

About Form U4

Web CRD provides entitled users at Broker-Dealer and Investment Adviser firms with the ability to submit electronic filings of Form U4 to fulfill state securities registration and licensing requirements for Registered Representatives and Registered Advisers. In May 2009 (as part of Web CRD & IARD Release 2009.2), the individual forms were revised and re-versioned. Form U4 Changes include:

- Modifications to the Customer Complaint Disclosure Summary Questions
- Changes to the Form U4 Regulatory Action Disclosure Summary Questions
- Technical and conforming changes to the Disclosure Summary Pages (DRPs) to clarify the information being elicited by regulators and to facilitate accurate reporting by firms

All DRPs created after May 18, 2009 will display in the new format and are labeled as Rev. DRP (05/2009). DRPs that are amended after May 18, 2009 are updated and submitted in the new format. Previously submitted DRPs that do not require updates will persist in the individual's Filing History in the version it was submitted. Please note, redlining does not display across different form versions. Redlining will display for all subsequent filings in the new version. For more information regarding the changes to the Individual Forms, please access the Individual Forms Web page at: www.finra.org/crd/individualformchanges.

Form filing entitlement privileges are required to submit filings via Web CRD. For questions regarding your entitlement privileges, contact your firm's Super Account Administrator.

Access Web CRD at <https://crd.finra.org> or via FINRA Firm Gateway at <https://firms.finra.org/webcrd>

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Questions on Web CRD ? Call the FINRA Gateway Call Center at 301-590-6500
8 A.M. - 8 P.M., ET, Monday-Friday.


Form U4 Filing Types

U4 Filing Type	When to use
Initial or Transfer	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. This filing type is not applicable to RAs.</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> <p>This filing type is not applicable to RAs.</p>
Dual	Dual filings are for applicants that intend to maintain registrations with two (2) or more unaffiliated broker-dealer and/or investment adviser firms.
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	<p>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.</p> <p>This filing type is not applicable to RAs.</p>
Relicense IA	<p>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.</p> <p>This filing type is not applicable to AGs.</p>

Create a U4 Filing - Search for an Individual

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		?  Printer Friendly	
U4 - Relicense All			
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"/>		
Select Number of Rows			
Number of Rows per Page:	<input type="text" value="25"/>		
<input type="button" value="Search"/>			

Create a New Individual in Web 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.

Create a New Individual			
SSN:	<input type="text" value="000-00-0000"/>	SSN (again):	<input type="text" value="000-00-0000"/>
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"/> (MM/DD/YYYY)		
<input type="button" value="Create New ID"/>			

Additional Verification for Form U4 Filings

The following filing types will require additional verification of the individual's social security number (SSN) and month/day of birth for individuals already in Web CRD: U4 Initial, U4 Dual, U4 Relicense, U4 Page 2 Initial, NRF Initial.

The verification screen will display after the name hyperlink is selected from the search results.

? Printer Friendly

Form Filing

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

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

? Printer Friendly

Form Filing

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

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 registered office of employment (i.e. branch office or main office).

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

1. GENERAL INFORMATION			
First Name: JOHN	Middle Name: A	Last Name: DOE	Suffix:
Firm CRD #: 0000	Firm Name: SECURITIES FIRM	Employment Date (MM/DD/YYYY): <input type="text"/>	
Firm Billing Code: <input type="text"/>	Individual CRD #: 1111111	Individual SSN: 111-11-1111	
Do you have an independent contractor relationship with the above named firm?: <input type="radio"/> Yes <input type="radio"/> No			
Office of Employment Address: No items were found.			
<input type="button" value="Add Registered Office of Employment Address"/> <input type="button" value="Add Non-Registered Office of Employment Address"/>			
<input type="button" value="Next"/> <input type="button" value="Save"/> <input type="button" value="Reset"/> <input type="button" value="Previous"/>			

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 <i>firm(s) affiliated</i> with the <i>filing firm</i> , complete the following to make a request for registration with the additional <i>affiliated firm(s)</i> other than the <i>filing firm</i> .	
Affiliated Firm CRD # 2222	Affiliated Firm Name
Employment Date (MM/DD/YYYY): 10/10/2011	Do you have an independent contractor relationship with the above named firm?: <input type="radio"/> Yes <input checked="" type="radio"/> No
Affiliated Firm Billing Code: 	

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 <i>SRO</i> a fingerprint card as required under applicable <i>SRO</i> 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 <i>SRO</i> 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

This section should **only** be completed if rescheduling an exam, scheduling a non-FINRA exam, or an untracked Continuing Education (CE) session.

