Chapter Ten: View Individual

About this Section

This section contains information pertaining to viewing individual records.

Completion Objectives

At the completion of this section the user will be able to:

- View and interpret individual information
- View disclosure only individual information

In this Section

This section contains the following topics:

About View Individual

View Individual is a "Read Only" function that provides entitled users with the capability of viewing information about an individual that has either transitioned his or her investment adviser representative (RA) registration or has submitted a Form U4 filing with your Investment Adviser firm. The information available in View Individual includes, but is not limited to: personal information, employment history, registrations summary and disclosure. Information for Disclosure Only Individuals is also available. Disclosure Only Individuals are individuals for whom a record was created by a regulator as a result of a Form U6 Uniform Disciplinary Action Reporting filing; these individuals may not be currently registered with CRD. Equifax Employment Screening Report provides access to the "Equifax Employment Screening Report" (Persona PLUS^{TM}) for subscribed firms.

NOTE: Entitlement is required to view Social Security Numbers (SSNs) in Web CRD and IARD. For users who do not have this entitlement, SSNs will display as "xxx-xx-xxx" throughout the system. Individual searches may still be performed using the SSN as part of the search criteria. Users that require entitlement to view SSNs should contact their Account Administrator.

In View Individual, the system displays the individual's registration statuses and registration deficiencies:

Investment Adviser Representative (RA) Registration Statuses

Status	Code for Status	Description
Abandoned	**ABANDONED**	A manually set status that indicates that information for an individual has not been submitted to a state within the time period specified by the state. The individual cannot conduct business.
Approved	**APPROVED**	A status indicating the registration is approved.
Deficient	**DEFICIENT**	This status indicates that the registration is deficient and further action needs to occur prior to approval.
Pending	**PENDING**	This status is set when the registration requires manual approval.
Requalification	**REQUAL**	This status is set when an individual must requalify for that registration.
Restricted Approval	**APPROVED_RES**	This status indicates that the registration is restricted in some manner to the kind of business that is being transacted.
Suspended	**SUSPENSION**	A status indicating that an individual's registration has been suspended.
Administrative Termination	**ADMTERM**	A status that has been set pursuant to a termination for administrative reasons.
Denied	**DENIED**	A status set indicating the refusal of a request for registration by way of a formal action. This status is reflected for requests, which had a status of PENDING or DEFICIENT.
Purged	**PURGED**	A status set when the initial registration request exceeds the allowed deficiency time period. *For details on the Registration Deficiency Tracking Program, please see page 10-21.*
Rejected	**REJECTED**	A status set generally based on a technicality (e.g., exam not taken, or other requirements not satisfied). It is usually set in response to a request for registration (usually has a status of Pending or Deficient).

RA Registration Statuses (Continued)

Status	Code for Status	Description
Revoked	**REVOKED**	A status which is set reflecting revocation of an individual's license.
Termed	**TERMED**	This status is set when a U5 is filed and means that the registration is terminated.
Termed Without Registration	**T_NOREG**	A status indicating the previous registration status was Deficient, Pending, or Purged.
Terminated Without U5	**T_NOU5**	This status is set by the system.
Terminated Failure to Renew	**FTR**	A status set when an individual’s firm fails to renew with a jurisdiction, and the registration has been approved.
Termed Without Registration during Renewals	**T_NOREG_FTR**	This status set when an individual’s firm fails to renew with a jurisdiction, and the registration has not yet been approved.
Termination Requested	**REQUEST_TERM**	This status is set when a U5 is filed and means that the registration requires manual termination.
Transition Requested	**TRANS_RQST**	This status is set when a transition filing is submitted.
Transition Terminated	**TRANS_TERM**	This status is set when a transition filing is submitted and a U5 filing is submitted terminating the registration prior to the state acting on the Transition Requested status.
Transition Filed In Error	**TRANS_ERROR**	This status is set when a transition is submitted in error.
Temporary Withdrawal	**TEMP_WD**	A system generated status that displays when a Temporary Registration is withdrawn and updated to Pending. The original status line will indicate the approval time period with a status of TEMP_WD indicating that the temporary registration was withdrawn, while the second status line will display the new Pending status. If the Pending status is subsequently Terminated the final status would be T_NOREG.
Temporary Registration	**TEMPREG**	This status is set when an individual requests a temporary license (only available when relicensing) and the individual has new or updated disclosure since their last approved registration.

Investment Adviser Representative (RA) Registration Deficiencies

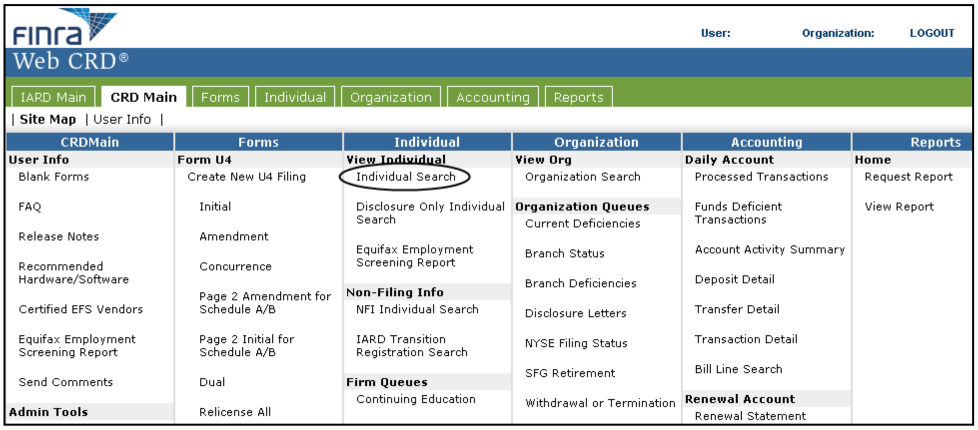
Deficiency	Description
Dual	A deficiency indicating that the individual has requested registrations with a state that does not allow concurrent registration with two or more unaffiliated Investment Adviser Firms.
Dual AG/RA	A deficiency indicating that the individual has requested registrations with a state that does not allow concurrent registration as a broker-dealer agent (AG) and an investment adviser representative (RA) with different firms.
Exam	A deficiency indicating that the individual has an exam requirement to complete prior to being approved.
Firm Suspended	A deficiency indicating that the firm has been suspended and therefore the individual must cease doing business.
Funds	A deficiency indicating that the firm is Funds Deficient. The individual cannot be approved unless the firm becomes Funds Sufficient.
Pending Firm Approval	A deficiency indicating that the Regulator has not yet approved the Firm.

Steps for Viewing Individual Information:

Access View Individual

There are two ways to access/view individual information:

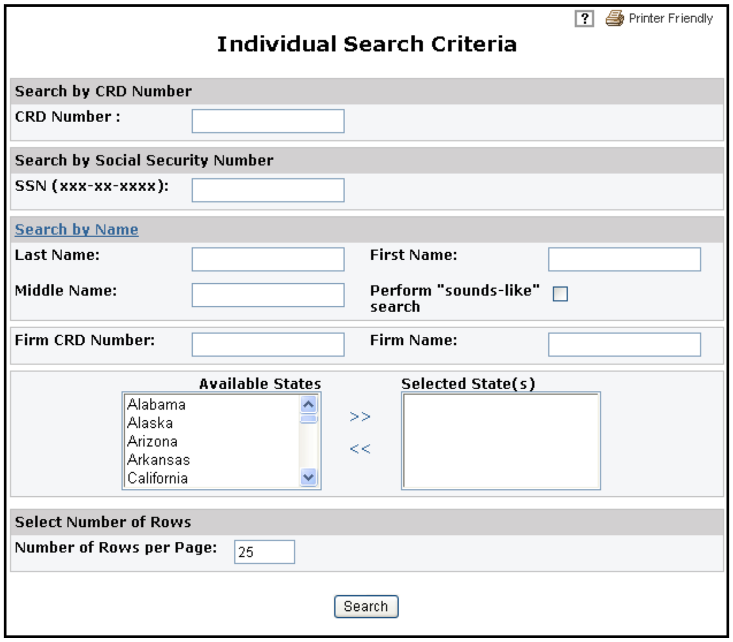
1. From the CRD Site Map, click the **Individual Search** hyperlink.



OR

1a. Click the **Individual** Tab from the Tool Bar.

[Result:] The *Individual Search Criteria* screen opens.



