.e., a future date will not be accepted). Once the Initial filing is submitted, the Employment date is a read-only field.

The Firm Billing Code is an optional field that firms can use as applicable to their firm's internal work processes.

There are options to add both a Registered Office of Employment Address and a Non-Registered Office of Employment Address. However, the individual must be associated with at least one 'Located At' address.

If the individual is located at a non-registered office, you must also provide the registered office of employment that supervises the non-registered location.

1. General Information

First Name: john Middle Name: Last Name: doe Suffix:

Firm CRD #: 00000 Firm Name: SECURITIES FIRM Employment Date (MM/DD/YYYY):
 Firm Billing Code: Individual CRD #: 1111111 Individual SSN: xxx-xx-xxxx View/Edit SSN

Do you have an independent contractor relationship with the above named firm?:
☐ Yes ☐ No

Office of Employment Address:

No Information Filed.

Add Registered Office of Employment Address
 Add Non-Registered Office of Employment Address

« Previous Save Next »


Tips

For existing representatives, this section can be used by the firm to correct SSN errors (requires additional entitlement). If the individual was initially registered without a SSN and now has one to add, the firm will need to contact FINRA to add the SSN.

Firms can also correct Office of Employment Address start and end dates. Corrected dates must pass all relevant completeness checks.

Form U4 Section: 4. SRO Registrations

Use this section to request SRO registrations for the individual. This section is divided into three parts: representative level categories, principal level categories and exchange specific registration categories. There is an option to have CRD auto-select registration categories based on the individual's registration history. The auto-select feature is not based on the exams a person has passed, but the actual registration categories that were held at the individual's most recent firm. Registration categories not recognized by FINRA are not available for auto-selection.

4. SRO Registrations																						
Select appropriate SRO Registration requests.																						
Qualifying examinations will be automatically scheduled if needed. If you are only scheduling or rescheduling an exam, skip this section and complete Section 7 (EXAMINATION REQUESTS).																						
<p> Click the Auto-Select Registration Requests button below to have the system automatically select all eligible registration categories (i.e., those you have held without a lapse) with all SROs that recognize those categories for the Representative and Principal Levels. Once the auto-selected requests have populated, you may deselect any registration request that has been automatically selected.</p> <p>Please note: The Auto-Select functionality will not select any Exchange-Specific Registration Categories. You must manually select these registration requests.</p>																						
<div style="border: 1px solid black; padding: 2px; display: inline-block;">Auto-Select Registration Requests</div>																						
REPRESENTATIVE LEVEL REGISTRATION CATEGORIES																						
REGISTRATION CATEGORIES	FINRA	NYSE	NYSE-AMER	NYSE-ARCA	NYSE-NAT	CBOE	CBOE C2	CBOE BYX	CBOE BZX	CBOE EDGX	CBOE EDGX	NOX	BX	ISE	ISE GEMX	ISE MRX	PHLX	MIAX Options	MIAX PEARL	BOX	CHX	TEX
IR - Investment Company and Variable Contracts Products Rep. (S6TO)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>																			
GS - Full Registration/General Securities Representative (S7TO)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
DR - Direct Participation Program Representative (S22TO)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>																			
MR - Municipal Securities Representative (S52TO)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>																		
TD - Securities Trader (S57TO)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
IB - Investment Banking Representative (S79TO)	<input type="checkbox"/>																					
PR - Limited Representative - Private Securities Offerings (S82TO)	<input type="checkbox"/>																					
RS - Research Analyst (S86 and S87)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>																			
OS - Operations Professional (S99TO)	<input type="checkbox"/>																					
Other _____ (Paper Form Only)																						
RETIRED REGISTRATION CATEGORIES																						
AR - Assistant Representative/Order Processing	<input type="checkbox"/>																					
CD - Canada-Limited General Securities Registered Representative	<input type="checkbox"/>																					
CN - Canada-Limited General Securities Registered Representative	<input type="checkbox"/>																					
CS - Corporate Securities Representative	<input type="checkbox"/>																					
FA - Foreign Associate	<input type="checkbox"/>																					
IE - United Kingdom - Limited General Securities Registered Representative	<input type="checkbox"/>																					
OR - Options Representative	<input type="checkbox"/>											<input type="checkbox"/>	<input type="checkbox"/>							<input type="checkbox"/>	<input type="checkbox"/>	
RG - Government Securities Representative	<input type="checkbox"/>																					

NOTES:

- Retired Registration Categories can only be maintained or transferred by individuals already holding them in their continuous registration period as of October 1, 2018.
- Individuals currently registered as a Foreign Associate (FA) as of October 1, 2018 may continue to maintain the registration with their current firm, but it is not transferrable.

