

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:

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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™) 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. NOTE: For details on the Registration Deficiency Tracking Program, please see page 10-20. |
| 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:

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



OR

- Click the **Individual** Tab from the Tool Bar.



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

The screenshot shows the 'Individual Search Criteria' form. It includes the following fields and sections:

- Search by CRD Number:** A text input field for 'CRD Number'.
- Search by Social Security Number:** A text input field for 'SSN (xxx-xx-xxxx)'.
- Search by Name:** Text input fields for 'Last Name', 'First Name', and 'Middle Name'. There is a checkbox for 'Perform "sounds-like" search'.
- Firm CRD Number:** A text input field for 'Firm CRD Number'.
- Firm Name:** A text input field for 'Firm Name'.
- Available States:** A list box containing 'Alabama', 'Alaska', 'Arizona', 'Arkansas', and 'California'.
- Selected State(s):** An empty text box for selected states.
- Select Number of Rows:** A text input field for 'Number of Rows per Page' with the value '25'.
- Search:** A button labeled 'Search'.

NOTE: To access CRD from IARD, see Steps for Accessing CRD from IARD, page 3-4.

Individual Search

- 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.
- 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) |

- 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) | | |
| | Position | Investment Adviser Representative | | |
| | Independent Contractor | No | | |
| | CRD Branch Number | Address | Firm Billing Code | NYSE Branch Code Number |
| | IA Main - Located At | 123 SECURITIES LN OLNEY, MD 20832 | | |
| 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. | | | |
| Has Material Difference in Disclosure? | No | | | |
| Disclosure Counts - Current Disclosures | Criminal | Regulatory Action | Customer Complaint | Other |
| | 0 | 1 | 1 | 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.

| | |
|---|---|
| <p>View Individual Information (Continued)</p> | <p>Continuing Education is not applicable to RAs.</p> <p>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.</p> <p>Document Listing is not applicable to RAs.</p> <p>Filing History includes a list of all filings submitted for an individual with redlined changes. For viewing Filing History information see page 10-16.</p> <p>Registration Comments is not applicable to RAs.</p> <p>Legacy Information is not applicable to RAs.</p> <p>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, page 12-4.</p> <p>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.</p> <p>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.</p> |
|---|---|

Steps for Viewing Individual Registrations Summary:

| | |
|--|---|
| <p>Access View Individual and Individual Search</p> | <p>1. Follow steps 1 through 4 on page 10-5 of Steps for Viewing Individual Information.</p> |
| <p>View Registrations Summary</p> | <p>2. Click Registrations Summary from the Navigation Bar.</p> <p>[Result:] The <i>Registrations Summary</i> screen opens.</p> <div data-bbox="472 569 1362 1014" data-label="Image"> <p>The screenshot shows the 'Registrations Summary' page. At the top, it displays 'Individual CRD#: 1111111' and 'Individual Name: DOE, JOHN A'. Below this, there are two sections: 'Current Firm(s): Registrations Summary With Current Employers' and 'Prior Firm(s): Registrations Summary With Prior Employers'. Each section contains a table with columns for Firm Name, Firm CRD, Start Date, IARD Regs., CRD Regs., and SFG Member. The current firm table lists 'SECURITIES FIRM' and 'SECURITIES FIRM.B'. The prior firm table lists 'SECURITIES FIRM.C'. A 'Back to Top' link is visible at the bottom of the current firm section.</p> </div> <p>3. Click the Firm Name hyperlink to view registrations held with a specific firm.</p> <p>[Result:] The screen showing the registrations held with that specific firm opens.</p> <div data-bbox="472 1178 1362 1524" data-label="Image"> <p>The screenshot shows the 'Registrations with Current Employers' page for Firm CRD #: 0000 and Firm Name: SECURITIES FIRM. It includes an 'Employment Start Date' of 05/31/2007. Below is a table with columns: Regulatory Authority, Registration Category, Filing Date, Status Date, Registration Status, and Approval Date. The first row shows a FINRA registration with category 'GP', filing date 08/01/2008, status date 08/01/2008, and status 'DEFICIENT'. The second row shows a CA registration with category 'RA', filing date 06/01/2007, status date 06/04/2007, and status 'APPROVED'. The third row shows a TX registration with category 'RA', filing date 06/05/2007, status date 06/19/2007, and status 'APPROVED'. A 'Back to Top' link is at the top of the page.</p> </div> <p>4. To view registration status definitions, click the Registration Status hyperlink.</p> <p>OR</p> <p>4a. To view registration status history, click the appropriate hyperlink in the Registration Category column.</p> <p>OR</p> <p>4b. To view a deficient registration status, click the Deficient hyperlink in the Registration Status column.</p> |

