

## Chapter Nine: Individual Form Filing

### About this Section

This section contains information pertaining to submitting Forms U4 and Form U5 filings.

### Completion Objectives

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

- Identify and explain Forms U4 and U5 filing types
- Submit Forms U4 and U5 filings electronically
- Retrieve Pending Forms U4 and U5 filings
- View Historical Forms U4 and U5 filings

### In this Section

This section contains the following topics:

Topic	See Page
About Forms U4 and U5 Filings	9-2
Form U4 Filing Types	9-2
Form U5 Filing Types	9-3
Steps for Creating a Form U4 Filing	9-4
Steps for Allowing Rep Edits	9-11
Steps for Completing a Form U4 Disclosure Reporting Page	9-13
Steps for Creating a Form U5 Filing	9-19
Steps for Completing a Form U5 Disclosure Reporting Page	9-24
Steps for Retrieving Pending U4 and U5 Filings	9-31
Steps for Viewing Historical Form U4 and U5 Filings	9-33
Tips for Submitting U4 and U5 Filings	9-35

## About Forms U4 and U5 Filings

CRD allows firms to create and submit electronic filings of Form U4 and U5 to fulfill state securities registration and licensing requirements for Registered Advisers.

CRD automatically performs a Completeness Check to prevent firms from submitting incomplete filings. Firms can perform a Completeness Check on their own, prior to submission, to check filings for completeness of required fields. Firms can also modify or delete a filing for up to sixty (60) days from the filing's creation date. After sixty (60) days, if the filing has not been submitted, CRD automatically deletes the filing. Once the filing has been submitted, CRD keeps an inventory of historical filings. Users can view the most recent changes to a filing by accessing the latest filing (e.g. U4, U5) from the Form Filing History screen and then clicking on View Changes From Previous Filing on the navigation panel. Changes will appear in red font.

As part of Web CRD & IARD Release 2009.2, the individual forms were revised and re-versioned. Changes include:

- Modifications to the Customer Complaint Disclosure Summary Questions (i.e. Forms U4 and U5)
- Changes to the Form U4 Regulatory Action Disclosure Summary Questions
- Modifications to Form U5 to allow changes to the Date of and Reason for Termination
- Technical and conforming changes to the Disclosure Summary Pages (DRPs) to clarify the information being elicited by regulators and to facilitate accurate reporting by firms

All DRPs created after the implementation of Web CRD & IARD Release 2009.2 (on or after May 18, 2009) will display in the new format and be labeled as Rev. DRP (05/2009). DRPs that are amended after Release 2009.2 will be updated and submitted in the new format. Previously submitted DRPs that do not require updates will persist in the individual's Filing History in the version it was submitted. Please note, Filing History will not display redlining for the first filing (i.e. Form U4 or U5) submitted in the 2009 version, as redlining does not display across different form versions. Redlining will display for all subsequent filings. For more information regarding the changes to the Individual Forms, please access the Individual Forms Web page at: [www.finra.org/crd/individualformchanges](http://www.finra.org/crd/individualformchanges).

Throughout the Forms U4 and U5, there are italicized words and phrases. When the cursor is positioned over any part of an italicized word or phrase, the definition of that word or phrase appears in a small box. If the definition is not complete, click the **More** hyperlink to open a second browser with the complete definition from the Glossary of Terms.

Firms can allow representatives to make edits to pending Form U4 filings. Firms assign representatives full or partial access to the Form U4. Upon completion, the representative returns the form electronically through CRD to the firm for filing.

### Form U4 Filing Types

The Form U4 is the Uniform Application for Securities Industry Registration or Transfer. Representatives of broker-dealers, investment advisers, or issuers of securities must use this form to become registered in the appropriate jurisdictions and/or SROs. It is imperative that the correct filing type is chosen to receive the desired type of registration.

#### ***There are nine (9) Form U4 filing types:***

1. **Initial or Transfer** – Initial or Transfer is for individuals who have never been registered on CRD or were last registered more than thirty (30) days ago with a previous firm.
2. **Amendment** – An Amendment is to add or change information on an individual already registered with the filing firm.
3. **Concurrence** – A Concurrence filing is used to concur with and adopt the information submitted by another firm on an individual also registered with the filing firm. It is a read-only filing; only the Signatures section of a Concurrence Filing must be completed. If the firm chooses not to concur with and adopt the information submitted, it can submit a U4 Amendment.

4. **Page 2 Initial for Schedule A/B** – Page 2 Initial for BD Schedule A/B is not applicable to RAs.
5. **Page 2 Amendment for Schedule A/B** – Page 2 Amendment for BD Schedule A/B is not applicable to RAs.
6. **Dual** – Dual filings are for applicants that intend to maintain registrations with two (2) or more **unaffiliated** broker-dealer and/or investment adviser firms.