Form U4 Section: 6. Registration Requests with Affiliated Firms

If the individual seeks registration with firm(s) affiliated with the filing firm, complete the necessary information on the affiliated firm. Information required includes: affiliate firm CRD #, employment start date with the affiliate firm, fingerprint requirements, office of employment, and SRO and Jurisdiction registrations.

The buttons for adding an office of employment address and SRO and Jurisdiction registrations will display after the affiliate firm CRD# is entered and saved.

6. Registration Requests with Affiliated Firms	
If the individual seeks registration with firm(s) affiliated with the filing firm, complete the following to make a request for registration with the additional affiliated firm(s) other than the filing firm.	
Affiliated Firm CRD # <input type="text"/>	Affiliated Firm Name <input type="text"/>
Employment Date (MM/DD/YYYY): <input type="text"/>	Do you have an independent contractor relationship with the above named firm?: <input type="radio"/> Yes <input type="radio"/> No
Affiliated Firm Billing Code: <input type="text"/>	

Affiliate Firm Fingerprint Information

Select the radio button for the applicable fingerprint option based on registration with the affiliated firm.

If the affiliated firm registration(s) require the submission of a fingerprint card to FINRA (i.e., the affiliated firm does not qualify for one of the exceptions to the fingerprint requirement and the individual is not applying for only investment adviser representative positions with that affiliated firm), and the filing firm's fingerprint card should be applied to the affiliate registration, choose the third radio button:

- "I am not required to submit a fingerprint card at this time because the fingerprint card submitted by the filing firm applies."

If the filing firm does not select option 3 when the initial filing is submitted, the filing firm has 30 days from the filing submission date to amend the fingerprint options. After 30 days, the affiliate firm will need to submit a separate fingerprint card. Also, the Employment Start Date for the affiliate firm must be the same as the Employment Start Date for the filing firm in order for a single fingerprint card to apply to both firms.

Affiliated Firm Fingerprint Information
<u>Electronic Filing Representation</u> <input type="radio"/> By selecting this option, I represent that I am submitting, have submitted, or promptly will submit to the appropriate SRO a fingerprint card as required under applicable SRO rules; or Fingerprint card barcode <input type="text"/>
<input type="radio"/> By selecting this option, I represent that I have been employed continuously by the <i>affiliated firm</i> since the last submission of a fingerprint card to CRD and am not required to resubmit a fingerprint card at this time; or,
<input checked="" type="radio"/> I am not required to submit a fingerprint card at this time because the fingerprint card submitted by the <i>filing firm</i> applies; or,
<input type="radio"/> By selecting this option, I represent that I have been employed continuously by the <i>affiliated firm</i> and my fingerprints have been processed by an SRO other than FINRA. I am submitting, have submitted, or promptly will submit the processed results for posting to CRD.

Form U4 Section: 7. Examination Requests

If the representative needs to qualify by exam for a registration position selected in Form U4 Section 4, the system will automatically schedule the necessary exam.

Therefore, Section 7 should **only** be completed when:

- Rescheduling an exam (either the representative failed the exam, or the window expired)
- Scheduling a non-FINRA exam
- Scheduling an untracked Continuing Education (CE) session (does not count towards anniversary requirement)

7. Examination Requests				
<p>Scheduling or Rescheduling Examinations Complete this section only if you are scheduling or rescheduling an examination or continuing education session. Do not select the Series 63 (S63) or Series 65 (S65) examinations in this section if you have completed Section 5 (JURISDICTION REGISTRATION) and have selected registration in a <i>jurisdiction</i>. If you have completed Section 5 (JURISDICTION REGISTRATION), and requested an AG registration in a <i>jurisdiction</i> that requires that you pass the S63 examination, an S63 examination will be automatically scheduled for you upon submission of this Form U4. If you have completed Section 5 (JURISDICTION REGISTRATION), and requested an RA registration in a <i>jurisdiction</i> that requires that you pass the S65 examination, an S65 examination will be automatically scheduled for you upon submission of this Form U4.</p>				
<input checked="" type="checkbox"/> SIE	<input type="checkbox"/> S16	<input type="checkbox"/> S31	<input type="checkbox"/> S53	<input type="checkbox"/> S86
<input type="checkbox"/> S3	<input type="checkbox"/> S22TO	<input type="checkbox"/> S32	<input type="checkbox"/> S57TO	<input type="checkbox"/> S87
<input type="checkbox"/> S4	<input type="checkbox"/> S23	<input type="checkbox"/> S34	<input type="checkbox"/> S63	<input type="checkbox"/> S99TO
<input type="checkbox"/> S6TO	<input type="checkbox"/> S24	<input type="checkbox"/> S39	<input type="checkbox"/> S65	<input type="checkbox"/> S101
<input type="checkbox"/> S7TO	<input type="checkbox"/> S26	<input type="checkbox"/> S50	<input type="checkbox"/> S66	<input type="checkbox"/> S106
<input type="checkbox"/> S9	<input type="checkbox"/> S27	<input type="checkbox"/> S51	<input type="checkbox"/> S79TO	<input type="checkbox"/> S201
<input type="checkbox"/> S10	<input type="checkbox"/> S28	<input type="checkbox"/> S52TO	<input type="checkbox"/> S82TO	<input type="checkbox"/> S901
<input type="checkbox"/> S14	<input type="checkbox"/> S30			
Other _____ (Paper Form Only) OPTIONAL: Foreign Exam City _____ Date (MM/DD/YYYY) _____				
<input type="button" value="Previous"/>		<input type="button" value="Save"/>		<input type="button" value="Next"/>