Steps for Viewing Registrations with Current Employers:

| <p>Access View Individual and Individual Search</p> | <p>1. Follow steps 1 through 4 on page 10-5 of Steps for Viewing Individual Information.</p> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|--|--|--|-------------|---------------------------|---------------|--|--|--|--|------------------------------|--|--|--|-----------|----------|------------|------------|-----------|------------|---------------------------------|----------------------|---------|---|---|---|-----------------------------------|----------------------|---------|---|---|---|--------------------------------------|--|--|--|--|--|-----------------------------------|--|-----------------------------|--|--|--|-----------------------|--|--|------------|--|--|----------------------|-----------------------|-------------|-------------|---------------------|---------------|-------|--------------------|------------|------------|---------------------------|--|----------------------|-----------------------|-------------|-------------|---------------------|---------------|----|--------------------|------------|------------|----------|------------|----|--------------------|------------|------------|----------|------------|
| <p>View Registrations with Current Employers</p> | <p>2. Click Registrations with Current Employers from the Navigation Bar.</p> <p>[Result:] The <i>Registrations Summary with Current Employers</i> screen opens.</p> <div data-bbox="451 590 1433 785" data-label="Table"> <table border="1"> <thead> <tr> <th colspan="6">Registrations Summary With Current Employers</th> </tr> <tr> <td colspan="2">Individual CRD#: 1111111</td> <td colspan="4">Individual Name: DOE, JOHN A</td> </tr> <tr> <th>Firm Name</th> <th>Firm CRD</th> <th>Start Date</th> <th>IARD Regs.</th> <th>CRD Regs.</th> <th>SFG Member</th> </tr> </thead> <tbody> <tr> <td>SECURITIES FIRM</td> <td>0000</td> <td>05/2007</td> <td>Y</td> <td>N</td> <td>N</td> </tr> <tr> <td>SECURITIES FIRM B</td> <td>0001</td> <td>03/2006</td> <td>Y</td> <td>N</td> <td>N</td> </tr> </tbody> </table> </div> <p>3. Click the Firm Name hyperlink to view registrations held with a specific firm.</p> <p>[Result:] The <i>Registrations with Current Employers</i> screen opens.</p> <div data-bbox="451 953 1406 1325" data-label="Table"> <table border="1"> <thead> <tr> <th colspan="6">Registrations with Current Employers</th> </tr> <tr> <td colspan="2">Firm CRD # : 0000</td> <td colspan="4">Firm Name : SECURITIES FIRM</td> </tr> <tr> <td colspan="3">Employment Start Date</td> <td colspan="3">05/31/2007</td> </tr> <tr> <th>Regulatory Authority</th> <th>Registration Category</th> <th>Filing Date</th> <th>Status Date</th> <th>Registration Status</th> <th>Approval Date</th> </tr> </thead> <tbody> <tr> <td>FINRA</td> <td>GP</td> <td>08/01/2008</td> <td>08/01/2008</td> <td>DEFICIENT</td> <td></td> </tr> <tr> <th>Regulatory Authority</th> <th>Registration Category</th> <th>Filing Date</th> <th>Status Date</th> <th>Registration Status</th> <th>Approval Date</th> </tr> <tr> <td>CA</td> <td>RA</td> <td>06/01/2007</td> <td>06/04/2007</td> <td>APPROVED</td> <td>06/04/2007</td> </tr> <tr> <td>TX</td> <td>RA</td> <td>06/05/2007</td> <td>06/19/2007</td> <td>APPROVED</td> <td>06/19/2007</td> </tr> </tbody> </table> </div> <p>4. To view registration status definitions, click the Registration Status hyperlink.</p> <p>OR</p> <p>4a. To view registration history details, click the appropriate hyperlink in the Registration Category column.</p> <p>OR</p> <p>4b. To view a deficient registration status, click the Deficient hyperlink in the Registration Status column.</p> | 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 | 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 |
| 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 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 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 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