#### **Form U4 Filing Types (Continued)**

7. **Relicense All** – Relicense All is for an individual who wishes to register with a new firm within thirty (30) days from the date of termination with the previous firm(s), and intends to be registered SOLELY with the new firm. All other firms with which the applicant has been registered must submit a U5 to terminate his or her employment.
8. **Relicense CRD** – This filing type is not applicable to RAs.
9. **Relicense IA** – Relicense IA is for an individual who wishes to register as a RA with a new investment adviser firm and terminate his or her RA positions with any other firms (i.e., the other firms will submit U5 filings on the individual), but leave any broker-dealer associations he or she may have current. The individual's AG status will not be affected.

#### **Form U5 Filing Types**

The Form U5 is the Uniform Termination Notice for Securities Industry Registration. Firms must use this form to terminate registration of an individual in the various self-regulatory organizations and jurisdictions.

##### ***There are three (3) Form U5 filing types:***

1. **Full:** Full Form U5 is used when fully terminating an individual from the firm. All registrations with jurisdictions will be terminated. A Full U5 filing must be filed no later than thirty (30) days after the individual has left the firm's employment. Disclosure certification is required or a response to the Disclosure Questions must be provided. Residential addresses can be updated.
2. **Partial:** Partial Form U5 is used to terminate individuals from selected jurisdictions. Disclosure questions are not required and residential addresses can be updated.
3. **Amendment:** Amendment Form U5 is used to update the Date of and Reason for Termination and/or amend disclosure and/or residential information on an individual already terminated from a firm.

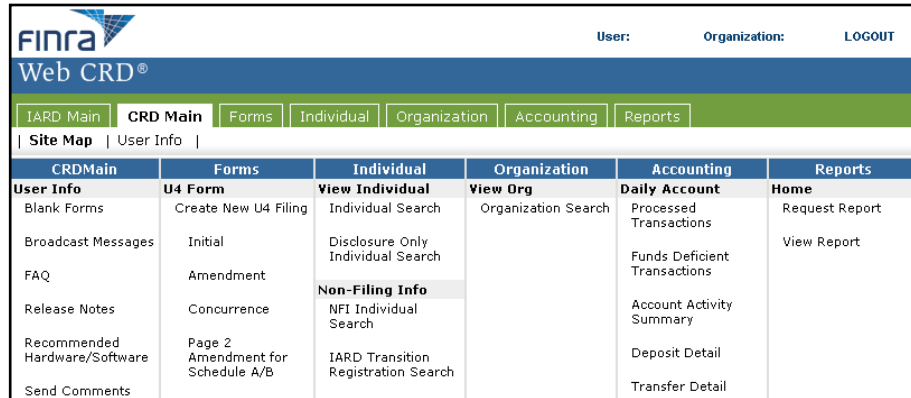
**NOTE:** Entitlement is required to view Social Security Numbers (SSNs) in Web CRD and IARD. For users who do not have this entitlement, SSNs will display as "xxx-xx-xxx" throughout the system. Individual searches may still be performed using the SSN as part of the search criteria. Users that require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

## Steps for Creating a Form U4 Filing:

### Access U4

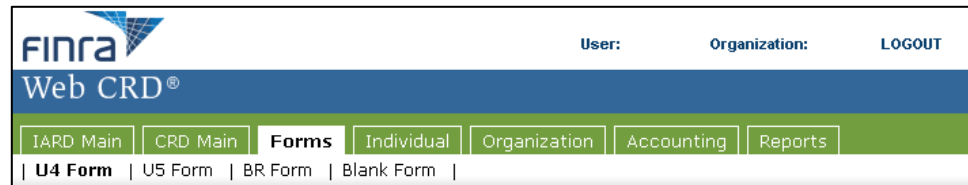
There are two ways to access a Form U4 filing:

- From the CRD Site Map, click the **Initial, Amendment, Concurrence, Dual, Relicense All** or **Relicense IA** hyperlink.



**OR**

- Click the **Forms** Tab from the Tool Bar, choose **U4 Form** from the Sub-Menu and click the **Initial, Amendment, Concurrence, Dual, Relicense All** or **Relicense IA** hyperlink.



**NOTE:** To access CRD from IARD, see step 1 on page 3-3 of Steps for Accessing CRD from IARD.

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

? Printer Friendly

### Individual Search Criteria U4 - Initial

**Search by CRD Number**

CRD Number :

**Search by Social Security Number**

SSN (xxx-xx-xxxx):

**Search by Name**

Last Name:  First Name:

Middle Name:  Perform "sounds-like" search

**Filter by Other Information**

Birthdate (mm/dd/yyyy):

**Select Number of Rows**

Number of Rows per Page:

<p><b>Individual Search</b></p>	<p>2. Enter at least one of the following: individual's <b>Last Name</b> and at least two (2) characters of the <b>First Name</b>, <b>CRD Number</b> and/or <b>Social Security Number</b>. For a more specific search, enter a <b>Middle Name</b> and <b>Birth Date</b> to locate the individual or verify that the individual does not exist in CRD.</p> <p>3. Click the <b>Search</b> button.</p> <p><b>[Result:]</b> The system provides an individual or list of individuals that match the criteria entered.</p> <div data-bbox="483 527 1396 821" data-label="Table"> <table border="1"> <thead> <tr> <th colspan="3">Individual Search Results</th> </tr> <tr> <td colspan="3" style="text-align: center;">                     &lt;&lt;Previous <a href="#">Next</a>&gt;&gt;                      Rows 1 to 25                 </td> </tr> <tr> <th colspan="3">U4 - Initial</th> </tr> <tr> <th>Name</th> <th>CRD</th> <th>Birth Date</th> </tr> </thead> <tbody> <tr> <td><a href="#">DOE, JOHN, A</a></td> <td>1111111</td> <td>01/01/1968</td> </tr> <tr> <td><a href="#">DOE, JOHN, B</a></td> <td>2222222</td> <td>05/29/1975</td> </tr> <tr> <td><a href="#">DOE, JOHN, C</a></td> <td>3333333</td> <td>01/01/1980</td> </tr> </tbody> </table> </div> <p>4. If the individual exists in CRD, click the <b>Name</b> hyperlink to begin the filing.</p>	Individual Search Results			<<Previous <a href="#">Next</a> >> Rows 1 to 25			U4 - Initial			Name	CRD	Birth Date	<a href="#">DOE, JOHN, A</a>	1111111	01/01/1968	<a href="#">DOE, JOHN, B</a>	2222222	05/29/1975	<a href="#">DOE, JOHN, C</a>	3333333	01/01/1980							
Individual Search Results																													
<<Previous <a href="#">Next</a> >> Rows 1 to 25																													
U4 - Initial																													
Name	CRD	Birth Date																											
<a href="#">DOE, JOHN, A</a>	1111111	01/01/1968																											
<a href="#">DOE, JOHN, B</a>	2222222	05/29/1975																											
<a href="#">DOE, JOHN, C</a>	3333333	01/01/1980																											
<p><b>Create a New Individual</b></p>	<p><b>OR</b></p> <p>4a. If there are no individuals listed with the same <b>SSN</b> and <b>Birth Date</b>, enter <b>SSN</b> twice and <b>Birth Date</b> in the <b>Create a New Individual</b> fields and click the <b>Create New ID</b> button.</p> <div data-bbox="513 1104 1357 1425" data-label="Form"> <table border="1"> <thead> <tr> <th colspan="4">Create a New Individual</th> </tr> </thead> <tbody> <tr> <td>SSN:</td> <td><input type="text"/></td> <td>SSN (again):</td> <td><input type="text"/></td> </tr> <tr> <td>Last Name:</td> <td><input type="text"/></td> <td>First Name:</td> <td><input type="text"/></td> </tr> <tr> <td>Middle Name:</td> <td><input type="text"/></td> <td>Suffix:</td> <td><input type="text"/></td> </tr> <tr> <td>Birth Date:</td> <td colspan="3"><input type="text"/></td> </tr> <tr> <td></td> <td colspan="3" style="text-align: center;">(MM/DD/YYYY)</td> </tr> <tr> <td colspan="4" style="text-align: center;"> <input type="button" value="Create New CRD"/> </td> </tr> </tbody> </table> </div> <p><b>NOTE:</b> The Suffix and Middle Name are optional fields. The entry of an SSN is mandatory. If the individual does not have a SSN, call the IARD Hotline at 240-386-4848 to receive a CRD Number.</p> <p><b>[Result:]</b> The <i>General Instructions</i> screen opens.</p> <p><b>NOTE:</b> At this point, the Form U4 filing is saved as Pending and can be modified or deleted for sixty days (60) from the creation date prior to submission.</p>	Create a New Individual				SSN:	<input type="text"/>	SSN (again):	<input type="text"/>	Last Name:	<input type="text"/>	First Name:	<input type="text"/>	Middle Name:	<input type="text"/>	Suffix:	<input type="text"/>	Birth Date:	<input type="text"/>				(MM/DD/YYYY)			<input type="button" value="Create New CRD"/>			
Create a New Individual																													
SSN:	<input type="text"/>	SSN (again):	<input type="text"/>																										
Last Name:	<input type="text"/>	First Name:	<input type="text"/>																										
Middle Name:	<input type="text"/>	Suffix:	<input type="text"/>																										
Birth Date:	<input type="text"/>																												
	(MM/DD/YYYY)																												
<input type="button" value="Create New CRD"/>																													

### Complete U4 Filing Sections

5. Click each section of **U4 Filing** from the Navigation Bar, enter the appropriate information and click the **Save** button, unless submitting a Concurrence filing. Concurrence filings are read-only, other than the Signatures section, which must be completed.

**Filing Instructions:** The Filing Instructions displays the Form U4 Instructions and Explanation of Terms hyperlink.

**1. General Information:** In this section, the individual's Name, CRD Number, Social Security Number, Firm Name and Firm CRD Number are pre-populated and cannot be changed. The following fields are mandatory and must be completed before the filing is submitted. The Employment date field must be populated, on an Initial U4 filing, with a present or past date (i.e., a future date will not be accepted). Once the Initial filing is submitted, the Employment date is a view-only field. The independent contractor question must be answered Yes or No. The Firm Billing Code is an optional field that firms can use as applicable. Additionally, there are options to add both a Registered Office of Employment Address and a Non-Registered Office of Employment Address; however, the individual must be associated with at least one branch office, or if located at a non-registered office, must provide the registered branch office that supervises the non-registered location. Within the Add Registered Office of Employment Address fields, the filing firm must check either the "Located At" or "Where Individual is Supervised From" radio button for each branch office that is being added. For example, if the agent is being supervised from the same branch where he/she is located the "Located At" option should be selected; however, if the agent is being supervised from another branch office that branch office should be identified and added to the filing by selecting the "Where Individual is Supervised From" option. The Start Date for each branch that is identified must also be provided.

