

Quick Reference Guide for Adding RSL Responses on Form U4

1. Within the “Registration Requests with Firms” section, use the drop-down chevron to open the “Office of Employment Address” section. From there, you will either: (1) edit an existing Non-Registered, Private Residence location (**Step 2** below); or (2) enter a new Private Residence location (**Step 3** below).
2. The following screen shots demonstrate how to edit an existing Non-Registered, Private Residence location. Select the “Office of Employment Address” section on the left navigation panel, then select the “Edit” icon on the far-right side of the row you need to amend (see screen shots below). Once the data entry screen appears, continue to **Step 4** below.

FINRA demo3000005 FINRA DEMO FIRM (ORG ID: 3000005)

U4 Rep Name: Broker, Bobby (CRD: 80000218) Filing ID: 82734281 Filing Type

Data Entry

- Personal Information
- Employment History / Other Business
- Registration Requests with Firms
- FINRA DEMO FIRM (CRD: 3000005)**
- Office of Employment Address**
- SRO Registrations
- Jurisdictions
- Fingerprints Information
- Registration with Unaffiliated

Office of Employment Address

Office of Employment Addresses

Current Office of Employment Locations (3) [Show All Office of Employment Locations \(3\)](#)

CRD Branch #	NYSE Branch Code #	Firm Billing Code	Address
			10 Private Residence Germantown, MD, USA, 2
			2 home street Germantown, MD, USA, 2
8044203			9509 Key West Ave Rockville, MD, USA, 2085

[+ Add Registered Office of Employment Address](#) [+ Add Non-Registered Office of Em](#)

Updated: 10/16/24 Firm Name: FINRA DEMO FIRM Firm CRD: 3000005 DRAFT

[Form U4 Instructions](#)

Office	Residential Supervisory Location	Type of Office	Start Date	End Date	
		Located At	09/01/2024		Edit
		Located At	08/01/2024		Edit
		Supervised From	09/18/2023		Edit

3. The following screen shots demonstrate how to create a new location that is a Non-Registered, Private Residence location. Click the “Add Non-Registered Office of Employment Address” link below the table (see

screen shots below). Once the data entry screen appears, add the appropriate address information for the location. Continue to **Step 4** below.

FINRA demo3000005 FINRA DEMO FIRM (ORG ID: 3000005)

U4 Rep Name: Broker, Bobby (CRD: 80000218) Filing ID: 82734281

Data Entry

Personal Information

Employment History / Other Business

Registration Requests with Firms

FINRA DEMO FIRM (CRD: 3000005)

Office of Employment Address

SRO Registrations

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Registration with Unaffiliated

Office of Employment Address

Office of Employment Addresses

Current Office of Employment Locations (3) [Show All Office of Empl](#)

CRD Branch #	NYSE Branch Code #	Firm Billing Code	A
			1 C
			2 C
8044203			9 R

[+ Add Registered Office of Employment Address](#) [+ Add Non-Regi](#)

FINRA DEMO FIRM (ORG ID: 3000005)

Name: Broker, Bobby (CRD: 80000218) Filing ID: 82734281 Filing Type: Amendment Updated: 10/16/24 Firm

Office of Employment Address

Office of Employment Addresses

Current Office of Employment Locations (3) [Show All Office of Employment Locations \(5\)](#)

CRD Branch #	NYSE Branch Code #	Firm Billing Code	Address	Private Residence	Residential Supervisory Location
			10 Private Residence Germantown, MD, USA, 20874	Yes	
			2 home street Germantown, MD, USA, 20874	Yes	
8044203			9509 Key West Ave Rockville, MD, USA, 20850	No	

[+ Add Registered Office of Employment Address](#) [+ Add Non-Registered Office of Employment Address](#)

Choose "Add Non-Registered Office of Employment Address"

4. Regardless of whether you are editing an existing location or creating a new location, you will need to select the appropriate responses for the Private Residence and Residential Supervisory Location (RSL) questions. If you select "Yes" to the Private Residence question, you will be prompted to answer the RSL question. If you select "No" to the Private Residence question, the RSL question will be grayed out (unable to be selected). Said another way, all Non-Registered, Private Residence locations require either a "Yes" or "No" response to the RSL question. Click "Update" once the data entry is complete (see screenshots below). Continue to **Step 5** below.

employment history / Other Business

Registration Requests with Firms

FINRA DEMO FIRM (CRD# 3000005)

Office of Employment Address

SRO Registrations

Jurisdictions

Fingerprints Information

Registration with Unaffiliated Firms

Exam Requests

Professional Designations

Disclosures >

Review and Submit

Summary

Signatures

Street 1 *

10 Private Residence

Street 2

Country *

United States

City *

Germantown

Postal Code *

20874

Private Residence

Yes No

Residential Supervisory Location (RSL) Designation: Is this Office of Employment Address an RSL?

Yes No [Clear](#)

Completeness Check [Form View](#) [Allow Rep Edits](#) [Save](#)

If Private Residence is "Yes," you will be required to answer the RSL question.