Number of Rows per Page: 25

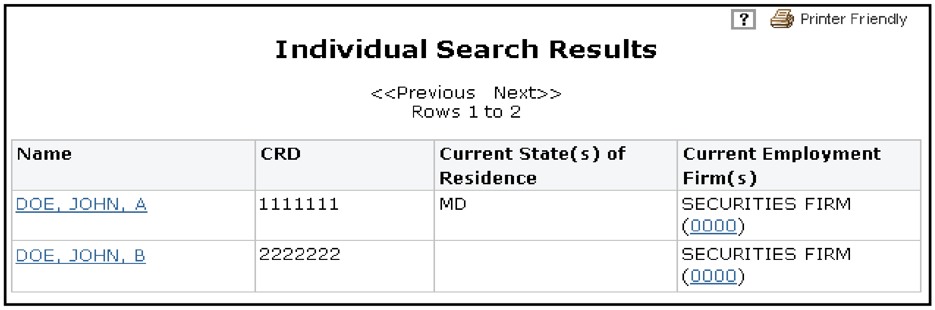
NOTE: To access CRD from IARD, see Steps for Accessing CRD from IARD in Chapter 3.

Individual Search

2. Type at least one of the following: the individual's **CRD Number, Social Security Number** or **Last Name**. For a more specific search, type a **First Name,** and/or **Middle Name**. For additional tips on performing name searches, please click the **Search by Name** hyperlink.

3. Click the **Search** Button.

[Result:] The *Individual Search Results* screen opens.



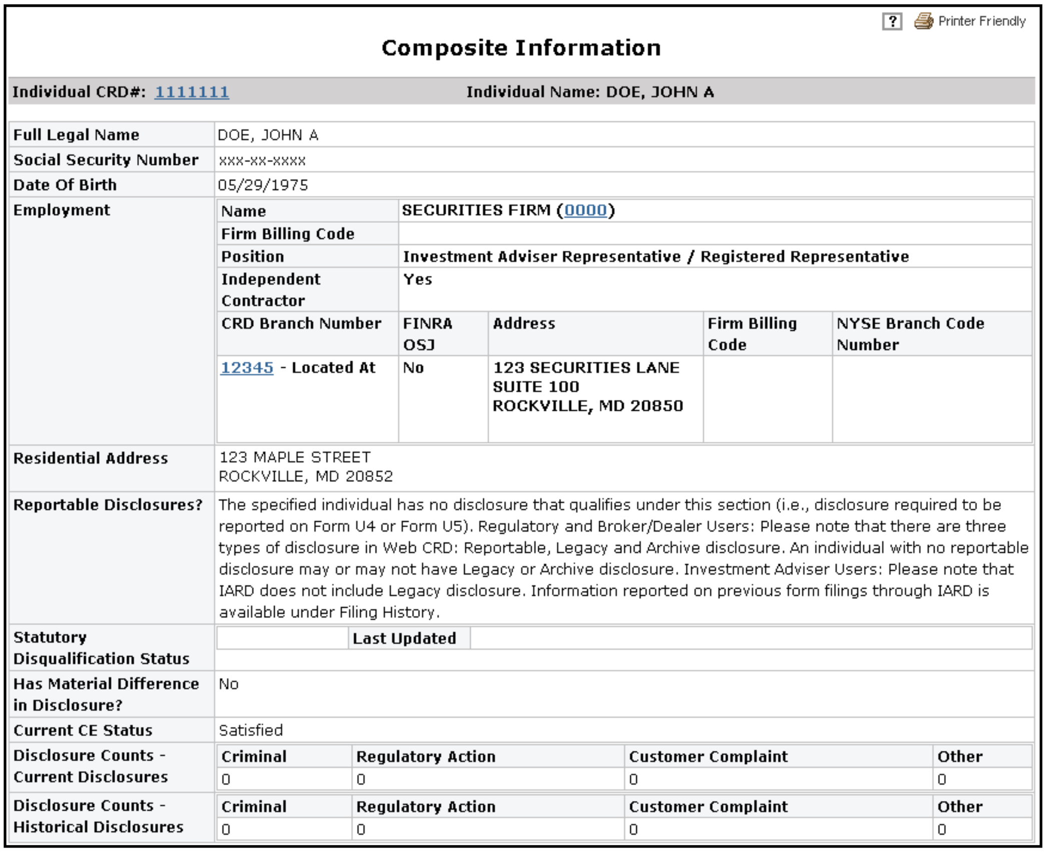
Individual Search Results

<<Previous Next>>
Rows 1 to 2

Name	CRD	Current State(s) of Residence	Current Employment Firm(s)
DOE, JOHN, A	1111111	MD	SECURITIES FIRM (0000)
DOE, JOHN, B	2222222		SECURITIES FIRM (0000)

4. Click the appropriate **Name** hyperlink.

[Result:] The *Composite Information* screen opens.



Composite Information

Individual CRD#: 1111111 **Individual Name:** DOE, JOHN A

Full Legal Name	DOE, JOHN A
Social Security Number	xxx-xx-xxxx
Date Of Birth	05/29/1975
Employment	**Name**: SECURITIES FIRM (0000) **Firm Billing Code**: **Position**: Investment Adviser Representative / Registered Representative **Independent Contractor**: Yes
Residential Address	123 MAPLE STREET ROCKVILLE, MD 20852
Reportable Disclosures?	The specified individual has no disclosure that qualifies under this section (i.e., disclosure required to be reported on Form U4 or Form U5). Regulatory and Broker/Dealer Users: Please note that there are three types of disclosure in Web CRD: Reportable, Legacy and Archive disclosure. An individual with no reportable disclosure may or may not have Legacy or Archive disclosure. Investment Adviser Users: Please note that IARD does not include Legacy disclosure. Information reported on previous form filings through IARD is available under Filing History.
Statutory Disqualification Status	**Last Updated**
Has Material Difference in Disclosure?	No
Current CE Status	Satisfied

CRD Branch Number	FINRA OSJ	Address	Firm Billing Code	NYSE Branch Code Number
12345 - Located At	No	123 SECURITIES LANE SUITE 100 ROCKVILLE, MD 20850		

Disclosure Counts - Current Disclosures

Criminal	Regulatory Action	Customer Complaint	Other
0	0	0	0

Disclosure Counts - Historical Disclosures

Criminal	Regulatory Action	Customer Complaint	Other
0	0	0	0

View Individual Information

5. Click the desired **View Individual** section from the Navigation Bar.

Composite Information section includes: Full Legal Name, Social Security Number, Date of Birth, Employment information (including the firm name, position, if the individual is an independent contractor, and firm branch address), Residential Addresses, whether or not the individual has any Reportable Disclosures, Material Difference in Disclosure, Disclosure Counts and if the individual is Registered with Multiple Firms. The Registered with Multiple Firms section will only appear if the individual is registered with more than one firm.

Personal Information section includes: Other Names Known By, Social Security Number, Date of Birth, State/Country of Birth, Sex, Height, Weight, Hair Color, Eye Color and Personal Residential History.

Employment History section includes a summary of the Office of Employment Address History for broker-dealer and investment adviser employment. The employment to/from dates, firm name, CRD Branch and NYSE Branch Code numbers, firm billing code (if applicable) firm address, type of office and indication if address is a private residence. This section also includes a listing from the Form U4 filing of the Employment history for both broker-dealer employment history and non broker-dealer employment.

Other Business section includes the details of any Other Business that the individual is engaged in from the Employment History section of the Form U4 filing.

Registrations Summary section includes all Current and Prior registration statuses from the Employment History of the U4 filing. For viewing registrations, see Steps for Viewing Individual Registrations Summary, page 10-9.

Registrations with Current Employers section includes all registrations with current firms. For viewing registrations, see Steps for Viewing Registrations with Current Employers, page 10-10.

Registrations with Prior Employers section includes all registrations with previous firms. For viewing registrations, see Steps for Viewing Registrations with Prior Employers, page 10-11.

Disclosures section includes any Current Disclosures and U4 Summary Questions (answers to Form U4 disclosure questions). Legacy Disclosures, Reg. Arc. and Z Rec. (historical or "archived" disclosures), Disclosure Letter History and CHRI Arrest Records are not applicable to RAs. For viewing disclosures, see Steps for Viewing Current Disclosures, page 10-12; or, see Steps for Viewing Individual U4 Summary Questions, page 10-15.

Deficiencies section includes any outstanding registration-related activity that needs to be completed prior to an approval as well as historical deficiencies. For viewing deficiencies, see Steps for Viewing Deficiencies, page 10-16. For a list of registration deficiency descriptions, see page 10-4, Investment Adviser Representative (RA) Registration Deficiencies.

Exam Information section includes all current and historical exam information and exam waiver information.

Current Professional Designations section includes the type of Designation that the RA currently holds, the Designating Authority, the First Filing to Include Current Designation and the Most Recent Filing to Include Designation. There are five Professional Designations recognized by CRD: Certified Financial Planner (CFP), Chartered Financial Consultant (ChFC), Personal Financial Specialist (PFS), Chartered Financial Analyst (CFA) and Chartered Investment Counselor (CIC). Each Designating Authority provides FINRA® with a list, to be continually updated, of individuals with that designation. For viewing designations, see Steps for Viewing Current Professional Designations, page 10-17.