**2. Fingerprint Information: (Not Available on a Concurrence filing)** RA applicants are not required to submit fingerprint cards to FINRA®; therefore, the appropriate jurisdictions with which the RA seeks registration should be contacted for fingerprint requirements. The appropriate radio button in Investment Adviser Representative Only Applicants section should be selected.

**3. Registration with Unaffiliated Firms: (Not Available on a Concurrence filing)** "Dual registration" occurs when an individual chooses to maintain a concurrent registration as a representative with two or more firms (broker-dealer and/or investment adviser firms) that are not affiliated. Consult the applicable rules or statutes of the jurisdictions with which the applicant seeks registration to see whether dual registration is permitted. If an Initial U4 filing type is chosen, the **No** radio buttons will pre-populate. Both 3A and 3B must be answered **Yes** or **No**.

**4. SRO Registrations: (Not Available on a Concurrence filing)** SRO Registrations are not applicable to RAs.

**5. Jurisdiction Registrations: (Not Available on a Concurrence filing)** This section is mandatory for RA applicants; at least one Jurisdiction must be selected. Select the jurisdiction(s) where the applicant seeks to register.

**6. Registration Requests with Affiliated Firms: (Not Available on a Concurrency filing)** Either the Yes or No radio button must be checked. If the applicant seeks registration with firm(s) affiliated with the filing firm, complete the necessary information on the affiliated firm, save the firm information, and use the SRO and Jurisdiction buttons to select the SRO and/or jurisdictions in which the individual will be registered with the affiliated firm. Select the radio button for the applicable fingerprint option based on registration with the affiliated firm. If the affiliated firm registration(s) require the submission of a fingerprint card to FINRA (i.e., the affiliated firm does not qualify for one of the exceptions to the fingerprint requirement and the individual is not applying for investment adviser representative positions only with that affiliated firm), and the filing firm's fingerprint card should be applied to the affiliate registration, choose the third radio button, "I am not required to submit a fingerprint card at this time because the fingerprint card submitted by the filing firm applies."

**NOTE:** If the filing firm does not select option 3 when the initial filing is submitted, the filing firm has 30 days from the filing submission date to amend the fingerprint options. After 30 days, the affiliate firm will need to submit a separate fingerprint card. Also, the Employment Start Date for the affiliate firm must be the same as the Employment Start Date for the filing firm in order for a single fingerprint card to apply to both firms. Additionally, there are options to add both a Registered Office of Employment Address and a Non-Registered Office of Employment Address. For more information, see Section 1, General Information on page 9-6. There is also a check box, within the Registered and Non-Registered Office of Employment Address fields to indicate if the affiliated firm's Office of Employment is a private residence.

**7. Examination Requests: (Not Available on a Concurrency filing)** CRD will pull appropriate exams taken previously from Proctor Data and associate them with the RAs when they transition or submit a U4. If the system deems the applicant required to pass the Series 65 examination, a Series 65 examination will be automatically scheduled upon submission of this Form U4.

**8. Professional Designations: (Not Available on a Concurrency filing)** Select the designation(s) the applicant currently maintains. Applicants who maintain one or more of the designations listed may be eligible for a waiver from examination(s) required to become an RA. 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. If a Professional Designation is selected on the Form U4 and the Designating Authority has not reported to FINRA that the individual holds that designation, the system will return a Completeness Check error. The applicant should contact the appropriate Designating Authority to have the designation reported to FINRA.

**9. Identifying Information/Name Change:** This section will be pre-populated with the identifying information provided in the General Information section. First Name, Last Name, Date of Birth, Gender, Height (ft), Height (in), Weight, Hair Color and Eye Color are mandatory fields.

### Complete U4 Filing Sections

**10. Other Names:** In Other Names, all other names the applicant has been known by since the age of eighteen (18) must be listed.

**11. Residential History:** The current address is mandatory and a minimum of five (5) years of residential history must be provided. From, To, Street Address 1, City, State or Country, and Postal Code are mandatory fields.

**12. Employment History:** In Employment History, a minimum of ten (10) years of employment must be provided. All fields must be completed on each employment record. There may not be gaps of more than three (3) months between employment records.

**13. Other Business:** In Other Business, the radio buttons must be checked Yes or No. If answered Yes, text describing the other business activity is required.

**14. Disclosure Questions:** In Disclosure Questions, all radio buttons must be checked Yes or No. If a disclosure question is answered Yes, then the corresponding Disclosure Reporting Page (DRP) must be completed.