Please note that scheduling an untracked CE session does not satisfy the tracked CE 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 <u>not</u> 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 type="checkbox"/> S3	<input type="checkbox"/> S14	<input type="checkbox"/> S28	<input type="checkbox"/> S42	<input type="checkbox"/> S53	<input type="checkbox"/> S79
<input type="checkbox"/> S4	<input type="checkbox"/> S16	<input type="checkbox"/> S30	<input type="checkbox"/> S44	<input type="checkbox"/> S55	<input type="checkbox"/> S82
<input type="checkbox"/> S5	<input type="checkbox"/> S17	<input type="checkbox"/> S31	<input type="checkbox"/> S45	<input type="checkbox"/> S56	<input type="checkbox"/> S86
<input type="checkbox"/> S6	<input type="checkbox"/> S22	<input type="checkbox"/> S32	<input type="checkbox"/> S46	<input type="checkbox"/> S62	<input type="checkbox"/> S87
<input type="checkbox"/> S7	<input type="checkbox"/> S23	<input type="checkbox"/> S33	<input type="checkbox"/> S51	<input type="checkbox"/> S63	<input type="checkbox"/> S101
<input type="checkbox"/> S9	<input type="checkbox"/> S24	<input type="checkbox"/> S37	<input type="checkbox"/> S52	<input type="checkbox"/> S65	<input type="checkbox"/> S106
<input type="checkbox"/> S10	<input type="checkbox"/> S26	<input type="checkbox"/> S38		<input type="checkbox"/> S66	<input type="checkbox"/> S201
<input type="checkbox"/> S11	<input type="checkbox"/> S27	<input type="checkbox"/> S39		<input type="checkbox"/> S72	
Other _____ (Paper Form Only)					
OPTIONAL: Foreign Exam City _____			Date (MM/DD/YYYY) _____		
<input type="button" value="Next"/> <input type="button" value="Save"/> <input type="button" value="Reset"/> <input type="button" value="Previous"/>					

Form U4 Section: 11. Residential History

The current address is mandatory and a minimum of five (5) years of residential history must be provided. There may not be gaps of more than three (3) months between history records.

11. RESIDENTIAL HISTORY		
From	To	Address
02/1990	PRESENT	444 MAIN STREET ROCKVILLE, MD 20850
<input type="button" value="Next"/> <input type="button" value="Create New Residential"/> <input type="button" value="Previous"/>		

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

12. EMPLOYMENT HISTORY		
From	To	Name of Firm or Company
04/2008	PRESENT	INVESTMENT ADVISER
06/2005	PRESENT	BROKER-DEALER
09/2002	06/2005	SECURITIES FIRM B
03/1990	09/2002	SECURITIES FIRM A
10/1989	03/1990	UNEMPLOYED
03/1988	10/1989	INSURANCE COMPANY
02/1987	03/1988	HOME DEPOT

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.

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 style="text-align: center;"> <input checked="" type="radio"/> Yes <input type="radio"/> No </p> <p style="text-align: center;">If 'Yes', please enter details below.</p> <div style="border: 1px solid gray; padding: 5px; min-height: 60px;"> PARTNER OF AN INVESTMENT ADVISER FIRM. </div>

Form U4 Section: 14. Disclosure Questions

There are six types of disclosure questions: criminal, regulatory, civil judicial, customer complaints, terminations and financial.

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 the Statutory Disqualification Process at <http://www.finra.org>: Regulatory Enforcement > Adjudication > National Adjudicatory Council (NAC) >

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 requires 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. Arbitrations and civil litigations are addressed in **Questions 14I(1)(a), 14I(1)(b), 14I(1)(c), 14I(4)(a), 14I(4)(b), 14I(5)(a) and 14I(5)(b)**. Arbitrations and civil litigations that meet the threshold of 14I (1) are reportable regardless of when the proceeding was filed. Customer Complaints are addressed in **Questions 14I(2) and 14I(3)**.

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.

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 control 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"/>

DRPs/Disclosure Reporting Pages

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, 14Dd, 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.

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 <i>control</i> 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 <i>control</i> 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: 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 is an example a Regulatory Action **DRP**.

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

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.