View Individual Information

(Continued)

Continuing Education is not applicable to RAs.

Fingerprint Cards section includes all current and historical fingerprint card information. RA applicants are not required to submit a fingerprint card to FINRA. Contact the appropriate jurisdictions with which the RA applicant seeks registration for fingerprint card requirements.

Document Listing is not applicable to RAs.

Filing History includes a list of all filings submitted for an individual with redlined changes. For viewing Filing History information see page 10-16.

Registration Comments is not applicable to RAs.

Legacy Information is not applicable to RAs.

Request Snapshot provides the capability to request a report that contains a comprehensive set of administrative/disclosure data for a specified individual. The report includes the individual's base information, personal information, registration data for current and previous employments, professional designations, employment, exam, and current reportable disclosure data. To request a snapshot, see Steps for Requesting a Report.

Broker Comments section allows users to view comments that former brokers have submitted regarding information on their Form U4. Broker Comments are displayed on CRD and the FINRA's BrokerCheck system.

NOTE: To access a separate individual's information, type one of the following: Individual's Name, CRD or SSN in the **Quick Search** field and click the **Search** button.

Steps for Viewing Individual Registrations Summary:

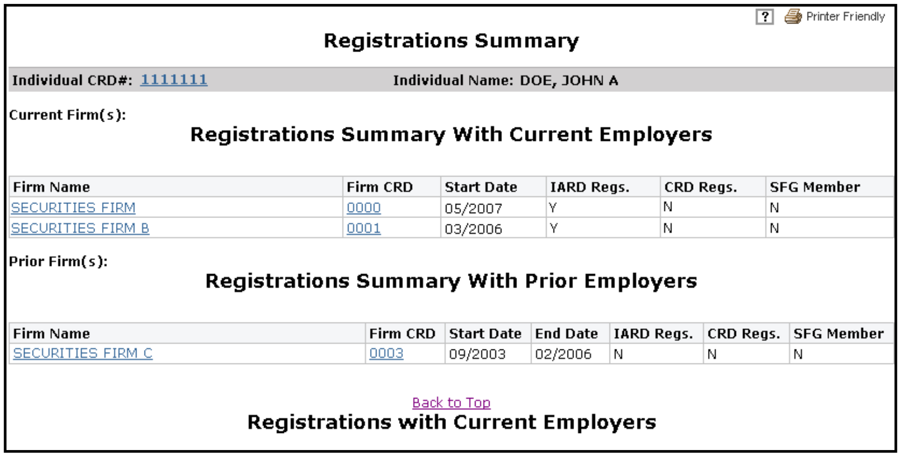
Access View Individual and Individual Search

1. Follow steps 1 through 4 on page 10-5 of Steps for Viewing Individual Information.

View Registrations Summary

2. Click **Registrations Summary** from the Navigation Bar.

[Result:] The *Registrations Summary* screen opens.



Registrations Summary

Individual CRD#: 1111111 Individual Name: DOE, JOHN A

Current Firm(s):

Registrations Summary With Current Employers

Firm Name	Firm CRD	Start Date	IARD Regs.	CRD Regs.	SFG Member
SECURITIES FIRM	0000	05/2007	Y	N	N
SECURITIES FIRM B	0001	03/2006	Y	N	N

Prior Firm(s):

Registrations Summary With Prior Employers

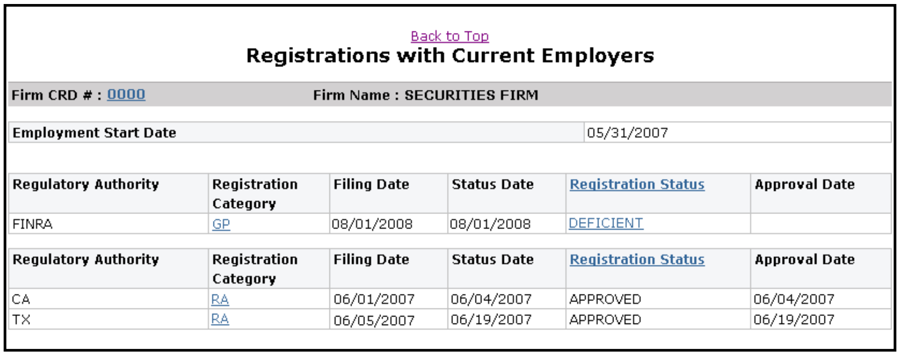
Firm Name	Firm CRD	Start Date	End Date	IARD Regs.	CRD Regs.	SFG Member
SECURITIES FIRM C	0003	09/2003	02/2006	N	N	N

Back to Top

Registrations with Current Employers

3. Click the **Firm Name** hyperlink to view registrations held with a specific firm.

[Result:] The screen showing the registrations held with that specific firm opens.



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Registrations with Current Employers

Firm CRD # : 0000 Firm Name : SECURITIES FIRM

Employment Start Date	05/31/2007

Regulatory Authority	Registration Category	Filing Date	Status Date	Registration Status	Approval Date
FINRA	GP	08/01/2008	08/01/2008	DEFICIENT	

Regulatory Authority	Registration Category	Filing Date	Status Date	Registration Status	Approval Date
CA	RA	06/01/2007	06/04/2007	APPROVED	06/04/2007
TX	RA	06/05/2007	06/19/2007	APPROVED	06/19/2007

4. To view registration status definitions, click the **Registration Status** hyperlink.

OR

4a. To view registration status history, click the appropriate hyperlink in the **Registration Category** column.

OR

4b. To view a deficient registration status, click the **Deficient** hyperlink in the **Registration Status** column.

Steps for Viewing Registrations with Current Employers:

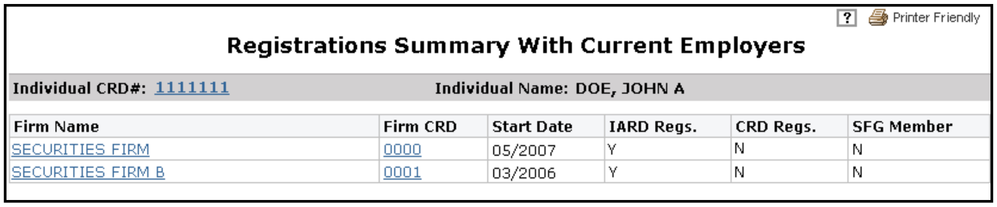
Access View Individual and Individual Search

1. Follow steps 1 through 4 on page 10-5 of Steps for Viewing Individual Information.

View Registrations with Current Employers

2. Click **Registrations with Current Employers** from the Navigation Bar.

[Result:] The *Registrations Summary with Current Employers* screen opens.



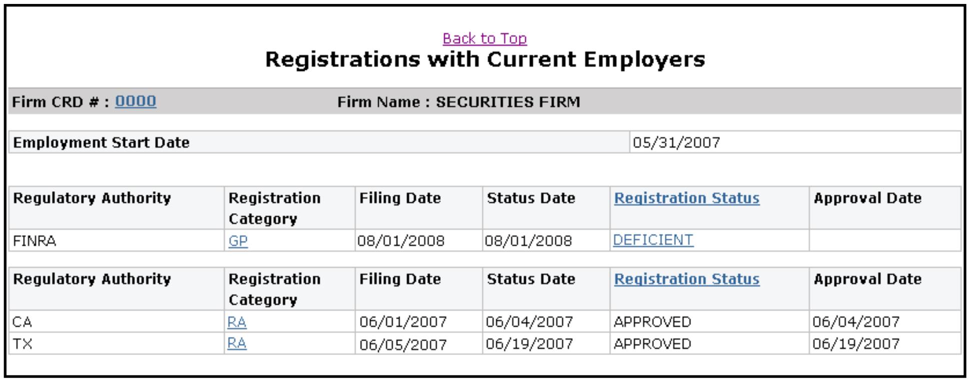
Registrations Summary With Current Employers

Individual CRD#: 1111111 **Individual Name:** DOE, JOHN A

Firm Name	Firm CRD	Start Date	IARD Regs.	CRD Regs.	SFG Member
SECURITIES FIRM	0000	05/2007	Y	N	N
SECURITIES FIRM B	0001	03/2006	Y	N	N

3. Click the **Firm Name** hyperlink to view registrations held with a specific firm.

[Result:] The *Registrations with Current Employers* screen opens.