**DRPs:** Disclosure Reporting Pages must be completed to provide information for all Yes answers to disclosure questions. To complete a DRP, see steps 1 through 21 on pages 9-13 through 9-16 of Steps for Completing a Form U4 Disclosure Reporting Page.

**Signatures:** The Signature fields in CRD will appear in accordance with the type of form filing the Web CRD user requests. Below are the various signatory fields that will be required depending upon the specific filing type (e.g. Initial, Amendment, Dual, Relicense, etc.)

**15A. Individual/Applicant's Acknowledgement and Consent** - This Signature field must be completed on Initial and/or Temporary Registration (i.e. Relicense) form filings.

**15B. Firm/Appropriate Signatory Representations** – This Signature field must be completed on all Initial or Temporary Registration form filings.

**15C. Temporary Registration Acknowledgement** – This Signature field must be completed on Temporary registration (i.e. Relicense) form filings.

**15D. Individual/Applicant's Amendment Acknowledgement And Consent** – This Signature field must be completed on Amendment filings that modify information in the Disclosure section of the filing or on any Disclosure Reporting Pages.

**15E. Firm/Appropriate Signatory Amendment Representations** – This Signature field appears on Amendment filings.

**15F. Firm/Appropriate Signatory Concurrence** – This Signature filed appears and must be completed on all concurrence form filings.

**NOTE:** Choose any section of the U4 Filing at any time. There is no requirement to proceed in the order of the Navigation Bar.

**Completeness Check**

6. Click **Completeness Check** from the Submissions Menu.

**NOTE:** You can perform a Completeness Check at any time during the Form Filing process by selecting Completeness Check. In addition, attempting to submit the form filing with incomplete fields will open the Completeness Check error screen. If the filing passes a Completeness Check, go to step 8.

**[Result:]** The following *Error Location* and *Error Description* screen opens.

Error Location	Error Description
<a href="#">Signatures</a>	Signature of Appropriate Signatory is mandatory
<a href="#">Signatures</a>	Signature Date of Appropriate Signatory is mandatory
<a href="#">Signatures</a>	Signature Name is mandatory.
<a href="#">Signatures</a>	Signature Date is mandatory.

7. Click the **Error Location** hyperlink(s) and complete the necessary fields until all errors have been corrected. **NOTE:** The filing cannot be submitted to the CRD system until all Completeness Check errors are cleared.

**Print**

8. Click **Print Preview** from the Submissions Menu, click a section from the Navigation Bar to view and print that section or choose **All Pages** to view or print the form in its entirety.

9. Click the Printer Friendly icon and click **Print** on the system print box.

**Submissions**

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

**U4 Filing**

- Filing Instructions**
- 1. General Information

**FORM U4**  
**UNIFORM APPLICATION FOR SECURITIES INDUSTRY**  
**REGISTRATION OR TRANSFER**

**GENERAL INSTRUCTIONS**

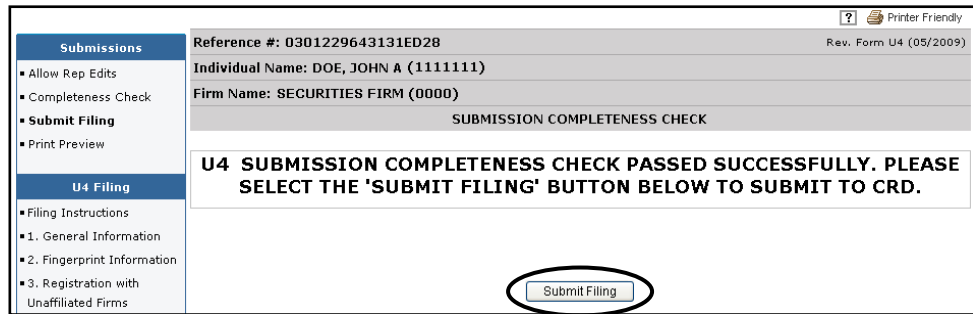
The Form U4 is the Uniform Application for Securities Industry Registration or Transfer. Representatives of broker-dealers, investment advisers, or issuers of securities must use this form to become registered in the appropriate *jurisdictions* and/or *SR0s*. These instructions apply to the filing of Form U4

**Submit Filing**

10. Click **Submit Filing** from the Submissions Menu when ready to submit the filing to CRD.

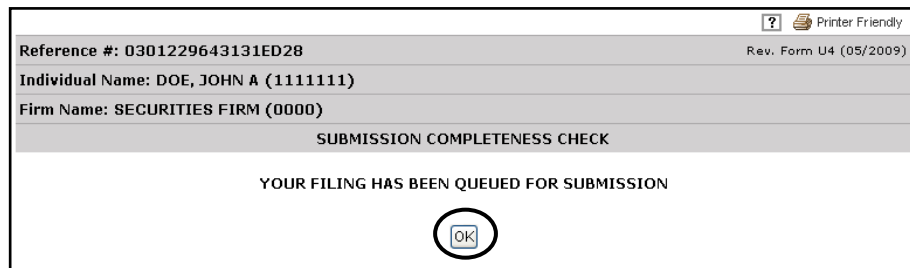
**NOTE:** When Submit Filing is selected prior to running a Completeness Check, CRD will automatically run a Completeness Check to verify that all required information has been provided. If information has not been completed in the required fields, the Completeness Check will display the error screen with links to the required fields to be completed. To correct Completeness Check errors, see Steps for Creating a Form U4 Filing, page 9-9, step 7.