NOTES:

- In order to qualify for representative-level registrations, new applicants will be required to take both the SIE and the applicable top-off exam. Passing just the SIE does not qualify for representative registration. Please see [Securities Industry Essentials \(SIE\) Exam](#) page for more information.
- SIE enrollments and vouchers for non-registered individuals outside of the Form U4 can be purchased. Please see the [User Guide for Enrolling Individuals for the SIE \(Non-Form U4\)](#) for more information.
- Scheduling an untracked CE session via Form U4 **does not** satisfy the representative's regular anniversary (tracked) CE requirement.
- The Initial filing type displays an additional option at the bottom of the section for individuals that have previously taken an exam outside of the Form U4 process in CRD (e.g., NASAA, MSRB or NFA exams). Select the **Exam type** dropdown filed to select the exam and complete the **Date taken** field. When the Initial U4 filing is submitted, the exam data will be reflected as part of the individual's CRD record. (Not available on other U4 filing types, see sample Initial screenshot below.)

If you have taken an exam prior to registering through the CRD system please enter the exam type and date taken.

Exam type:

Date taken:

Form U4 Section: 8. Professional Designations

Filers can optionally select applicable professional designations that are currently held by the individual. Some designations can be used by state regulators as qualifiers for the RA position in lieu of S65/S66.

NOTES:

- An error will display if the individual does not currently hold the designation selected.
- If the individual does currently hold the designation and an error still displays, contact the designating authority to request that they send an updated list to FINRA with the individual's correct name and CRD number.

8. Professional Designations	
Select each designation you currently maintain.	
<input type="checkbox"/>	Certified Financial Planner
<input type="checkbox"/>	Chartered Financial Consultant (ChFC)
<input type="checkbox"/>	Personal Financial Specialist (PFS)
<input type="checkbox"/>	Chartered Financial Analyst (CFA)
<input type="checkbox"/>	Chartered Investment Counselor (CIC)

Form U4 Section: 11. Residential History

The current address is mandatory and a minimum of five (5) years of residential history must be provided.

NOTES:

- There must not be gaps of more than three (3) months between history records.
- Postal codes must be valid for the state selected.

11. Residential History	
Starting with the current address, give all addresses for the past 5 years. Report changes as they occur.	
From (MM/YYYY)	01/2000
To (MM/YYYY)	PRESENT
Address Street 1:	123 Main St
Address Street 2:	
City:	Rockville
State:	Maryland
Postal Code:	20850
Country:	United States
<input type="button" value="Save"/> <input type="button" value="Save & Add Another"/>	

Form U4 Section: 12. Employment History

A minimum of ten (10) years of employment must be provided. The individual's employment with the filing firm should be the first entry. All fields must be completed on each employment record.

NOTE: There may not be gaps of more than three (3) months between employment records.

12. Employment History						
	From	To	Name of Firm or Company	Address	Investment Related	Position Held
Edit Delete	01/2015	PRESENT	SSECURITIES FIRM	Rockville, MD United States	Yes	Admin
Edit Delete	02/2000	01/2015	123 Company	Rockville, MD United States	No	Sales Clerk

« Previous Create New Employment Next »

Form U4 Section: 13. Other Business

Use this section to report business activity that is outside the scope of the registered person's relationship with the firm. You may exclude non investment-related activity that is exclusively charitable, civic, religious or fraternal and is recognized as exempt.