Steps for Viewing Registrations with Prior Employers:

| <p>Access View Individual and Individual Search</p> | <p>1. Follow steps 1 through 4 on page 10-5 of Steps for Viewing Individual Information.</p> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|--|---|--|-------------------------------|---------------------|---------------|------------|--|--|--|--|--|------------------------------|--|--|--|-----------|----------|------------|----------|------------|-----------|------------|-----------------------------------|----------------------|---------|---------|---|---|---|------------------------------------|--|--|--|--|--|--|--|--|------------------------------|--|--|-----------------------------------|--|--|-------------------------------|--|--|-----------------------|------------|--|--|--|--|---------------------|------------|--|--|--|--|------------------------|-----------|--|--|--|--|---------------------|------------------------|--|--|--|--|--------------------------|-------------------|--|--|--|--|----------------------|-----------------------|-------------|-------------|---------------------|---------------|-------|--------------------|------------|------------|--------|------------|-------|--------------------|------------|------------|--------|------------|-------|--------------------|------------|------------|--------|------------|----|--------------------|------------|------------|--------|------------|
| <p>View Registrations with Prior Employers</p> | <p>2. Click Registrations with Prior Employers from the Navigation Bar.</p> <p>[Result:] The <i>Registrations Summary With Prior Employers</i> screen opens.</p> <div data-bbox="451 594 1433 789" data-label="Table"> <table border="1"> <thead> <tr> <th colspan="7">Registrations Summary With Prior Employers</th> </tr> <tr> <td colspan="3">Individual CRD#: 1111111</td> <td colspan="4">Individual Name: DOE, JOHN A</td> </tr> <tr> <th>Firm Name</th> <th>Firm CRD</th> <th>Start Date</th> <th>End Date</th> <th>IARD Regs.</th> <th>CRD Regs.</th> <th>SFG Member</th> </tr> </thead> <tbody> <tr> <td>SECURITIES FIRM C</td> <td>0003</td> <td>09/2003</td> <td>02/2006</td> <td>N</td> <td>N</td> <td>N</td> </tr> </tbody> </table> </div> <p>3. Click the Firm Name hyperlink to view registrations held with a specific firm.</p> <p>[Result:] The <i>Registrations with Prior Employers</i> screen opens.</p> <div data-bbox="464 1024 1422 1556" data-label="Table"> <table border="1"> <thead> <tr> <th colspan="6">Registrations with Prior Employers</th> </tr> <tr> <td colspan="3">Individual CRD#: 1111111</td> <td colspan="3">Individual Name: DOE, JOHN A</td> </tr> <tr> <td colspan="3">Firm CRD # : 0003</td> <td colspan="3">Firm Name : SECURITIES FIRM C</td> </tr> <tr> <td>Employment Start Date</td> <td colspan="5">09/25/2003</td> </tr> <tr> <td>Employment End Date</td> <td colspan="5">02/08/2006</td> </tr> <tr> <td>Reason for Termination</td> <td colspan="5">Voluntary</td> </tr> <tr> <td>Termination Comment</td> <td colspan="5">MOVING OUT OF THE AREA</td> </tr> <tr> <td>Firm Name at Termination</td> <td colspan="5">SECURITIES FIRM C</td> </tr> <tr> <th>Regulatory Authority</th> <th>Registration Category</th> <th>Filing Date</th> <th>Status Date</th> <th>Registration Status</th> <th>Approval Date</th> </tr> </thead> <tbody> <tr> <td>FINRA</td> <td>GP</td> <td>01/16/2004</td> <td>02/08/2006</td> <td>TERMED</td> <td>06/16/2004</td> </tr> <tr> <td>FINRA</td> <td>GS</td> <td>01/16/2004</td> <td>02/08/2006</td> <td>TERMED</td> <td>06/16/2004</td> </tr> <tr> <td>FINRA</td> <td>OP</td> <td>01/16/2004</td> <td>02/08/2006</td> <td>TERMED</td> <td>06/16/2004</td> </tr> <tr> <td>NY</td> <td>AG</td> <td>01/16/2004</td> <td>02/08/2006</td> <td>TERMED</td> <td>06/17/2004</td> </tr> </tbody> </table> </div> <p>4. To view registration status definitions, click the Registration Status hyperlink.</p> <p>OR</p> <p>4a. To view registration history details, click the appropriate hyperlink in the Registration Category column.</p> | 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 | 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 |
| 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 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 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 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