Registrations with Current Employers

Firm CRD # : 0000 **Firm Name :** SECURITIES FIRM

Employment Start Date	05/31/2007

Regulatory Authority	Registration Category	Filing Date	Status Date	Registration Status	Approval Date
FINRA	GP	08/01/2008	08/01/2008	DEFICIENT	

Regulatory Authority	Registration Category	Filing Date	Status Date	Registration Status	Approval Date
CA	RA	06/01/2007	06/04/2007	APPROVED	06/04/2007
TX	RA	06/05/2007	06/19/2007	APPROVED	06/19/2007

4. To view registration status definitions, click the **Registration Status** hyperlink.

<u>OR</u>

4a. To view registration history details, click the appropriate hyperlink in the **Registration Category** column.

<u>OR</u>

4b. To view a deficient registration status, click the **Deficient** hyperlink in the **Registration Status** column.

Steps for Viewing Registrations with Prior Employers:

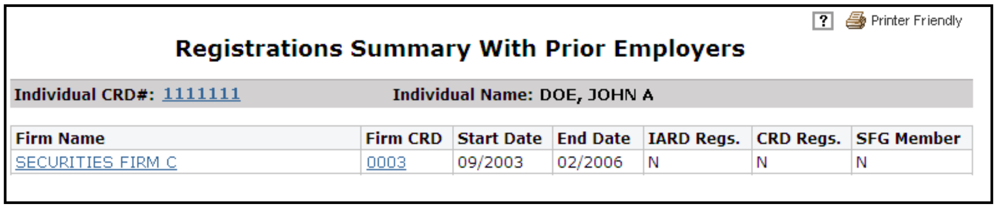
Access View Individual and Individual Search

1. Follow steps 1 through 4 on page 10-5 of Steps for Viewing Individual Information.

View Registrations with Prior Employers

2. Click **Registrations with Prior Employers** from the Navigation Bar.

[Result:] The *Registrations Summary With Prior Employers* screen opens.



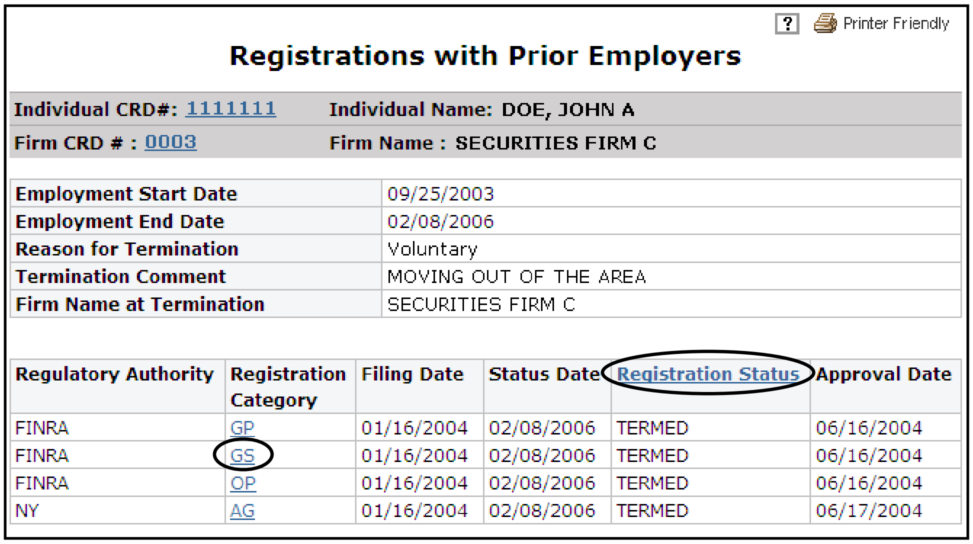
Registrations Summary With Prior Employers

Individual CRD#: 1111111 **Individual Name:** DOE, JOHN A

Firm Name	Firm CRD	Start Date	End Date	IARD Regs.	CRD Regs.	SFG Member
SECURITIES FIRM C	0003	09/2003	02/2006	N	N	N

3. Click the **Firm Name** hyperlink to view registrations held with a specific firm.

[Result:] The *Registrations with Prior Employers* screen opens.



Registrations with Prior Employers

Individual CRD#: 1111111 **Individual Name:** DOE, JOHN A
Firm CRD # : 0003 **Firm Name :** SECURITIES FIRM C

Employment Start Date	09/25/2003
Employment End Date	02/08/2006
Reason for Termination	Voluntary
Termination Comment	MOVING OUT OF THE AREA
Firm Name at Termination	SECURITIES FIRM C

Regulatory Authority	Registration Category	Filing Date	Status Date	Registration Status	Approval Date
FINRA	GP	01/16/2004	02/08/2006	TERMED	06/16/2004
FINRA	GS	01/16/2004	02/08/2006	TERMED	06/16/2004
FINRA	OP	01/16/2004	02/08/2006	TERMED	06/16/2004
NY	AG	01/16/2004	02/08/2006	TERMED	06/17/2004

4. To view registration status definitions, click the **Registration Status** hyperlink.

OR

4a. To view registration history details, click the appropriate hyperlink in the **Registration Category** column.

Steps for Viewing Current Disclosures:

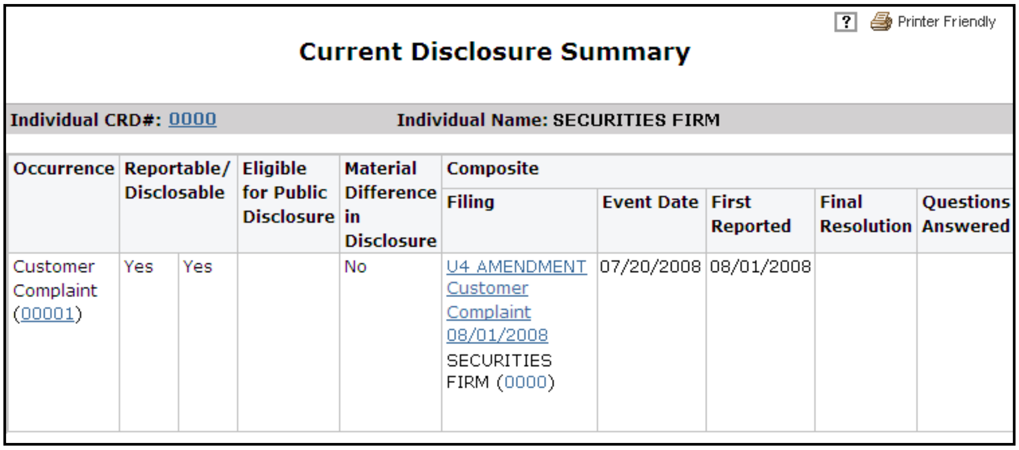
Access View Individual and Individual Search

1. Follow steps 1 through 4 on page 10-5 of Steps for Viewing Individual Information.

View Current Disclosures

2. Click **Disclosures** from the Navigation Bar.

[Result:] CRD defaults to *Current Disclosure Summary* screen.



Current Disclosure Summary

Individual CRD#: 0000 **Individual Name:** SECURITIES FIRM

Occurrence	Reportable/ Disclosable		Eligible for Public Disclosure	Material Difference in Disclosure	Composite				
					Filing	Event Date	First Reported	Final Resolution	Questions Answered
Customer Complaint (00001)	Yes	Yes		No	U4 AMENDMENT Customer Complaint 08/01/2008 SECURITIES FIRM (0000)	07/20/2008	08/01/2008		

NOTE: Although an **Eligible for Public Disclosure** column is viewable via the Current Disclosure Summary Screen, it is not applicable to this screen and will therefore always be blank. The **Eligible for Public Disclosure** column only applies to the Reg. Arc. and Z Rec. Summary screen and it will only be populated (with either a Yes or No value) for customer complaint/arbitration/civil litigation disclosure occurrences. A Yes indicates the archived customer complaint/arbitration/civil litigation occurrence *may* be eligible to be disclosed through FINRA's BrokerCheck Program. Please be aware that the Eligible for Public Disclosure column does not include additional disclosure information that may be distributed to public investors pursuant to states' public record statutes. **Material Difference in Disclosure** applies to all dual registration scenarios, i.e., BD/BD, BD/IA and IA/IA. The **Material Difference in Disclosure** section will be answered "yes" whenever a difference exists in any of the factual U4 DRP fields (i.e., all DRP fields except for the last field, which is the summary/commentary field) for the same disclosure event.