Please refer to the form text for additional guidance on what should be reported. Additionally, guidance on Other Business on Form U4 versus Form BR can be found in the [Branch Office Registration FAQs](#).

13. OTHER BUSINESS
<p>Are you <u>currently</u> engaged in any other business either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise? (Please exclude non <i>investment-related</i> activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.) If YES, please provide the following details: the name of the other business, whether the business is <i>investment-related</i>, the address of the other business, the nature of the other business, your position, title, or relationship with the other business, the start date of your relationship, the approximate number of hours/month you devote to the other business, the number of hours you devote to the other business during securities trading hours, and briefly describe your duties relating to the other business.</p> <p><input checked="" type="radio"/> Yes <input type="radio"/> No</p> <p>If 'Yes', please enter details below.</p> <div> PARTNER OF AN INVESTMENT ADVISER FIRM. </div>

NOTE: A completeness check will display when the following data is entered in Section 13 Other Business of Form U4:

- Any number in Social Security Number (SSN) format (xxx-xx-xxxx)
- A full or partial entry of the individual's SSN (any format)

Form U4 Section: 14. Disclosure Questions

14. DISCLOSURE QUESTIONS	
IF THE ANSWER TO ANY OF THE FOLLOWING QUESTIONS IS 'YES', COMPLETE DETAILS OF ALL EVENTS OR PROCEEDINGS ON APPROPRIATE DRP(S)	
REFER TO THE EXPLANATION OF TERMS SECTION OF FORM U4 INSTRUCTIONS FOR EXPLANATIONS OF ITALICIZED TERMS.	
Criminal Disclosure	
14A. (1) Have you ever:	YES NO
(a) been convicted of or pled 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"/>
(b) been <i>charged</i> with any <i>felony</i> ?	<input type="radio"/> <input checked="" type="radio"/>
(2) Based upon activities that occurred while you exercised <i>control</i> over it, has an organization ever:	
(a) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic or foreign court to any <i>felony</i> ?	<input type="radio"/> <input checked="" type="radio"/>
(b) been <i>charged</i> with any <i>felony</i> ?	<input type="radio"/> <input checked="" type="radio"/>

Questions 14A and B: Criminal Actions

Questions 14A and 14B pertain to criminal disclosures against an individual, or against an organization while the individual exercised control over it. The questions address felony convictions and charges and specified misdemeanor convictions and charges. All convictions and charges that meet the threshold of Questions 14A and 14B are reportable **no matter how long ago they occurred** as the questions are prefaced with the wording "have you **ever**..."

NOTE: Certain criminal events may subject an individual to a Statutory Disqualification. Please refer to [FINRA's Eligibility Requirements](#) for more information.

Questions 14C, D, E, F and G: Regulatory Disciplinary Actions

Questions 14C, D, and E pertain to findings (see Explanation of Terms for definition of *found*) and/or actions taken by regulators against the individual. Each of the questions correspond to specific regulators:

Regulatory events may require a **Yes** response to more than one question (e.g., an individual is *found* to have been *involved* in a violation of *investment-related* statute and suspended by FINRA; this may require a **Yes** answer to Questions 14E2 and 14E4 and the completion of a Regulatory Action Disclosure Reporting Page).

Question 14H: Civil Judicial Actions

Question 14H pertains to domestic or foreign court findings or actions against the individual involving *investment-related* violations. All disclosures that meet the threshold of **Question 14H(1) (a, b and c)** are reportable **no matter how long ago they occurred**.

Question 14I: Customer Complaints, Arbitrations, and Civil Litigations

Question 14I pertains to consumer-initiated, *investment-related* arbitrations, civil litigations, and complaints.

Question 14J: Terminations

Question 14J pertains to terminations. The termination could be voluntary or involuntary, however, the element that makes the event reportable is that the termination occurred after certain allegations were made as specified in questions 14J(1), (2) or (3).

Questions 14K, L and M: Financial

Questions 14K, L and M pertain to financial information.

Disclosure Reporting Pages (DRPs)

Disclosure Reporting Pages must be completed to provide information on Yes answers to Disclosure Questions. There are nine types of Form U4 DRPs: Bankruptcy/SIPC/Compromise with Creditors, Bond, Civil Judicial, Criminal, Customer Complaint/Arbitration/ Civil Litigation, Investigation, Judgment/ Lien, Regulatory Action and Termination.

Criminal DRP corresponds to Questions 14A and 14B.

Regulatory Action DRP corresponds to Questions 14C, 14D, 14E, 14F and 14G(1).