REGULATORY ACTION				Rev. DRP (05/2009)
<p>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":</p>				
<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)				
<p>Click here to view question text</p>				
<p><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).</p>				
<p>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.</p>				
<p>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"/></p>				

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 automatically apply for reporting for FINRA Rule 4530. Details are described in FINRA Regulatory Notice 13-08.

DRPs (continued)

Enter the remaining data as needed.

NOTES:

- 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.
- 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.
- Additional information on reporting disclosure can be found at:

<http://www.finra.org/web/groups/industry/@ip/@comp/@regis/documents/appsupportdocs/p119944.pdf>

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. Representatives use the filing Reference # to access the filing via the Web CRD Registered Representative Site: <https://filing.crd.finra.org/crdmain/>.

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. The only option is to submit the filing back to the firm's Pending Filing queue.

The screenshot shows the 'Submissions' section of the Form U4 filing interface. The 'Allow Rep Edits' option is selected and circled in red. The 'U4 Filing' section is also visible, with options for '4. SRO Registrations', '5. Jurisdiction Registration', '6. Registration Requests with Affiliated Firms', '7. Examination Requests', and '8. Professional Designations' all selected. The 'Reference #' is 9366842837B0E5, and the 'Firm Name' is BROKER-DEALER. A 'Submit' button is located at the bottom right of the configuration area.

Reference #: 9366842837B0E5
 Individual Name: DOE, JOHN A (1111111)
 Firm Name: BROKER-DEALER

ALLOW REP EDITS

Please make a note of this **Reference #: 9366842837B0E5** to give to the Representative

Please specify the level of representative access for this filing:

Allow full access for rep edits (all the pages of the filing will be available for edit by representative).

Do not allow rep edits for the following sections

4. SRO Registrations
 5. Jurisdiction Registration
 6. Registration Requests with Affiliated Firms
 7. Examination Requests
 8. Professional Designations

Submit

Web CRD Registered Representative Site

After accepting the terms & conditions, the representative will be prompted to enter the filing reference number.

The screenshot shows the 'Form Filing' section of the Web CRD Registered Representative Site. The 'Forms' tab is selected. The 'Form Filing' section is highlighted. A link for 'Click here for U4 Filing Hints' is provided. The prompt 'Please enter your filing reference number below:' is followed by an input field containing the reference number 9366842837B0E5, which is circled in red. A 'Submit' button is located below the input field.

FINRA
 Web CRD®

CRD Main | Forms

Form Filing

[Click here for U4 Filing Hints](#)

Please enter your filing reference number below:

9366842837B0E5

Submit

Allow Rep Edits Feature (continued)

Upon completion, the representative can submit the filing back to the firm for review. At any time the firm can retrieve a filing sent to a representative by accessing the Web CRD Registered Representative Site, entering the reference number and clicking **Submit To Firm**.

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CRD Main | **Forms**

Printer Friendly
Rev. Form U4 (05/2009)

Submissions

- **Submit To Firm**
- Completeness Check
- Print Preview

U4 Filing

- **Filing Instructions**
 1. General Information
 2. Fingerprint Information
 3. Registration with Unaffiliated Firms
 4. SRO Registrations
 5. Jurisdiction Registration

GENERAL INSTRUCTIONS

The Form U4 is the Uniform Application for Securities Industry Registration or Transfer. Representatives of broker-dealers, investment advisers, or issuers of securities must use this form to become registered in the appropriate *jurisdictions* and/or *SROs*. These instructions apply to the filing of Form U4 electronically with the Central Registration Depository ("CRD®") or the Investment Adviser Registration Depository ("IARD™"). Filers submitting paper filings should read the Special Instructions for Paper Filers in conjunction with the other instructions to the form. In addition, paper filers should contact the appropriate *jurisdiction* and/or *SRO* for specific filing instructions or requirements.

Filers must answer all questions and submit all requested information, unless otherwise directed in the Specific Instructions.

Submission Menu

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.

Printer Friendly
Rev. Form U4 (05/2009)

Submissions

- Allow Rep Edits
- **Completeness Check**
- Submit Filing
- Print Preview

U4 Filing

- Filing Instructions
 1. General Information
 2. Fingerprint Information
 3. Registration with Unaffiliated Firms

Reference #: 9536177149B0E6

Individual Name: DOE, JOHN (1111111)

Firm Name: SECURITIES FIRM (0000)

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.