3. Click the **Occurrence ID Number** hyperlink.

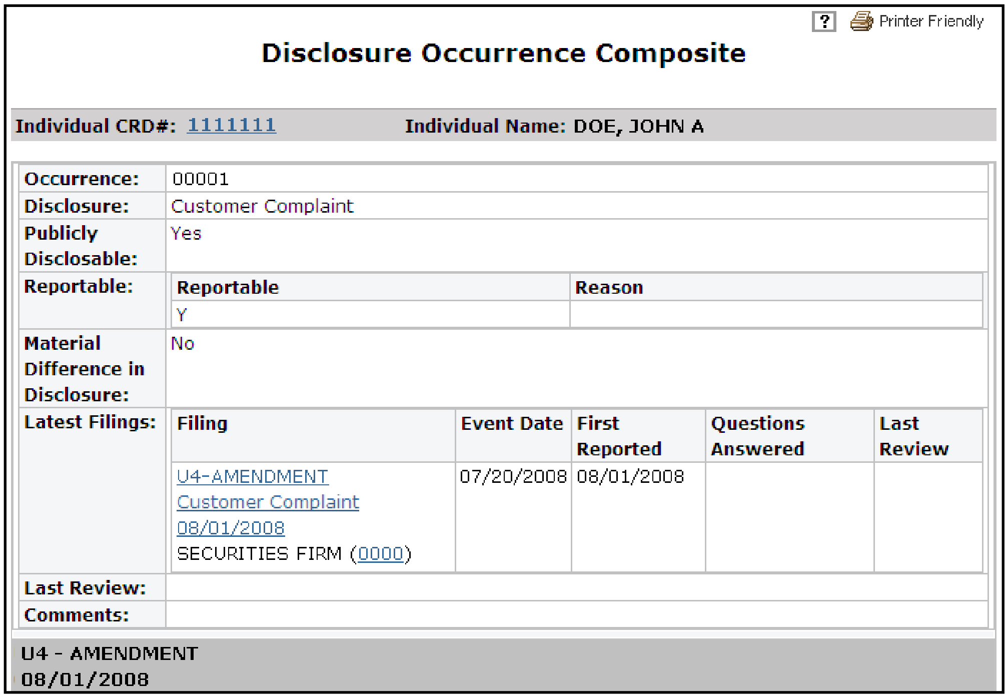
OR

3a. Click the **Composite Filing Occurrence Type** hyperlink (e.g., Regulatory Action).

View Current Disclosures
(Continued)

[Result:] The *Disclosure Occurrence Composite* screen opens in a second browser.

NOTE: The most current U4, U5 and U6 DRPs are available for viewing in the Disclosure Occurrence Composite if they exist for the occurrence.



Disclosure Occurrence Composite

Individual CRD#: 1111111 **Individual Name:** DOE, JOHN A

Occurrence: 00001

Disclosure: Customer Complaint

Publicly Disclosable: Yes

Reportable:

Reportable	Reason
Y	

Material Difference in Disclosure: No

Latest Filings:

Filing	Event Date	First Reported	Questions Answered	Last Review
U4-AMENDMENT Customer Complaint 08/01/2008 SECURITIES FIRM (0000)	07/20/2008	08/01/2008		

Last Review:

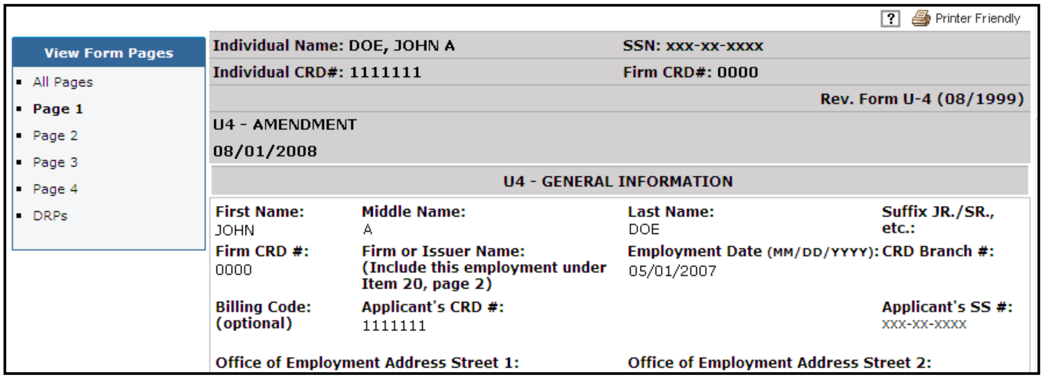
Comments:

U4 - AMENDMENT
08/01/2008

OR

3b. Click the **Filing Type** (e.g., **U4 Amendment**) hyperlink from the **Composite Filing** column.

[Result:] The *U4 General Information* screen opens in a second browser.



Individual Name: DOE, JOHN A **SSN:** xxx-xx-xxxx
Individual CRD#: 1111111 **Firm CRD#:** 0000
Rev. Form U-4 (08/1999)

U4 - AMENDMENT
08/01/2008

U4 - GENERAL INFORMATION

First Name: JOHN	**Middle Name:** A	**Last Name:** DOE	**Suffix JR./SR., etc.:**
Firm CRD #: 0000	**Firm or Issuer Name: (Include this employment under Item 20, page 2)**	**Employment Date** (MM/DD/YYYY)**:** 05/01/2007	**CRD Branch #:**
Billing Code: (optional)	**Applicant's CRD #:** 1111111		**Applicant's SS #:** XXX-XX-XXXX
Office of Employment Address Street 1:		**Office of Employment Address Street 2:**	

View Current Disclosures
(Continued)

NOTE: IA only firms will not be able to view historical filings from other firms.

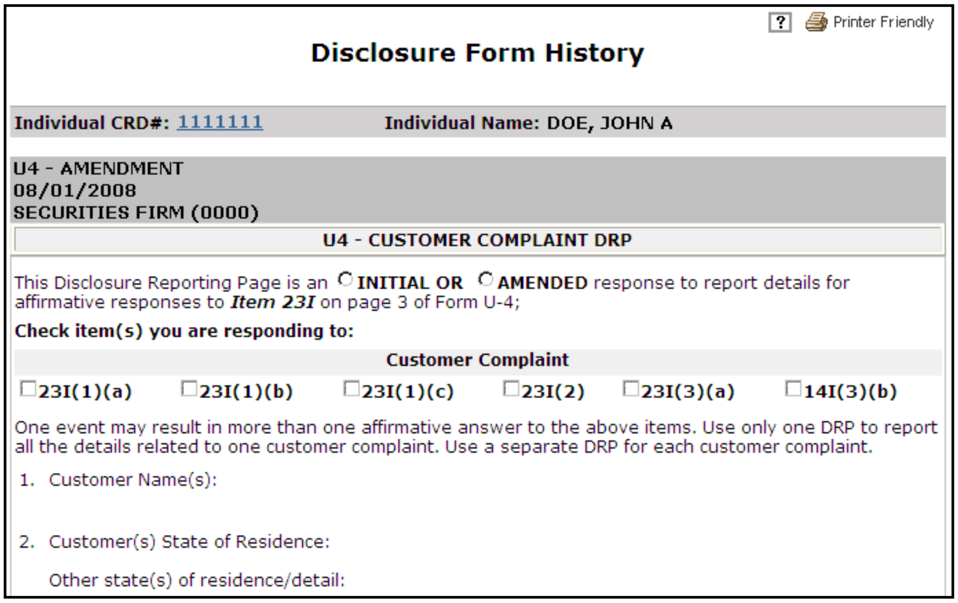
A user can print an entire U4 filing, specific pages or DRPs. To print, see Steps for Creating a Form U4 filing, page 9-9, steps 8 through 9.

OR

3c. Click the **Date** hyperlink in the **Composite Filing** column.

[Result:] The *Disclosure Form History* screen opens in a second browser.

NOTE: The user will be able to view all historical DRPs filed (e.g., the initial DRP filed for a pending criminal event and the amendment DRPs filed to update that criminal event).



Disclosure Form History

Individual CRD#: 1111111 **Individual Name:** DOE, JOHN A

U4 - AMENDMENT
08/01/2008
SECURITIES FIRM (0000)

U4 - CUSTOMER COMPLAINT DRP

This Disclosure Reporting Page is an ○ **INITIAL OR** ○ **AMENDED** response to report details for affirmative responses to ***Item 23I*** on page 3 of Form U-4;

Check item(s) you are responding to:

Customer Complaint

☐**23I(1)(a)** ☐**23I(1)(b)** ☐**23I(1)(c)** ☐**23I(2)** ☐**23I(3)(a)** ☐**14I(3)(b)**

One event may result in more than one affirmative answer to the above items. Use only one DRP to report all the details related to one customer complaint. Use a separate DRP for each customer complaint.