**[Result:]** The *Submit Filing* screen opens.




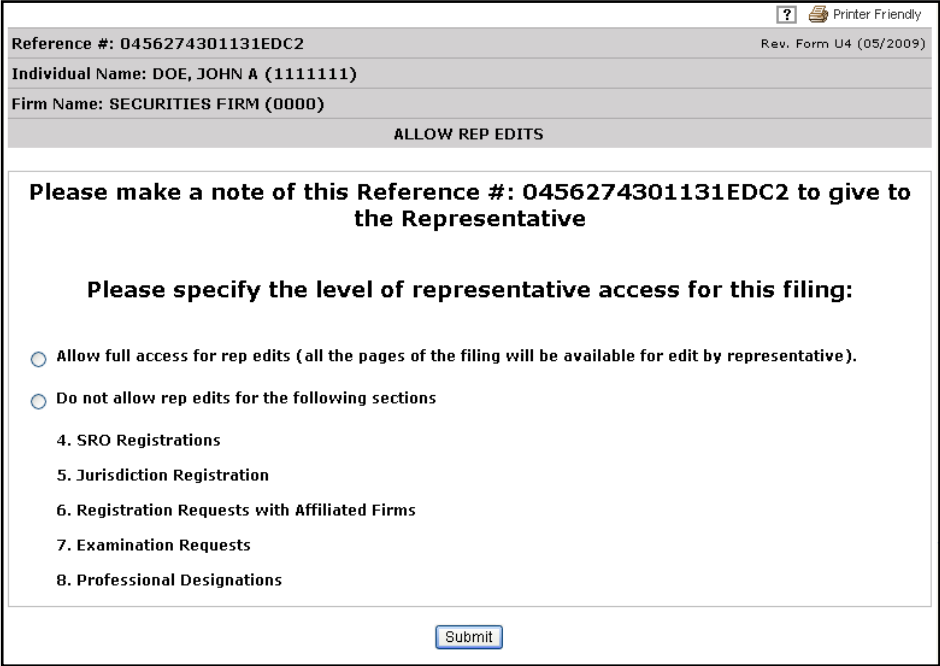
11. Click the **Submit Filing** button.

**[Result:]** The *Submission Completeness Check* screen displays the following text: “Your filing has been queued for submission”.



12. Click the **OK** button.

**Steps for Allowing Rep Edits:**

<p><b>Access Allow Rep Edits</b></p>	<p><b>NOTE:</b> The following procedure for routing a Pending Form U4 electronically to a representative is <u>optional</u>. The filing can be routed to a representative at any point during a U4 Form filing.</p> <p>1. To access an <b>Initial, Amendment, Dual, Relicense All</b> or <b>Relicense IA</b> filing, see steps 1 through 4 on pages 9-4 through 9-5 of Steps for Creating a U4 Filing.</p> <p><b>OR</b></p> <p>1a. To access a <b>Pending</b> U4 filing, see steps 1 through 4 on page 9-26 through 9-27 of Steps for Retrieving Pending U4 and U5 Filings.</p>
<p><b>Allow Rep Edits</b></p>	<p>2. Click <b>Allow Rep Edits</b> from the Submissions Menu.</p>  <p><b>[Result:]</b> The <i>Allow Rep Edits</i> screen opens.</p>  <p>3. Click the radio button next to <b>Allow full access for representative edits</b> to allow the representative to complete all the sections of the electronic U4.</p>

<b>Allow Rep Edits</b> (Continued)	<p><b>OR</b></p> <p>3a. Click the radio button next to <b>Do not allow representative edits for the following sections: 4. SRO Registrations, 5. Jurisdiction Registration, 6. Registration Requests with Affiliated Firms, 7. Examination Requests, 8. Professional Designations.</b></p> <p><b>NOTE:</b> Make note of the 14-digit reference number for the filing (the representative will need this number to access the form filing). SRO Registrations are not applicable to RAs.</p> <p>4. Click the <b>Submit</b> button and provide the representative with the reference number and the URL address: <a href="https://filing.crd.finra.org/crdmain">https://filing.crd.finra.org/crdmain</a>.</p> <p><b>NOTE:</b> If a user wants to retrieve the filing after submitting the filing to a representative, see below steps 1 through 5 of Rep Makes Edits.</p>
<b>Rep Makes Edits</b>	<p>To make edits as a Representative:</p> <ol style="list-style-type: none"><li>1. Enter the <b>URL</b> address from Internet Browser.</li><li>2. Click the <b>Accept</b> button from the <i>Terms and Conditions</i> screen.</li><li>3. Enter the filing <b>Reference Number</b> and click the <b>Submit</b> button.</li><li>4. Enter edits. To complete U4 filing, see Steps for Creating a U4 Filing, pages 9-6 through 9-9, steps 5 through 7.</li><li>5. Click <b>Submit to Firm</b> from the Submissions Menu to return the filing to the firm for submission.</li></ol> <p><b>[Result:]</b> The <i>Filing Sent</i> screen opens.</p> <div data-bbox="550 1260 1333 1491" style="border: 1px solid black; padding: 10px; text-align: center;"><p>The filing has been sent to your firm.</p><p><input type="button" value="OK"/></p></div> <p><b>NOTE:</b> The filing returns to Pending. To retrieve a pending filing, see steps 1 through 4 on pages 9-25 through 9-26 of Steps for Retrieving Pending U4 and U5 Filings.</p>