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 'Submissions' menu on the left with 'Submit Filing' circled in red. The main content area displays the following information:

- Reference #: 9536177149B0E6
- Individual Name: DOE, JOHN (1111111)
- Firm Name: SECURITIES FIRM (0000)
- Submission Completeness Check
- Message: **U4 SUBMISSION COMPLETENESS CHECK PASSED SUCCESSFULLY. PLEASE SELECT THE 'SUBMIT FILING' BUTTON BELOW TO SUBMIT TO CRD.**
- A 'Submit Filing' button is circled in red at the bottom center.

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

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

The screenshot shows the 'Submissions' menu on the left with 'Print Preview' circled in red. The main content area displays the following information:

- Reference #: 9536177149B0E6
- Individual Name: DOE, JOHN (1111111)
- Firm Name: SECURITIES FIRM (0000)
- ON-LINE COMPLETENESS CHECK
- Message: **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

The screenshot shows the 'Submissions' menu on the left with 'All Sections' circled in red. The main content area displays the following information:

- Reference #: 9536177149B0E6
- Individual Name: DOE, JOHN (1111111)
- Firm Name: SECURITIES FIRM (0000)
- Section: 1. GENERAL INFORMATION
- The 'Printer Friendly' icon in the top right corner is circled in red.

Pending Filings

Once a filing is created, it remains in a pending, or draft state for 60 days from the creation date. The Expected Purge date indicates the day the filing will be deleted from the Pending Filing queue. Click the Reference Number hyperlink to continue working on the filing. If you no longer wish to submit this filing, you have the option to delete the filing.

Pending Filing Search Results											
U4											
<<Previous Next>> Rows 1 to 1											
Reference Number	Submission Status	Filing Type	Name	CRD	SSN	Billing Code	CC Status	Creation Date	Created By	Expected Purge Date	Delete
953617714980E6	ORGANIZATION INPROCESS	Amendment	DOE, JOHN	1111111	xxx-xx-xxxx		Pass	10/13/2011	USERID	12/14/2011	Delete
<<Previous Next>> Rows 1 to 1											

Historical Filings

The **Historical Filings** feature allows users to view and/or print Form U4 filings submitted by your firm for a specific individual. Users will have the option to view the full filing or view changes in "redline mode" by selecting one of the "View Changes" options. Redlining will not display across form versions.

Historical Filing Search Results					
U4					
<<Previous Next>> Rows 1 to 8					
Filing Date	Filing Type	Source	Submitted By	Correction Filing	Filing ID
11/18/2009	Amendment	SECURITIES FIRM (0000)	FIRMUSER1	No	27001003
08/31/2009	Amendment	SECURITIES FIRM (0000)	FIRMUSER3	No	26397019
06/15/2009	Amendment	SECURITIES FIRM (0000)	FIRMUSER2	No	25882791
04/30/2009	Amendment	SECURITIES FIRM (0000)	FIRMUSER2	No	25249080
01/09/2009	Amendment	SECURITIES FIRM (0000)	FIRMUSER1	No	24589644
12/10/2008	Amendment	SECURITIES FIRM (0000)	FIRMUSER1	No	24377211
09/22/2008	Amendment	SECURITIES FIRM (0000)	FIRMUSER1	No	23821151
07/10/2008	Relicense All	SECURITIES FIRM (0000)	FIRMUSER1	No	23422403
<<Previous Next>> Rows 1 to 8					

View Filing Options			
<input type="checkbox"/> View Changes From Previous Filing for Same Firm	U4 - AMENDMENT 11/18/2009		
<input type="checkbox"/> View Changes From Previous Filing	Individual Name: DOE, JOHN (1111111)		
	Firm Name: SECURITIES FIRM (0000)		
	Rev. Form U4 (05/2009)		
View Form Sections			
<input checked="" type="checkbox"/> All Sections	1. GENERAL INFORMATION		
<input type="checkbox"/> 1. General Information	First Name: JOHN	Middle Name:	Last Name: DOE
<input type="checkbox"/> 2. Fingerprint Information	Firm CRD #: 0000	Firm Name: SECURITIES FIRM	Suffix:
<input type="checkbox"/> 3. Registration with Unaffiliated Firms	Firm Billing Code:	Individual CRD #: 1111111	Employment Date (MM/DD/YYYY): 06/01/2008
			Individual SSN: 000-00-0000
	Do you have an independent contractor relationship with the above named firm?:		
	<input type="radio"/> Yes <input checked="" type="radio"/> No		