1. Customer Name(s):

2. Customer(s) State of Residence:

Other state(s) of residence/detail:

4. Close the second browser.

5. Click **Back to the Previous Menu** on the Navigation Bar to return to the main Navigation Bar.

Steps for Viewing Individual U4 Summary Questions:

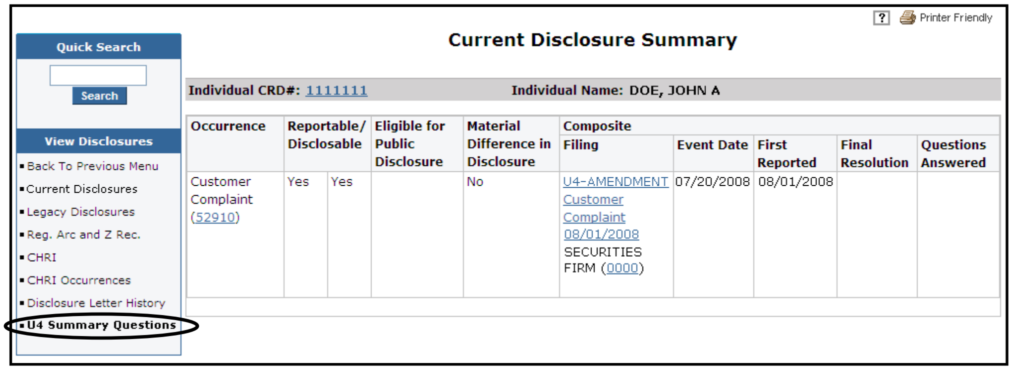
Access View Individual and Individual Search

1. Follow steps 1 through 4 on page 10-5 of Steps for Viewing Individual Information.

View U4 Summary Questions

2. Click **Disclosures** from the Navigation Bar.

[Result:] The *Current Disclosure Summary* screen opens.



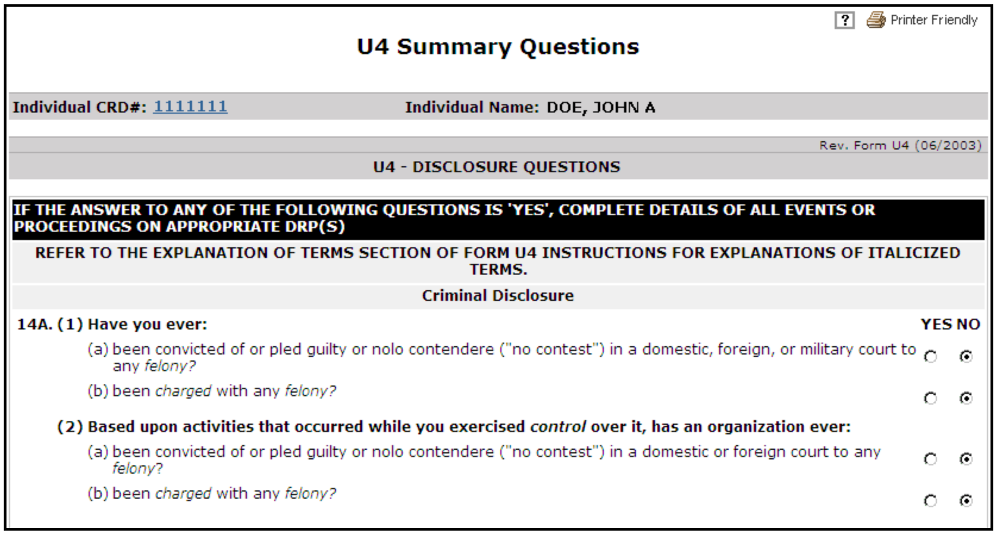
Current Disclosure Summary

Individual CRD#: 1111111 **Individual Name:** DOE, JOHN A

Occurrence	Reportable/ Disclosable		Eligible for Public Disclosure	Material Difference in Disclosure	Composite				
					Filing	Event Date	First Reported	Final Resolution	Questions Answered
Customer Complaint (52910)	Yes	Yes		No	U4-AMENDMENT Customer Complaint 08/01/2008 SECURITIES FIRM (0000)	07/20/2008	08/01/2008		

3. Click **U4 Summary Questions** from the Navigation Bar.

[Result:] The *U4 Summary Questions* screen opens.



U4 Summary Questions

Individual CRD#: 1111111 **Individual Name:** DOE, JOHN A

Rev. Form U4 (06/2003)

U4 - 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

	YES	NO
14A. (1) Have you ever:		
(a) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to any *felony?*	○	●
(b) been *charged* with any *felony?*	○	●
(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 *felony*?	○	●
(b) been *charged* with any *felony?*	○	●

4. Click **Back to the Previous Menu** on the Navigation Bar to return to the main Navigation Bar.

Steps for Viewing Individual Filing History:

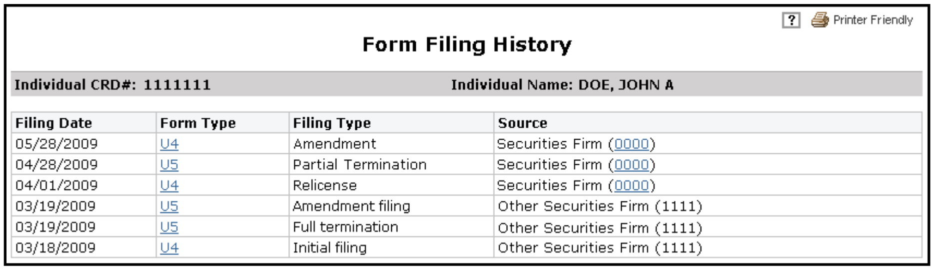
Access Registration Summary

1. Follow steps 1 through 4 on page 10-5 of Steps for Viewing Individual Information.

View Filing History

2. Click **Filing History** from the Navigation Bar.

[Result:] The *Form Filing History* screen opens.



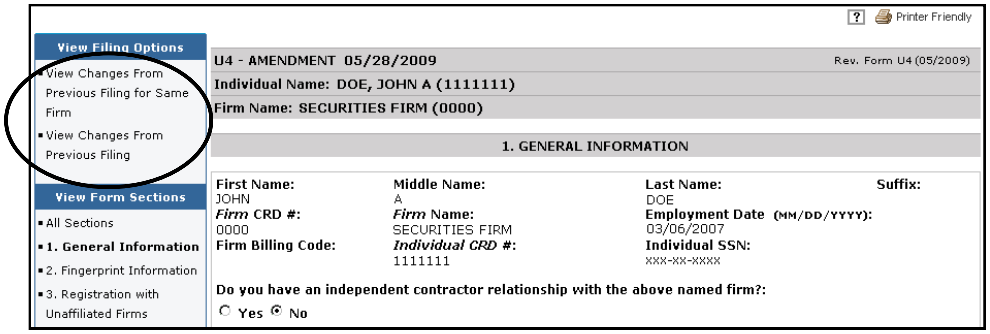
Form Filing History

Individual CRD#: 1111111 Individual Name: DOE, JOHN A

Filing Date	Form Type	Filing Type	Source
05/28/2009	U4	Amendment	Securities Firm (0000)
04/28/2009	U5	Partial Termination	Securities Firm (0000)
04/01/2009	U4	Relicense	Securities Firm (0000)
03/19/2009	U5	Amendment filing	Other Securities Firm (1111)
03/19/2009	U5	Full termination	Other Securities Firm (1111)
03/18/2009	U4	Initial filing	Other Securities Firm (1111)

3. Click the **Form Type** hyperlink (e.g., U4)

[Result:] The *U4 General Information* screen opens in a second browser.



U4 - AMENDMENT 05/28/2009 Rev. Form U4 (05/2009)

Individual Name: DOE, JOHN A (1111111)

Firm Name: SECURITIES FIRM (0000)

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): 03/06/2007
Firm Billing Code:
Individual CRD #: 1111111
Individual SSN: XXX-XX-XXXX

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

NOTE: A user can print an entire Form U4 filing, specific pages or DRPs. To print, see step 8 on page 4-9 of Steps to Create a Form U4 Filing.

4. Click **View Changes From Previous Filing for Same Firm** to see the modifications made on that filing as compared to the previous filing submitted by the filing firm.

OR

4a. Click **View Changes From Previous Filing** to see the modifications made on that filing as compared to the most recent previous filing submitted.

NOTE: Forms will display in the version in which they were submitted. The version number is located in the top right corner of each page of the filing. Generally, modifications will display in red. However, CRD will not display redlining across different form or DRP versions.
As part of Web CRD & IARD Release 2009.2, the individual forms were revised and re-versioned. Please note that Filing History will not display redlining for the first Form U4 filing submitted in the 2009 version. Redlining will display for all subsequent filings.