Steps for Viewing Current Disclosures:

| <p>Access View Individual and Individual Search</p> | <p>1. Follow steps 1 through 4 on page 10-5 of Steps for Viewing Individual Information.</p> | | | | | | | | | | | | | | | | | | | | | | |
|--|--|------------|--------------------------------|-----------------------------------|---|-----------------------------------|------------------|------------|----------------|------------------|--------------------|------------------|------------|----------------------------|------------------|--------------------|--|----|---|------------|------------|--|--|
| <p>View Current Disclosures</p> | <p>2. Click Disclosures from the Navigation Bar.</p> <p>[Result:] CRD defaults to <i>Current Disclosure Summary</i> screen.</p> <div data-bbox="441 604 1448 1041" data-label="Table"> <table border="1"> <thead> <tr> <th rowspan="2">Occurrence</th> <th colspan="2">Reportable/ Disclosable</th> <th rowspan="2">Eligible for Public Disclosure</th> <th rowspan="2">Material Difference in Disclosure</th> <th rowspan="2">Composite Filing</th> <th rowspan="2">Event Date</th> <th rowspan="2">First Reported</th> <th rowspan="2">Final Resolution</th> <th rowspan="2">Questions Answered</th> </tr> <tr> <th>Yes</th> <th>No</th> </tr> </thead> <tbody> <tr> <td>Customer Complaint (00001)</td> <td>Yes</td> <td>Yes</td> <td></td> <td>No</td> <td>U4 AMENDMENT Customer Complaint 08/01/2008 SECURITIES FIRM (0000)</td> <td>07/20/2008</td> <td>08/01/2008</td> <td></td> <td></td> </tr> </tbody> </table> </div> <p>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 <i>may</i> 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.</p> <p>3. Click the Occurrence ID Number hyperlink.</p> <p>OR</p> <p>3a. Click the Composite Filing Occurrence Type hyperlink (e.g., Regulatory Action).</p> | Occurrence | Reportable/ Disclosable | | Eligible for Public Disclosure | Material Difference in Disclosure | Composite Filing | Event Date | First Reported | Final Resolution | Questions Answered | Yes | No | Customer Complaint (00001) | Yes | Yes | | No | U4 AMENDMENT Customer Complaint 08/01/2008 SECURITIES FIRM (0000) | 07/20/2008 | 08/01/2008 | | |
| Occurrence | Reportable/ Disclosable | | Eligible for Public Disclosure | Material Difference in Disclosure | | | | | | | | Composite Filing | Event Date | First Reported | Final Resolution | Questions Answered | | | | | | | |
| | Yes | No | | | | | | | | | | | | | | | | | | | | | |
| Customer Complaint (00001) | Yes | Yes | | No | U4 AMENDMENT Customer Complaint 08/01/2008 SECURITIES FIRM (0000) | 07/20/2008 | 08/01/2008 | | | | | | | | | | | | | | | | |

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 | 07/20/2008 | 08/01/2008 | | |
| | SECURITIES FIRM (0000) | | | | |
| 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.

| View Form Pages | | | |
|---|---|--|-----------------------|
| <ul style="list-style-type: none"> ▪ All Pages ▪ Page 1 ▪ Page 2 ▪ Page 3 ▪ Page 4 ▪ DRPs | 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: | Middle Name: | Last Name: | Suffix JR./SR., etc.: |
| JOHN | A | DOE | |
| Firm CRD #: | Firm or Issuer Name: | Employment Date (MM/DD/YYYY): | CRD Branch #: |
| 0000 | (Include this employment under Item 20, page 2) | 05/01/2007 | |
| Billing Code: (optional) | Applicant's CRD #: | Applicant's SS #: | |
| | 1111111 | 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).