Investigation DRP corresponds to Question 14G(2).

Civil Judicial DRP corresponds to Question 14H.

Customer Complaint/Arbitration/Civil Litigation DRP corresponds to Question 14I,

Termination DRP corresponds to Question 14J.

Bankruptcy/SIPC/Compromise with Creditors DRP corresponds to Question 14K.

Bond DRP corresponds to Question 14L.

Judgment/Lien DRP corresponds to Question 14M.

The questions vary based on the corresponding DRPs section (e.g., Civil Judicial, Criminal, Customer Complaint or Investigation); this page serves to assist you in determining which DRP you should complete. The following page displays a Regulatory Action DRP as an example.

- 12. Employment History
- 13. Other Business
- 14. Disclosure Questions
- 15. Signatures
- **DRPs**

- » **DRP Instructions**
- » **Bankruptcy / SIPC /
Compromise with
Creditors**
- » **Bond**
- » **Civil Judicial**
- » **Criminal**
- » **Customer Complaint /
Arbitration / Civil
Litigation**
- » **Investigation**
- » **Judgment/Lien**
- » **Regulatory Action**
- » **Termination**

Form U4 Disclosure Questions and Corresponding DRPs		
Form U4 Question Number	Form U4 Question	Corresponding U4 DRPs for the U4 Disclosure Question
14A(1)(a)	Have you ever been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to any <i>felony</i> ?	Details to question 14A(1)(a) must be reported on the Criminal DRP (U4).
14A(1)(b)	Have you ever been <i>charged</i> with any <i>felony</i> ?	Details to question 14A(1)(b) must be reported on the Criminal DRP (U4).
14A(2)(a)	Based upon activities that occurred while you exercised control over it, has an organization ever been convicted of or pled guilty or nolo contendere ("no contest") in a domestic or foreign court to any <i>felony</i> ?	Details to question 14A(2)(a) must be reported on the Criminal DRP (U4).
14A(2)(b)	Based upon activities that occurred while you exercised control over it, has an organization ever been <i>charged</i> with any <i>felony</i> ?	Details to question 14A(2)(b) must be reported on the Criminal DRP (U4).
14B(1)(a)	Have you ever been convicted of or pled 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?	Details to question 14B(1)(a) must be reported on the Criminal DRP (U4).

NOTE: Links to specific DRPs will appear when the **DRPs** link is selected on the left navigation panel.

DRPs (continued)

Once you have determined the type of DRP that you need to submit, you have the option to **View**, **Edit** or **Create a New DRP**.

You can **View** an existing DRP to see the information that was previously entered. **Edit** is used to make changes to an existing DRP, **Create New DRP** is used to submit details on a new disclosure event,

U4 - REGULATORY ACTION DRP				
	Occurrence ID#	Date Initiated	Initiator Name	Docket/Case#
View Edit	1390797	01/07/2008	STATE OF WISCONSIN, DEPARTMENT OF FINANCIAL INSTITUTIONS, DIVISION OF SECURITIES	111-1111
View Edit	1361968	07/25/2007	FINRA	2222222

[Next](#)
[Create New Regulatory Action DRP](#)
[Previous](#)

If you Edit a DRP the appropriate question(s) will be pre-populated. If you Create a New DRP, you need to check the question(s) that you are responding. Enter the remaining data as needed.

REGULATORY ACTION				Rev. DRP (05/2009)
Check the question(s) you are responding to, regardless of whether you are answering the question(s) "yes" or amending the answer(s) to "no":				
<input type="checkbox"/> 14C(1)	<input type="checkbox"/> 14D(1)(a)	<input type="checkbox"/> 14E(1)	<input type="checkbox"/> 14F	
<input type="checkbox"/> 14C(2)	<input type="checkbox"/> 14D(1)(b)	<input type="checkbox"/> 14E(2)		
<input type="checkbox"/> 14C(3)	<input type="checkbox"/> 14D(1)(c)	<input type="checkbox"/> 14E(3)	<input type="checkbox"/> 14G(1)	
<input type="checkbox"/> 14C(4)	<input type="checkbox"/> 14D(1)(d)	<input type="checkbox"/> 14E(4)		
<input type="checkbox"/> 14C(5)	<input type="checkbox"/> 14D(1)(e)	<input type="checkbox"/> 14E(5)		
<input type="checkbox"/> 14C(6)	<input type="checkbox"/> 14D(2)(a)	<input type="checkbox"/> 14E(6)		
<input type="checkbox"/> 14C(7)	<input type="checkbox"/> 14D(2)(b)	<input type="checkbox"/> 14E(7)		
<input type="checkbox"/> 14C(8)				
Click here to view question text				
<input type="checkbox"/> By selecting this box, I hereby request that the data on this Form U4 filing be used to satisfy my firm's reporting obligation pursuant to the applicable provision of FINRA Rule 4530(a)(1) .				
One event may result in more than one affirmative answer to the above items. Use only one DRP to report details related to the same event. If an event gives rise to actions by more than one regulator, provide details to each action on a separate DRP.				
1. Regulatory Action initiated by: A. (Select appropriate item): <input type="radio"/> SEC <input type="radio"/> Other Federal Agency <input type="radio"/> Jurisdiction <input type="radio"/> SRO <input type="radio"/> CFTC <input type="radio"/> Foreign Financial Regulatory Authority <input type="radio"/> Federal Banking Agency <input type="radio"/> National Credit Union Administration <input type="radio"/> Other B. Full name of regulator (if other than the SEC) that initiated the action: <input type="text"/>				