Steps for Viewing Deficiencies:

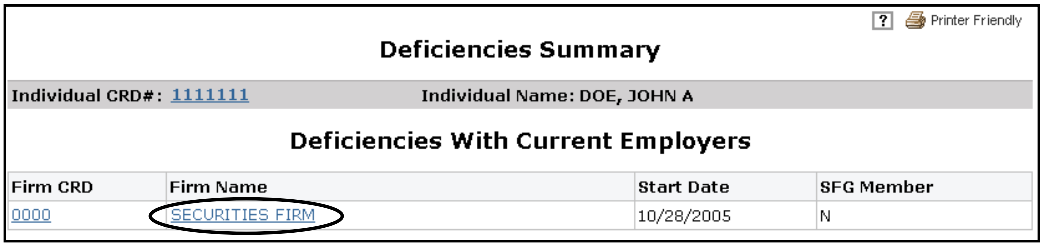
Access View Individual and Search Individual

1. Follow steps 1 through 4 on page 10-5 of Steps for Viewing Individual Information.

View Deficiencies

2. Click **Deficiencies** from the Navigation Bar.

[Result:] The *Deficiencies Summary* screen opens, displaying deficiencies with current and prior employers.



Deficiencies Summary

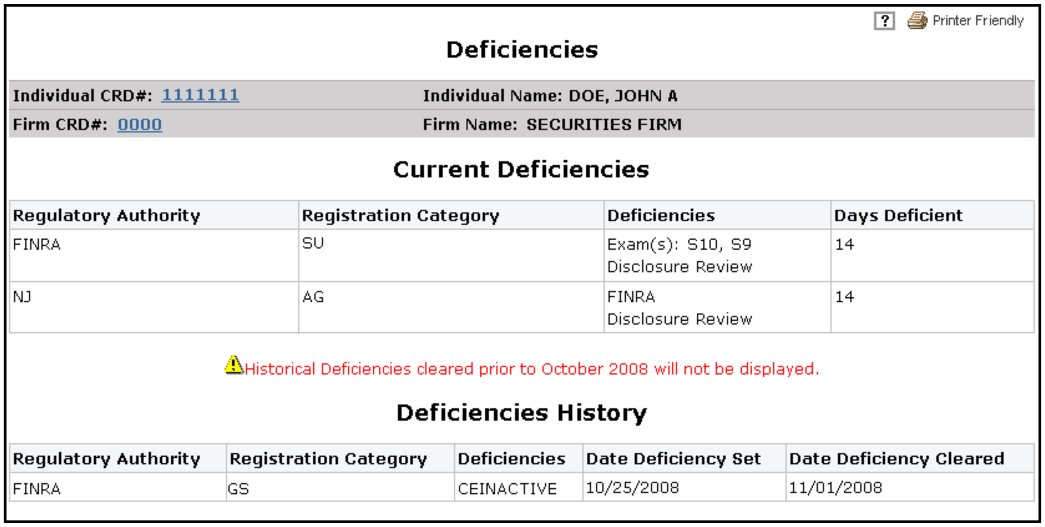
Individual CRD#: 1111111 **Individual Name:** DOE, JOHN A

Deficiencies With Current Employers

Firm CRD	Firm Name	Start Date	SFG Member
0000	SECURITIES FIRM	10/28/2005	N

3. To view **Deficiencies** with a specific firm, click the **Firm Name** hyperlink.

[Result:] The *Deficiencies* screen opens.



Deficiencies

Individual CRD#: 1111111 **Individual Name:** DOE, JOHN A

Firm CRD#: 0000 **Firm Name:** SECURITIES FIRM

Current Deficiencies

Regulatory Authority	Registration Category	Deficiencies	Days Deficient
FINRA	SU	Exam(s): S10, S9 Disclosure Review	14
NJ	AG	FINRA Disclosure Review	14

⚠Historical Deficiencies cleared prior to October 2008 will not be displayed.

Deficiencies History

Regulatory Authority	Registration Category	Deficiencies	Date Deficiency Set	Date Deficiency Cleared
FINRA	GS	CEINACTIVE	10/25/2008	11/01/2008

NOTE: The Deficiencies History section will not display deficiencies cleared prior to October 2008.

Steps for Viewing Current Professional Designations:

Access View Individual and Search Individual

2. Follow steps 1 through 4 on page 10-5 of Steps for Viewing Individual Information.

View Current Professional Designations

3. Click **Current Professional Designations** from the Navigation Bar.

[Result:] The *Current Professional Designations* screen opens.

Current Professional Designations

Individual CRD#: 1111111 **Individual Name:** DOE, JOHN A

Designation	Designating Authority	First Filing to Include Current Designation	Most Recent Filing to Include Current Designation
Chartered Financial Consultant(ChFC)	The American College	U4 INITIAL 05/01/2007 SECURITIES FIRM (0000)	U4 AMENDMENT 05/15/2007 SECURITIES FIRM (0000)

4. Click the appropriate U4 form filing hyperlink in the **First Filing to Include Current Designation** column. For a further explanation of this column, click the **First Filing to Include Current Designation** hyperlink.

OR

3a. Click the appropriate U4 form filing in the **Most Recent Filing to Include Current Designation** column. For a further explanation of this column, click the **Most Recent Filing to Include Current Designation** hyperlink.

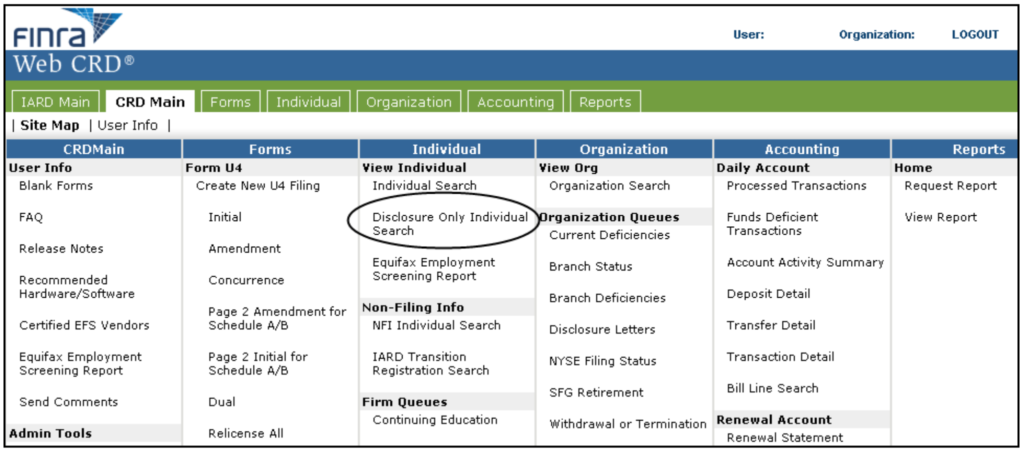
NOTE: Current Professional Designations will only display the information that was submitted on the Form U4 filing. IA only firms will not be able to view historical filings from other firms.

Steps for Viewing Disclosure Only Individual Information:

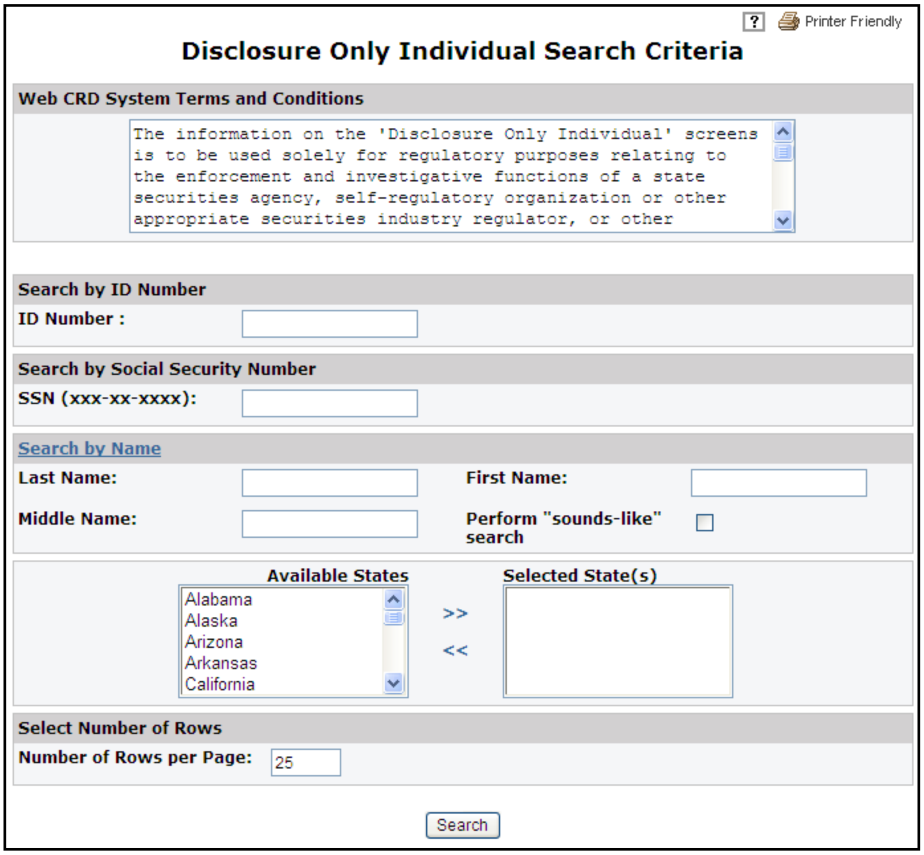
Access Disclosure Only Individual

There are two ways to access Disclosure Only Individual information:

1. From the Web CRD Site Map, click the **Disclosure Only Individual Search** hyperlink.



[Result:] The *Disclosure Only Individual Search Criteria* screen opens.