  Printer Friendly

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 231** on page 3 of Form U-4;

Check item(s) you are responding to:

| |
|--------------------|
| Customer Complaint |
|--------------------|

231(1)(a)
 231(1)(b)
 231(1)(c)
 231(2)
 231(3)(a)
 141(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):

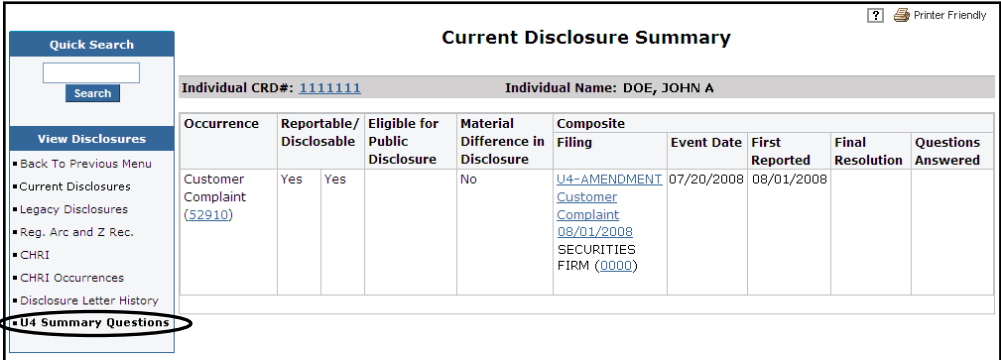
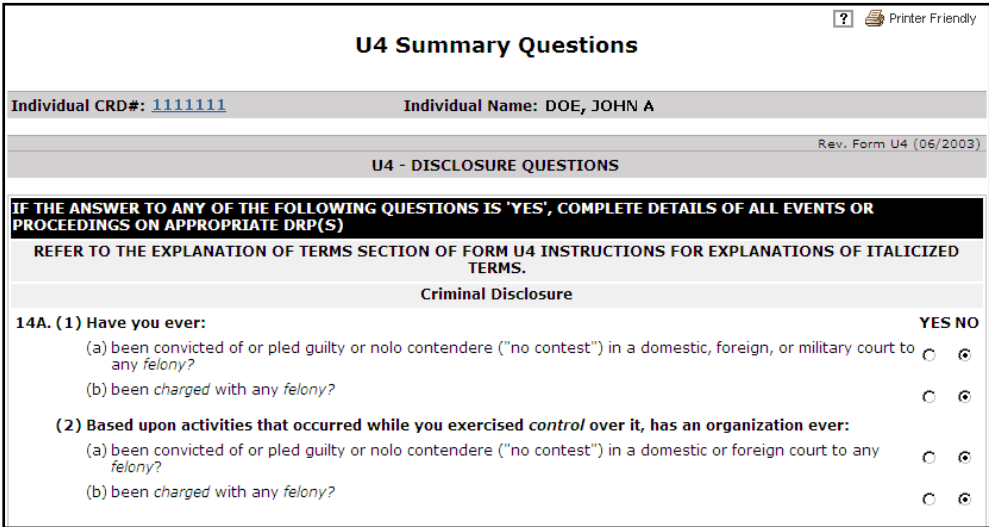
2. Customer(s) State of Residence:

- 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:

| | |
|--|---|
| <p>Access View Individual and Individual Search</p> | <p>1. Follow steps 1 through 4 on page 10-5 of Steps for Viewing Individual Information.</p> |
| <p>View U4 Summary Questions</p> | <p>2. Click Disclosures from the Navigation Bar.</p> <p>[Result:] The <i>Current Disclosure Summary</i> screen opens.</p>  <p>3. Click U4 Summary Questions from the Navigation Bar.</p> <p>[Result:] The <i>U4 Summary Questions</i> screen opens.</p>  <p>4. Click Back to the Previous Menu on the Navigation Bar to return to the main Navigation Bar.</p> |

Steps for Viewing Individual Filing History:

| <p>Access Registration Summary</p> | <p>1. Follow steps 1 through 4 on page 10-5 of Steps for Viewing Individual Information.</p> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|---|--|------------------------------|------------------------------|------------------------------|--|-------------|-----------|-------------|--------|------------|--------------------|-----------|------------------------|------------|--------------------|---------------------|------------------------|------------|--------------------|-----------|------------------------|------------|--------------------|------------------|------------------------------|------------|--------------------|------------------|------------------------------|------------|--------------------|----------------|------------------------------|
| <p>View Filing History</p> | <p>2. Click Filing History from the Navigation Bar.</p> <p>[Result:] The <i>Form Filing History</i> screen opens.</p> <div data-bbox="457 543 1380 804" data-label="Table"> <table border="1"> <thead> <tr> <th colspan="2">Individual CRD#: 1111111</th> <th colspan="2">Individual Name: DOE, JOHN A</th> </tr> <tr> <th>Filing Date</th> <th>Form Type</th> <th>Filing Type</th> <th>Source</th> </tr> </thead> <tbody> <tr> <td>05/28/2009</td> <td>U4</td> <td>Amendment</td> <td>Securities Firm (0000)</td> </tr> <tr> <td>04/28/2009</td> <td>U5</td> <td>Partial Termination</td> <td>Securities Firm (0000)</td> </tr> <tr> <td>04/01/2009</td> <td>U4</td> <td>Relicense</td> <td>Securities Firm (0000)</td> </tr> <tr> <td>03/19/2009</td> <td>U5</td> <td>Amendment filing</td> <td>Other Securities Firm (1111)</td> </tr> <tr> <td>03/19/2009</td> <td>U5</td> <td>Full termination</td> <td>Other Securities Firm (1111)</td> </tr> <tr> <td>03/18/2009</td> <td>U4</td> <td>Initial filing</td> <td>Other Securities Firm (1111)</td> </tr> </tbody> </table> </div> <p>3. Click the Form Type hyperlink (e.g., U4)</p> <p>[Result:] The <i>U4 General Information</i> screen opens in a second browser.</p> <div data-bbox="449 978 1401 1302" data-label="Form"> </div> <p>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.</p> <p>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.</p> <p>OR</p> <p>4a. Click View Changes From Previous Filing to see the modifications made on that filing as compared to the most recent previous filing submitted.</p> <p>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.</p> | 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) |
| 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) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

Steps for Viewing Deficiencies:

| <p>Access View Individual and Search Individual</p> | <p>1. Follow steps 1 through 4 on page 10-5 of Steps for Viewing Individual Information.</p> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|--|---|--|---------------------|-------------------------|--|--|--|------------------------------|--|-------------------------------------|--|--|--|----------|-----------|------------|------------|----------------------|---------------------------------|------------|---|--------------|--|--|--|--|--|------------------------------|--|---------------------------------|--|--|--|----------------------|--|--|--|----------------------|-----------------------|--------------|----------------|-------|----|---------------------------------------|----|----|----|----------------------------|----|--|--|--|--|----------------------|--|--|--|----------------------|-----------------------|--------------|---------------------|-------------------------|-------|----|------------|------------|------------|
| <p>View Deficiencies</p> | <p>2. Click Deficiencies from the Navigation Bar.</p> <p>[Result:] The <i>Deficiencies Summary</i> screen opens, displaying deficiencies with current and prior employers.</p> <div data-bbox="423 617 1458 852" data-label="Table"> <table border="1"> <thead> <tr> <th colspan="4">Deficiencies Summary</th> </tr> <tr> <td colspan="2">Individual CRD#: 1111111</td> <td colspan="2">Individual Name: DOE, JOHN A</td> </tr> <tr> <th colspan="4">Deficiencies With Current Employers</th> </tr> <tr> <th>Firm CRD</th> <th>Firm Name</th> <th>Start Date</th> <th>SFG Member</th> </tr> </thead> <tbody> <tr> <td>0000</td> <td>SECURITIES FIRM</td> <td>10/28/2005</td> <td>N</td> </tr> </tbody> </table> </div> <p>3. To view Deficiencies with a specific firm, click the Firm Name hyperlink.</p> <p>[Result:] The <i>Deficiencies</i> screen opens.</p> <div data-bbox="423 1073 1458 1587" data-label="Table"> <table border="1"> <thead> <tr> <th colspan="4">Deficiencies</th> </tr> <tr> <td colspan="2">Individual CRD#: 1111111</td> <td colspan="2">Individual Name: DOE, JOHN A</td> </tr> <tr> <td colspan="2">Firm CRD#: 0000</td> <td colspan="2">Firm Name: SECURITIES FIRM</td> </tr> <tr> <th colspan="4">Current Deficiencies</th> </tr> <tr> <th>Regulatory Authority</th> <th>Registration Category</th> <th>Deficiencies</th> <th>Days Deficient</th> </tr> </thead> <tbody> <tr> <td>FINRA</td> <td>SU</td> <td>Exam(s): S10, S9 Disclosure Review</td> <td>14</td> </tr> <tr> <td>NJ</td> <td>AG</td> <td>FINRA Disclosure Review</td> <td>14</td> </tr> <tr> <td colspan="4" style="text-align: center;"> Historical Deficiencies cleared prior to October 2008 will not be displayed. </td> </tr> <tr> <th colspan="4">Deficiencies History</th> </tr> <tr> <th>Regulatory Authority</th> <th>Registration Category</th> <th>Deficiencies</th> <th>Date Deficiency Set</th> <th>Date Deficiency Cleared</th> </tr> <tr> <td>FINRA</td> <td>GS</td> <td>CEINACTIVE</td> <td>10/25/2008</td> <td>11/01/2008</td> </tr> </tbody> </table> </div> <p>NOTE: The Deficiencies History section will not display deficiencies cleared prior to October 2008.</p> | 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 | 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 |
| 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 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 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 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