NOTE: Regulatory Actions, Civil/Judicial Actions, Criminal and Customer Complaints DRPs have an optional checkbox that allows the information that is submitted on the DRP to also apply towards meeting FINRA Rule 4530 requirements. Details are described in FINRA [Regulatory Notice 13-08](#).

DRPs (continued)

When completing DRPs:

- You must complete the appropriate **Date** fields. If unsure of the exact date, select the **Explanation** radio button, enter an approximate date and provide an explanation in the text box.
- Depending on the dates entered, a Late Disclosure Fee may apply. If so, the fee will be automatically charged by the system upon submission of the filing. Additional information about late fees can be found in the applicable [FAQs](#).
- Select the **Pending, On Appeal** or **Final** radio button depending on the status of the event you are reporting.
- If desired, enter a brief summary of the details related to the circumstances of the action and its status, disposition and/or finding(s) in the **Comment** text box at the bottom of the DRP.
- A completeness check will display when the following data is entered in the case number fields in Bankruptcy and Judgment/Lien Disclosure Reporting Pages (DRP):
 - Any number in Social Security Number (SSN) format (xxx-xx-xxxx)
 - A full or partial entry of the individual's SSN (any format)

Additional information on reportable disclosures can be found in the [Forms U4 and U5 Interpretive Questions and Answers](#) online document.

Allow Rep Edits Feature

Allow Rep Edits is an optional feature that allows firms to route a pending Form U4 electronically to a representative for completion. The firm has the option to allow the rep to access the full Form U4 filing or restrict access to sections 4 through 8. The representative will **not** be able to submit the filing to regulators, but rather submits the filing back to the firm for final review and submission.

Be sure to click 'Submit' on this page to send the filing to the representative. Also, make note of the reference number if the individual will use the registered rep site to complete the form (see following page).

Submissions	TRAINING FIRM1 (11111)	Rev. Form U4 (05/2009)
Allow Rep Edits ▪ Completeness Check ▪ Submit Filing ▪ Print Preview	DOE, JOHN (1111111)	U4 Amendment - Filing ID: 49595956
U4 Filing	ALLOW REP EDITS	
▪ Filing Instructions ▪ 1. General Information ▪ 2. Fingerprint Information ▪ 3. Registration with Unaffiliated Firms ▪ 4. SRO Registrations ▪ 5. Jurisdiction Registration ▪ 6. Registration Requests with Affiliated Firms ▪ 7. Examination Requests ▪ 8. Professional Designations ▪ 9. Identifying Information/Name Change ▪ 10. Other Names ▪ 11. Residential History ▪ 12. Employment History ▪ 13. Other Business ▪ 14. Disclosure Questions ▪ 15. Signatures ▪ DRPs	<p>Please specify the level of representative access for this filing:</p> <p><input type="radio"/> Allow full access for rep edits (all the pages of the filing will be available for edit by representative).</p> <p><input type="radio"/> Do not allow rep edits for the following sections</p> <p style="margin-left: 20px;"> 4. SRO Registrations 5. Jurisdiction Registration 6. Registration Requests with Affiliated Firms 7. Examination Requests 8. Professional Designations </p> <p style="text-align: center; margin-top: 20px;">The Representative can access filings through the Financial Professional Gateway</p> <p>**** You can include this information in your communication to the Representative ****</p> <p>Hello DOE, JOHN,</p> <p>Please edit/review your U4 filing by following the instructions below.</p> <p>Reference Number: 39942625252F4C634</p> <p>-----</p> <p>To access the Financial Professional Gateway</p> <p>-----</p> <p>1. Go to http://finpro.qa.finra.org</p> <p>2. Enter your Financial Professional Gateway username and password or register as a new user</p> <p style="text-align: center; margin-top: 20px;">Submit</p>	

Allow Rep Edits Feature (continued)

The representative will be able to access the allowed sections of the form using one of two methods:

1. Navigate to the site for reps (<https://filing.crd.finra.org/crdmain>) and enter the reference number, or
2. Log in to the Financial Professional Gateway (FinPro).