### Steps for Completing a Form U4 Disclosure Reporting Page:

<p><b>Access DRP</b></p>	<p><b>NOTE:</b> Disclosure Reporting Pages must be completed to provide information on Yes answers to Disclosure Questions.</p> <p>1. To access <b>DRPs</b> during an <b>Initial, Amendment, Concurrence, Dual, Relicense All or Relicense IA</b> U4 filing, see steps 1 through 4 on pages 9-4 through 9-5 of Steps for Creating a Form U4 Filing.</p> <p><b>OR</b></p> <p>1a. To access <b>DRPs</b> for a <b>Pending</b> U4 filing, see s Steps for Retrieving a Pending U4 and U5 Filings on page 9-31.</p>																				
<p><b>View DRP</b></p>	<p>2. Click <b>DRPs</b> from the Navigation Bar.</p> <p><b>[Result:]</b> The <i>Form U4 Disclosure Questions and DRPs</i> screen opens.</p> <div data-bbox="456 737 1414 1087" data-label="Image"> <table border="1"> <thead> <tr> <th>Form U4 Question Number</th> <th>Form U4 Question</th> <th>Corresponding U4 DRPs for the U4 Disclosure Question</th> </tr> </thead> <tbody> <tr> <td>14A(1)(a)</td> <td>Have you ever been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to any <i>felony</i>?</td> <td>Details to question 14A(1)(a) must be reported on the <b>Criminal</b> DRP (U4).</td> </tr> <tr> <td>14A(1)(b)</td> <td>Have you ever been <i>charged</i> with any <i>felony</i>?</td> <td>Details to question 14A(1)(b) must be reported on the <b>Criminal</b> DRP (U4).</td> </tr> <tr> <td></td> <td>Based upon activities that occurred while you exercised <i>control</i> over it, has an organization ever been convicted of</td> <td>Details to question 14A(2)(a) must be reported on the <b>Criminal</b> DRP (U4).</td> </tr> </tbody> </table> </div> <p><b>NOTE:</b> The questions vary based on the corresponding DRPs section (e.g., Civil Judicial, Criminal, Customer Complaint or Investigation); this page serves to assist you in determining which DRP you should complete. The following is an example of how to edit a Regulatory Action DRP:</p> <p>3. Click <b>Regulatory Action</b> from the Navigation Bar.</p> <p><b>[Result:]</b> The <i>Regulatory Action DRP</i> screen opens.</p> <div data-bbox="500 1381 1385 1745" data-label="Image"> <table border="1"> <thead> <tr> <th>Occurrence ID#</th> <th>Date Initiated</th> <th>Initiator Name</th> <th>Docket/Case#</th> </tr> </thead> <tbody> <tr> <td><a href="#">View</a> <a href="#">Edit</a> 1426289</td> <td>03/06/2009</td> <td>SECURITIES AND EXCHANGE COMMISSION</td> <td>03/2009</td> </tr> </tbody> </table> </div> <p>4. Click the <b>Edit</b> hyperlink to update an existing DRP.</p> <p>4a. Click the <b>View</b> hyperlink to open a read-only copy of the latest DRP filed.</p> <p>4b. Click the <b>Create New</b> button to enter a new DRP.</p>	Form U4 Question Number	Form U4 Question	Corresponding U4 DRPs for the U4 Disclosure Question	14A(1)(a)	Have you ever been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to any <i>felony</i> ?	Details to question 14A(1)(a) must be reported on the <b>Criminal</b> DRP (U4).	14A(1)(b)	Have you ever been <i>charged</i> with any <i>felony</i> ?	Details to question 14A(1)(b) must be reported on the <b>Criminal</b> DRP (U4).		Based upon activities that occurred while you exercised <i>control</i> over it, has an organization ever been convicted of	Details to question 14A(2)(a) must be reported on the <b>Criminal</b> DRP (U4).	Occurrence ID#	Date Initiated	Initiator Name	Docket/Case#	<a href="#">View</a> <a href="#">Edit</a> 1426289	03/06/2009	SECURITIES AND EXCHANGE COMMISSION	03/2009
Form U4 Question Number	Form U4 Question	Corresponding U4 DRPs for the U4 Disclosure Question																			
14A(1)(a)	Have you ever been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to any <i>felony</i> ?	Details to question 14A(1)(a) must be reported on the <b>Criminal</b> DRP (U4).																			
14A(1)(b)	Have you ever been <i>charged</i> with any <i>felony</i> ?	Details to question 14A(1)(b) must be reported on the <b>Criminal</b> DRP (U4).																			
	Based upon activities that occurred while you exercised <i>control</i> over it, has an organization ever been convicted of	Details to question 14A(2)(a) must be reported on the <b>Criminal</b> DRP (U4).																			
Occurrence ID#	Date Initiated	Initiator Name	Docket/Case#																		
<a href="#">View</a> <a href="#">Edit</a> 1426289	03/06/2009	SECURITIES AND EXCHANGE COMMISSION	03/2009																		

**Complete DRP**

**[Result:]** The *corresponding DRP* opens.

**NOTE:** The Initial or Amended radio buttons are pre-populated to reflect the DRP filing type and will display once data is saved.