Disclosure Only Individual Search Criteria

Web CRD System Terms and Conditions

The information on the 'Disclosure Only Individual' screens is to be used solely for regulatory purposes relating to the enforcement and investigative functions of a state securities agency, self-regulatory organization or other appropriate securities industry regulator, or other

Search by ID Number

ID Number :

Search by Social Security Number

SSN (xxx-xx-xxxx):

Search by Name

Last Name:

First Name:

Middle Name:

Perform "sounds-like" search ☐

Available States

Alabama
Alaska
Arizona
Arkansas
California

Selected State(s)

Select Number of Rows

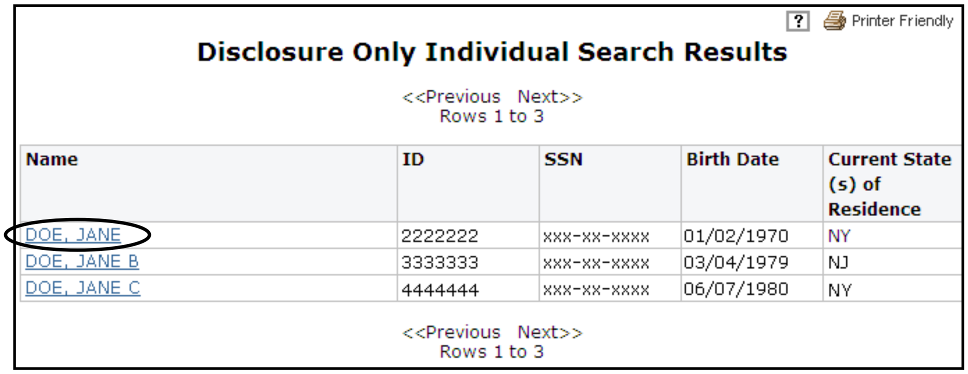
Number of Rows per Page: 25

Disclosure Only Individual Search

2. Type a combination or one of the following: the Individual's **ID Number, Last Name** and/or **Social Security Number**. For a more specific search, type a **First Name** and/or **Middle Name**.

3. Click the **Search** Button.

[Result:] The *Disclosure Only Individual Search Results* screen opens.



Disclosure Only Individual Search Results

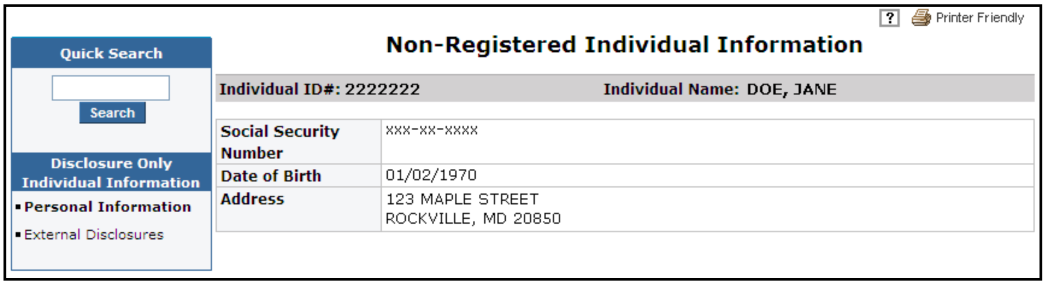
<<Previous Next>>
Rows 1 to 3

Name	ID	SSN	Birth Date	Current State (s) of Residence
DOE, JANE	2222222	xxx-xx-xxxx	01/02/1970	NY
DOE, JANE B	3333333	xxx-xx-xxxx	03/04/1979	NJ
DOE, JANE C	4444444	xxx-xx-xxxx	06/07/1980	NY

<<Previous Next>>
Rows 1 to 3

4. Click the appropriate **Name** hyperlink.

[Result:] The *Non-Registered Individual Information* screen opens.



Non-Registered Individual Information

Individual ID#: 2222222 **Individual Name:** DOE, JANE

Social Security Number	xxx-xx-xxxx
Date of Birth	01/02/1970
Address	123 MAPLE STREET ROCKVILLE, MD 20850

NOTE: CRD defaults to Personal Information. External Disclosures section is not applicable to RAs.

Registration Deficiency Tracking Program

The Web CRD® Registration Deficiency Tracking Program monitors registration requests that are ’Deficient.’ When the deficiency request exceeds the allotted timeframe to resolve it, the system automatically changes the expired registration request from a status of ’Deficient’ to a status of ’Purged.’ Not all deficient registration statuses are automatically assigned a ‘Purged’ status. See the table below for a list of deficiencies that will affect a ‘Purged’ registration status if not resolved, along with how many days are granted to resolve each deficiency.

Deficiencies that will Cause Registration Requests to Expire

Deficiencies	Number of Days Deficient	Further Explanation
Exam Deficiency	**180 Days**	If an exam window is open, the registration status will not change to ‘Purged.’ After the rep has been exam deficient for 180 days, if the exam window closes, the firm has 5 days to reschedule the exam before the registration status is changed to ‘Purged.’
CE Inactive Deficiency	**180 Days**	This deficiency occurs when a registration is deficient due to the representative’s CE Inactive status. This deficiency does not affect RA registrations
Prerequisite Deficiency	**180 Days**	If an individual holds a position that requires a prerequisite position, and the individual does not qualify for that prerequisite position, he will have a prerequisite deficiency. If he currently has an exam window open to satisfy that prerequisite position, the registration status will not change to ‘Purged.’ This deficiency does not affect RA registrations.
Dual Registration Deficiency	**90 Days**	If an individual is deficient for dual registration, that registration status will change to ‘Purged” UNLESS it is a Mixed Dual deficiency (meaning he’s an RR with one firm and an RA with another). Mixed Dual will not have a status of ‘Purged.’
Funds Deficiency	**90 Days**	If a registration is deficient due to insufficient funds, that registration status will change to ‘Purged.’
Fingerprint Deficiency	**90 Days**	If an individual is required to submit a fingerprint card to FINRA and has been deficient, the registration status will be changed to ‘Purged.’ This deficiency does not affect RA registrations.
AR Registration	**180 Days**	Applies when an individual requests an AR position and the individual is already approved in another capacity, or when the individual requests another position while holding an approved AR position. This deficiency does not affect RA registrations.
FA Registration	**90 Days**	Applies when an individual requests an FA position and the individual is already approved in another capacity, or when the individual requests another position while holding an approved FA position. This deficiency does not affect RA registrations.

The following deficiencies will not automatically change to a registration status of ‘Purged’: Training Period and Pre-Exam Training Period Deficiencies, Disclosure Review Deficiencies, Foreign Deficiencies, and Pending Firm Approval and Firm Suspended Deficiencies. If FINRA is the only deficiency, or, FINRA Deficiencies **and** a combination of Training Period, Pre-Exam Training Period Deficiencies, Disclosure Review Deficiencies, Foreign Deficiencies, Pending Firm Approval or Firm Suspended Deficiencies will not automatically be changed to a registration status of ‘Purged’.

What can the firm do when an individual has a 'Purged' registration status?

- When an individual's last registration request with the firm closes, the system will NOT automatically close the firm association. A firm will have up to 120 days to file a Form U4 Amendment to re-request the registration for an individual with a 'Purged' registration status. The firm will be assessed appropriate fees for the registration(s) selected on that Form U4 Amendment.
    - If, after 120 days, no Form U4 Amendment has been filed for the individual and the individual only has registration statuses of 'Purged,' then the firm association will be closed. The individual will change from a 'Purged' registration status to a registration status of 'T-NOU5' (termed without submission of a Form U5).
    - If the firm then wishes to reinstate the individual, a Full Form U4 must be submitted for the individual.
- Individuals that have a 'Purged' registration status and at least one 'Approved' registration status will not result in the firm association closing unless the firm submits a Form U5 for the individual.
    - In instances such as this, the firm may re-request registration for the individual's 'Purged' registration by submitting a Form U4 Amendment.
    - Applicable registration fees will be assessed for the registration(s) selected.

Tips for Viewing Individual Information:

- The quickest way to search for an individual is by Social Security Number or CRD Number.
- When viewing an exam window, remember that an individual can only take an exam one (1) time during the 120-day window. If the individual fails the exam or the window expires, the firm must file a U4 Amendment and open a new window. The firm will be charged for the exam at that time.

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