Note: Assistance getting your reps enrolled in FinPro, please visit the [FinPro information page](#) online.

Upon completion, the representative submits the filing back to the firm using the **Submit To Firm** link in the top-left of the navigation panel. The filing will then be available in the firm's Pending U4 Filings queue to submit to CRD.

The screenshot shows the 'Web CRD' portal interface. On the left, a navigation menu is visible with a 'Submissions' section. Within this section, the 'Submit To Firm' link is highlighted with a red circle. Other links in the menu include 'Completeness Check' and 'Print Preview'. The main content area displays the 'FORM U4' title and 'UNIFORM APPLICATION FOR SECURITIES INDUSTRY REGISTRATION OR TRANSFER'. It includes 'GENERAL INSTRUCTIONS' and a list of sections to be completed, such as 'GENERAL INFORMATION', 'FINGERPRINT INFORMATION', and 'DISCLOSURE QUESTIONS'.

Tip

- At any time the firm can retrieve a filing sent to a representative by accessing the CRD Registered Representative Site: <https://filing.crd.finra.org/crdmain>, entering the reference number and clicking **Submit To Firm** in the top-left of the navigation panel. The filing will then be available in the firm's Pending U4 Filings queue.

Submitting Form U4

When the firm is ready to submit the filing to CRD, the submission menu for Form U4 can be found in the top-left of the navigation panel.

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. Clicking the error location link will automatically take the user to the page where the error exists.

ON-LINE COMPLETENESS CHECK	
Error Location	Error Description
General Information	The Employment Date in General Information is mandatory.
General Information	The question, Do you have an independent contractor relationship with the above named firm? Must be explicitly answered Yes or No.
Signatures	Signature of Appropriate Signatory is mandatory
Signatures	Signature Date of Appropriate Signatory is mandatory
Signatures	Signature Name is mandatory.
Signatures	Signature Date is mandatory.

Print Preview - Used to view the entire filing for printing purposes. You can choose to print a specific page or the entire filing.

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

U4 ON - LINE COMPLETENESS CHECK PASSED SUCCESSFULLY.

2. To print the entire form filing select **All Sections** from the navigation panel. Otherwise, select the Form U4 section you wish to print.
3. Click the **Printer Friendly** icon located on the right side of the screen

FORM U4
UNIFORM APPLICATION FOR SECURITIES INDUSTRY REGISTRATION OR TRANSFER

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

1. GENERAL INFORMATION

Submitting Form U4 (continued)

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.

The screenshot shows the Web CRD interface. On the left is a navigation menu with 'Submissions' and 'U4 Filing' sections. 'Submit Filing' is highlighted in the 'Submissions' section. The main area displays the 'SUBMISSION COMPLETENESS CHECK' results, which state: 'U4 SUBMISSION COMPLETENESS CHECK PASSED SUCCESSFULLY. PLEASE SELECT THE 'SUBMIT FILING' BUTTON BELOW TO SUBMIT TO CRD.' A 'Submit Filing' button is located at the bottom right of the main area.

Retrieving Pending Filings

Filings that have been started but not submitted are considered pending filings. Once a filing is created, it remains in a pending, or draft state for 60 days from the creation date. Firms can access their pending U4 filings through the Site Map or the Forms tab.

Enter the individual's **CRD Number** or **SSN** and click **Search**.

NOTE: To view filings that were created by you, select **Filings initiated by current user only**.

The screenshot shows the 'Pending Filing Search' form. It includes search criteria sections: 'Search by CRD Number' with a text input field, 'Search by Social Security Number' with a text input field, and 'Search by Firm Billing Code' with a text input field. There is also a 'Filter by Filing Type' section with radio buttons for 'All', 'Filings currently with Representative', and 'Filings currently with Registration Department'. A 'Filter by current user' section has a checkbox for 'Filings initiated by current user only'. At the bottom, there is a 'Select Sort Criteria' section with radio buttons for 'Ascending' and 'Descending'. A 'Search' button is located at the bottom right.