Personal Information

Employment History / Other Business

Registration Requests with Firms

FINRA DEMO FIRM (CRD# 3000005)

Office of Employment Address

SRO Registrations

Jurisdictions

Fingerprints Information

Registration with Unaffiliated Firms

Exam Requests

Professional Designations

Disclosures >

Street 1 *

1 Main Street

Street 2

Country *

United States

City *

Big City

Postal Code *

Private Residence

Yes No

Residential Supervisory Location (RSL) Designation: Is this Office of Employment Address an RSL?

Yes No [Clear](#)

If "Yes" is selected, the *firm* confirms that this location is designated as an RSL as defi

This example shows how to report if the location is an RSL.

Employment History / Other Business

Registration Requests with Firms

FINRA DEMO FIRM (CRD# 3000005)

Office of Employment Address

SRO Registrations

Jurisdictions

Fingerprints Information

Registration with Unaffiliated Firms

Exam Requests

Professional Designations

Disclosures

Country *
United States

City *
Germantown

Postal Code *
20874

Private Residence
 Yes No

Residential Supervisory Location (RSL) Designation: Is this Office of Employment Address an RSL?
 Yes No Clear

If "Yes" is selected, the firm confirms that this location is designated as an RSL as defined in FINRA Rule 3110.

SUBMIT IDEA

Profile Search

DT

Type: Amendment

Updated: 11/4/24

Firm Name: FINRA DEMO FIRM

Firm CRD: 3000005

DRAFT

State *

Maryland

Click Update when complete

ment Address an RSL?

SL as defined in FINRA Rule 3110.

CANCEL UPDATE

- If the private residence location is an RSL but is located in a jurisdiction that requires branch office registration or “notice filing” and the state does not accept the RSL designation, the Office of Employment Address (OEA) must be reported on Form U4 twice—as both a Non-Registered Location and a Registered Location.

First, refer to the [SRO/Jurisdiction Fee and Setting Schedule – Web CRD](#) and confirm the current branch office requirements with the appropriate jurisdiction (note the “Accepts RSL” column and associated footnotes). If the location does not need to be “registered or “notice filed” in a jurisdiction, see [Step 6](#) below. If the location does need to be registered or “notice filed” in a jurisdiction, do the following:

When the same OEA of an associated person must be reported as both a Registered and a Non-Registered Location, the firm should take the following steps when completing or updating Form U4 to accurately report the RSL. Two OEA entries must be created for the same OEA:

- OEA Entry #1 as a “Registered” Location:
 - Add a Registered office location (a Form BR must have been already filed for this location with the “Private Residence” check box selected)

Note: The RSL Question will not appear for this OEA entry because the member firm has identified the location as a Registered office through Form BR.

- OEA Entry #2 as a “Non-Registered” Location:
 - Create a non-registered location;
 - Respond to the “Private Residence” check box to affirmatively denote that the location is a private residence;
 - When the firm selects “Yes” to the “Private Residence” check box, the RSL Question will be active to allow the member firm to provide a response; and
 - Once the RSL question is active, the member firm must respond “Yes” to the question.

6. If the individual is also registered with an Affiliate Firm, the above steps need to be completed for the “Affiliate Firm” Office of Employment Address section, as applicable for any private residence, non-registered location. See screen shot below. Refer to **Steps 2-5** above for demonstrative screenshots.

The screenshot displays the FINRA U4 form interface. The top navigation bar includes the FINRA logo, the form type 'U4', and details for the representative: 'Rep Name: David Siller, Sandra Aviva (CRD: 1010984)', 'Filing ID: 82874455', and 'Filing Type: Amendment'. A left-hand sidebar contains a menu with items such as 'Data Entry', 'Personal Information', 'Employment History / Other Business', 'Registration Requests with Firms', 'Main Firm', 'Affiliate Firm', 'Office of Employment Address', 'SRO Registrations', 'Jurisdictions', 'Fingerprints Information', 'Registration with Unaffiliated Firms', 'Exam Requests', 'Professional Designations', and 'Disclosures'. The 'Affiliate Firm' menu item is highlighted with a red arrow. The main content area shows the 'Office of Employment Address' section. It includes a date field (MM/DD/YYYY), a 'Type of Office' section with radio buttons for 'Located At' (selected) and 'Where Individual is supervised From', a 'Firm Billing Code' field, and address fields for 'Street 1 *', 'Street 2', 'Country *' (with a 'Select' dropdown), 'City *', 'State' (with a 'Select' dropdown), and 'Postal Code *'. Below these fields are two radio button questions: 'Private Residence' with 'Yes' and 'No' options, and 'Residential Supervisory Location (RSL) Designation: Is this Office of Employment Address an RSL?' with 'Yes' and 'No' options. A 'Clear' link is positioned to the right of the RSL question. A red arrow points to the 'Residential Supervisory Location' question.

For additional resources, visit:

- [Residential Supervisory Location \(RSLs\) Key Topics](#)
- [Frequently Asked Questions about Residential Supervisory Locations](#)
- [New Question on Form U4 to Identify RSLs and Updated Deadline](#)