



UNIFORM FORMS REFERENCE GUIDE

If you have questions or comments about the Form U4 or the Form U5, you may contact the following entities:

Electronic Filing Information:

Central Registration Depository (CRD[®]), Web CRD[®]
FINRA
P.O. Box 9495
Gaithersburg, MD 20898-9495
Telephone: (Gateway Call Center) (301) 869-6699
Website: www.finra.org/crd
Email: ecorrespondence@finra.org

Investment Adviser Registration Depository (IARD[™])
Telephone: (IARD Hotline) (240) 386-4848
Websites: www.iard.com, www.nasaa.org, www.sec.gov/iard
Email: iard@finra.org

Note: FINRA[®] is the entity designated as the filing depository by the U.S. Securities and Exchange Commission for purposes of the Investment Advisers Act of 1940. See "designated entity" in the Explanation of Terms in the Form U4. For further information, see Securities and Exchange Commission Release No. IA-1888 (July 28, 2000) [available on the World Wide Web at www.sec.gov/iard].

Paper Filing Information

Form U4 filings (both initial applications and amendments) generally will be made electronically through Web CRD/IARD. However, some individuals may need to file the form on paper. Such filers may include, for example, agents of issuers, certain persons filing with stock exchanges, and certain investment adviser representatives. If you are uncertain about your filing status, please contact your state regulator or self-regulatory organization (SRO). A list of state regulators, with contact information, is located on the NASAA website at www.nasaa.org.

Form U5 filings (both initial termination notices and amendments) generally will be made electronically through Web CRD/IARD. However, some individuals may need to file the form on paper. If you are uncertain about your filing status, please contact your state regulator or SRO. A list of state regulators, with contact information, is located on the NASAA website at www.nasaa.org.

Other Contacts:

- State Licensing Issues:

North American Securities Administrators Association (NASAA)
750 First Street, NE, Suite 1140
Washington, DC 20002
Telephone: (202) 737-0900
Fax: (202) 783-3571
Website: www.nasaa.org

Or contact your state regulator. Contact information is available from NASAA's Corporate Office, (202) 737-0900, through NASAA's website at: www.nasaa.org, or through FINRA's website at www.finra.org.

Fingerprints for investment adviser representative (RA) only applicants:

Please contact your state securities regulator regarding fingerprint requirements and the submission of fingerprint cards for states requiring fingerprints.

Designation of Type of Filing

Electronic filers must select from the following:

Initial Registration. Select this filing type if this is your first filing in the securities industry or if you have not had an active registration for more than 30 days.

Amendment. Select this filing type to make an amendment to your Form U4 filing or to correct deficiencies, request additional registrations, or reschedule an examination or continuing education session.

Page 2 for BD Schedule A/B. Select this filing type 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. This type of filing is referred to as a "Page 2 for BD Schedule A/B" because the Direct or Indirect Owners formerly provided personal, employment and residential information on "Page 2" of the Paper Form U4, used prior to electronic filing through Web CRD.

Page 2 Amendment for BD Schedule A/B. Select this filing type to amend 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. This type of filing is referred to as a "Page 2 Amendment for BD Schedule A/B" because the Direct or Indirect Owners formerly provided personal, employment and residential information on "Page 2" of the Paper Form U4, used prior to electronic filing through Web CRD.

Dual Registration with Firms Not Under Common Ownership and Control. Select this filing type if you are currently registered with a firm and are seeking to register with another firm that is not controlled by or does not share a common control relationship with the firm or firms with which you are currently registered.

Relicensing. Select this filing type if you are currently registered with another firm or have been registered with another firm within the last 30 days. (Relicensing is designed for individuals who are already registered and are merely changing firms. Some states and SROs will approve a relicensing request immediately and automatically. Others will grant a temporary 30-day registration so that the individual can continue working in the securities industry while the relicensing request is being reviewed. An individual must sign the relicensing signature page (Temporary Registration Acknowledgment) on the Form U4 to request relicensing registration. Following submission of a Relicensing Filing, Web CRD will inform the firm of the individual's status in each state or exchange where registration has been requested.)

Concurrence. Select this filing type to submit a Form U4 Amendment Filing concurring to and thereby adopting Form U4 changes made by another firm that employs the individual. A concurrence filing can be filed when any of the following information was changed on a Form U4 filing submitted by the other employing firm and you are concurring to those changes: Identifying Information/Name Change, Other Names, Residential History, Employment History, Other Business, Disclosure Questions or DRPs.

Transition Filing. Before an IA-only firm files its first electronic Form U4 filing for an existing RA, the firm must submit a "transition filing", i.e., update Web CRD to reflect the states with which the RA is currently registered. Transition filing applies to **existing** RAs who are already registered or licensed in states through paper filings. A transition filing ensures the firm that it will not be charged for state registration fees previously paid before implementation of RA functionality in Web CRD.

Qualification Criteria/Information for RA applicants

If you are seeking registration as an RA you may qualify in several ways. The qualification criteria and accompanying form instructions are explained below:

1. If you have an existing valid RA registration in a jurisdiction and you are transferring to a new firm within the same jurisdiction, check the appropriate jurisdiction box; do not request an examination you have already passed because you will not be required to retake the examination.
2. If you have an existing RA registration in any jurisdiction that was effective before 01/01/2000, you qualify to be grandfathered into the new jurisdiction(s) in which you seek registration without an examination. Check the box(es) for the jurisdiction(s) in which you are seeking registration; do not request an examination.

3. If you do not maintain an existing RA registration or you are not already qualified for the RA registration requested, you may qualify by (1) passing both the Series 7 (S7) and Series 66 (S66) examinations or (2) by passing the Series 65 (S65) examination. In addition, some jurisdictions accept certifications from professional organizations as a basis for a waiver of the S65 or S66 examinations. You should check the requirements of the jurisdiction(s) in which you are seeking registration before completing this section of the form.

If you wish to qualify with a combination of the S66 and the S7 examinations, check the S66 examination box and also the S7 examination box. By checking both boxes, you will be scheduling both exams at the same time. If you wish to qualify with this exam combination, but want to schedule the S7 or S66 exam at a later date, you must make another filing to request the exam. Please note, however, that the two exams are co-requisites and states require successful completion of both exams prior to granting your RA registration in a state.

If you wish to qualify for state registration with an S65 examination, check the S65 box.

If you wish to qualify for RA registration using any of the designations listed in this section of the form as a basis for automatically waiving the S65 or S66 examinations (in jurisdictions that accept the designation(s) as a basis for a waiver), check the box next to each designation you currently maintain.

(1) Certified Financial Planner (CFP) awarded by the Certified Financial Planner Board of Standards, Inc.;

(2) Chartered Financial Consultant (ChFC) awarded by the American College, Bryn Mawr, Pennsylvania;

(3) Personal Financial Specialist (PFS) awarded by the American Institute of Certified Public Accountants;

(4) Chartered Financial Analyst (CFA) awarded by the Association for Investment Management Research;

(5) Chartered Investment Counselor (CIC) awarded by the Investment Counsel Association of America, Inc.

Note: If you do not request a qualifying examination or check one or more of the designation box(es) and you do not maintain an existing registration that would qualify you for the RA position, you will be automatically scheduled for the S65 examination, and the examination fee will be deducted from the firm's Web CRD or IARD financial account.

Disclosure Questions

Filers must answer all applicable questions under Section 14 (Disclosure Questions) and Section 7 (Disclosure Questions). Note that some questions may overlap and in some cases require filers to answer more than one subpart of a question.