Steps for Viewing Current Professional Designations:

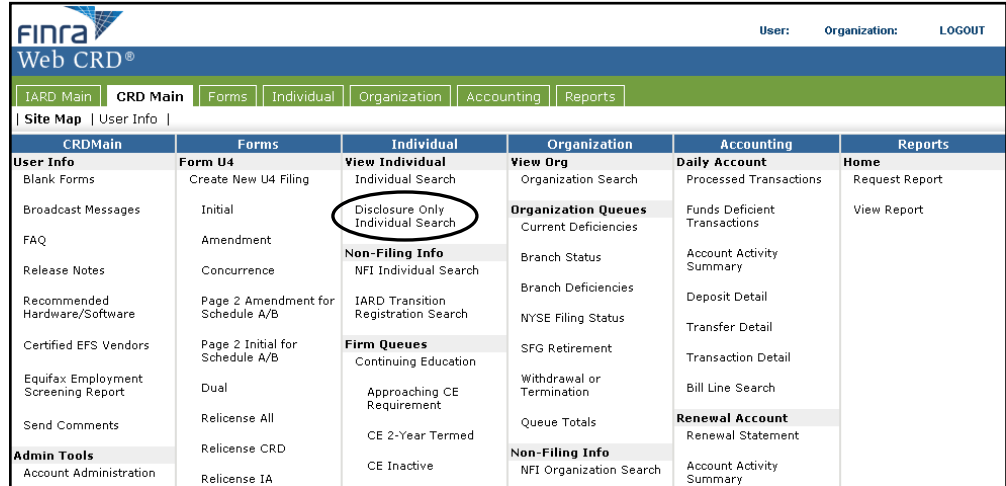
| <p>Access View Individual and Search Individual</p> | <p>2. Follow steps 1 through 4 on page 10-5 of Steps for Viewing Individual Information.</p> | | | | | | | | | | | | | | | | |
|--|--|--|--|--|--|--|--|------------------------------|--|-------------|-----------------------|---|---|--------------------------------------|----------------------|--|--|
| <p>View Current Professional Designations</p> | <p>3. Click Current Professional Designations from the Navigation Bar.</p> <p>[Result:] The <i>Current Professional Designations</i> screen opens.</p> <div data-bbox="431 573 1446 903" data-label="Table"> <table border="1"> <thead> <tr> <th colspan="2"></th> <th colspan="2">Individual CRD#: 1111111</th> </tr> <tr> <th colspan="2"></th> <th colspan="2">Individual Name: DOE, JOHN A</th> </tr> <tr> <th>Designation</th> <th>Designating Authority</th> <th>First Filing to Include Current Designation</th> <th>Most Recent Filing to Include Current Designation</th> </tr> </thead> <tbody> <tr> <td>Chartered Financial Consultant(ChFC)</td> <td>The American College</td> <td>U4 INITIAL 05/01/2007 SECURITIES FIRM (0000)</td> <td>U4 AMENDMENT 05/15/2007 SECURITIES FIRM (0000)</td> </tr> </tbody> </table> </div> <p>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.</p> <p>OR</p> <p>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.</p> <p>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.</p> | | | 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) |
| | | 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) | | | | | | | | | | | | | | |

Steps for Viewing Disclosure Only Individual Information:

Access Disclosure Only Individual

There are two ways to access Disclosure Only Individual information:

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



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

? Printer Friendly

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:

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.

| 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 |

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

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

Quick Search

Search

Disclosure Only Individual Information

- Personal Information
- External Disclosures

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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