Retrieving Pending Filings (continued)

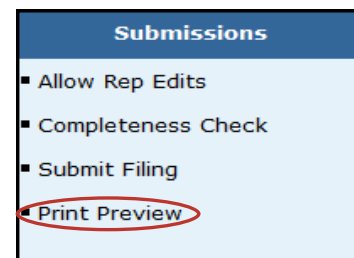
Click the **Filing ID** hyperlink to continue working on the filing. If you no longer wish to submit this filing, you have the option to **Delete** the filing. The columns can be sorted by the hyperlinked column headers.

NOTE: If something in the individual's record has changed since the filing was created, the filing will be set to "Invalid—view read-only" and must be re-started.

The **Expected Purge Date** indicates the day the filing will be deleted from the Pending Filing queue if it is not submitted. Deleted filings cannot be recovered.

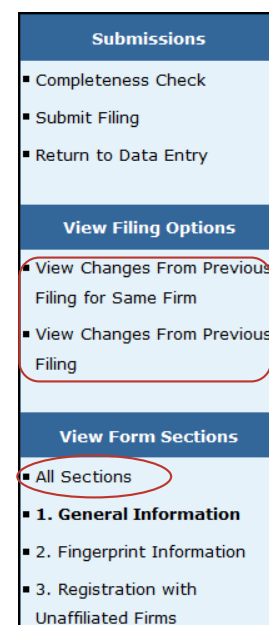
Pending Filing Search U4													
Show Search Criteria													
Records per Page: 25 Total Records: 1													
Filing ID	Submission Status	Filing Type	Name	CRD	SSN	Billing Code	CC Status	Creation Date	User ID	Submission Type	Expected Purge Date	Reference Number	Delete
12868518	Pending Submission	Amendment	Doe, John	1111111	xxx-xx-xxxx	View SSN	Fail	10/25/2016	USER01	WEB	12/26/2016	113418336828E1F26	Delete
Records per Page: 25 Total Records: 1													

To see what changes have been made on a Pending filing, open the filing and select **Print Preview** from the Submissions menu.



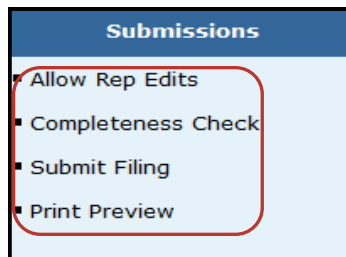
Users will have the option to view the full filing or view changes in "redline mode" by selecting one of the **View Changes** options.

NOTE: Redlining will not display across form versions.



Retrieving Pending Filings (continued)

Select an option from the Submissions menu to continue the submission process (see page 16).



Viewing Historical Filings

The **Historical Filings** feature allows users to view and/or print Form U4 filings submitted by your firm for a specific individual. The **User ID** of the user that submitted the filing will display. Firms can access historical U4 filings from the Site Map or the Forms tab.

NOTE: Non-FINRA users will only see the ID of users from their own organization.

Select the filing **ID** to view the filing.

Historical Filing Search				
Individual: Doe, John (1111111)				
U4				
Show Search Criteria ▾				
Records per Page: 25 ▾ Total Records: 2				
ID	Date	Type	Submitted by	User ID
41265715	07/20/2015	U4 Amendment	SECURITIES FIRM (00000)	USER1234
41265713	07/20/2015	U4 Initial	SECURITIES FIRM (00000)	USER1234
Records per Page: 25 ▾ Total Records: 2				

Users will have the option to view the full filing or view changes in “redline mode” by selecting one of the **View Changes** options.

NOTE: Redlining will not display across form versions.

<div> <div>View Filing Options</div> <ul style="list-style-type: none"> View Changes From Previous Filing for Same Firm View Changes From Previous Filing </div> <div> <div>View Form Sections</div> <ul style="list-style-type: none"> All Sections 1. General Information 2. Fingerprint Information 3. Registration with Unaffiliated Firms </div>		<div>U4 - AMENDMENT 11/18/2009</div> <div>Rev. Form U4 (05/2009)</div> <div>Individual Name: DOE, JOHN (1111111)</div> <div>Firm Name: SECURITIES FIRM (0000)</div>	
1. GENERAL INFORMATION			
First Name: JOHN	Middle Name:	Last Name: DOE	Suffix:
Firm CRD #: 0000	Firm Name: SECURITIES FIRM	Employment Date (MM/DD/YYYY): 06/01/2008	Individual SSN: 000-00-0000
Firm Billing Code:	Individual CRD #: 1111111	Do you have an independent contractor relationship with the above named firm?: <input type="radio"/> Yes <input checked="" type="radio"/> No	