5. Select the box next to the **Disclosure Question** that requires more detailed information. The **Click here to view question text** hyperlink can be used to view the question.

**NOTE:** If the DRP being edited was previously submitted in a pre-2009.2 DRP version, certain fields in the edited version will be populated with data provided in the last filing.

6. Select the appropriate **Regulatory Action initiated by** radio button and enter the full name of the regulatory authority in the text box.
7. Select the appropriate **Sanction(s) Sought** checkbox. If **Other** is selected, enter an explanation in the text box provided.
8. Enter the **Date Initiated** (MM/DD/YYYY format) in the text box or use the calendar control feature to populate the date and select the **Exact** radio button. If unsure of the date, select the **Explanation** radio button, enter an approximate date and provide an explanation in the text box.

**Complete DRP**  
(Continued)

9. Enter the **Docket/Case Number** in the text box.
10. Enter the name of the **Employing Firm when activity occurred which led to the regulatory action** in the text box.
11. Select the appropriate **Product Type(s)** checkbox. If **Other** is selected, enter an explanation in the text box provided.
12. Enter the **Description of the allegations related to this regulatory action** in the text box.
13. Select the **Pending, On Appeal** or **Final** radio button. If the **Pending** radio button is selected, see step 14 below. If **On Appeal** radio button is selected, see step 15 below. If **Final** radio button is selected, see step 16 below.
14. If Pending, select the **Yes** or **No** radio button to denote if **there are any limitations or restrictions currently in effect**. If **Yes**, enter an explanation in the text box provided.

4. Docket/Case#:

5. Employing Firm when activity occurred which led to the regulatory action:

6. Product Type(s) (select all that apply):

<input type="checkbox"/> No Product	<input type="checkbox"/> Derivative	<input type="checkbox"/> Mutual Fund
<input type="checkbox"/> Annuity-Charitable	<input type="checkbox"/> Direct Investment-DPP & LP Interests	<input type="checkbox"/> Oil & Gas
<input type="checkbox"/> Annuity-Fixed	<input type="checkbox"/> Equipment Leasing	<input type="checkbox"/> Options
<input type="checkbox"/> Annuity-Variable	<input type="checkbox"/> Equity Listed (Common & Preferred Stock)	<input type="checkbox"/> Penny Stock
<input type="checkbox"/> Banking Products (other than CDs)	<input type="checkbox"/> Equity-OTC	<input type="checkbox"/> Prime Bank Instrument
<input type="checkbox"/> CD	<input type="checkbox"/> Futures Commodity	<input type="checkbox"/> Promissory Note
<input type="checkbox"/> Commodity Option	<input type="checkbox"/> Futures-Financial	<input type="checkbox"/> Real Estate Security
<input type="checkbox"/> Debt-Asset Backed	<input type="checkbox"/> Index Option	<input type="checkbox"/> Security Futures
<input type="checkbox"/> Debt-Corporate	<input type="checkbox"/> Insurance	<input type="checkbox"/> Unit Investment Trust
<input type="checkbox"/> Debt-Government	<input type="checkbox"/> Investment Contract	<input type="checkbox"/> Viatical Settlement
<input type="checkbox"/> Debt-Municipal	<input type="checkbox"/> Money Market Fund	<input type="checkbox"/> Other: <input style="width: 150px; height: 20px;" type="text"/>

7. Describe the allegations related to this regulatory action. (Your information must fit within the space provided.):

8. Current Status?  
 Pending  On Appeal  Final

9. If pending, are there any limitations or restrictions currently in effect?  
 Yes  No  
 If the answer is 'yes', provide details:

**Complete DRP**  
(Continued)

15. If on Appeal:
- a. Select the appropriate **Action appealed to** radio button and enter the full name of the organization to which the regulatory action was appealed in the text box.
  - b. Enter the **date the appeal was filed** (MM/DD/YYYY format) in the text box and select the **Exact** radio button. If unsure of the date, select the **Explanation** radio button and enter an approximate date with an explanation in the text box.
  - c. Select the **Yes** or **No** radio button to denote if **there are any limitations or restrictions currently in effect while on appeal**. If **Yes** is selected, enter an explanation in the text box provided.
16. Resolution Detail:
- a. Select the appropriate radio button for **how the matter was resolved**. If **Other** is selected, enter an explanation in the text box provided.
  - b. Enter the **resolution date** (MM/DD/YYYY format) in the text box and select the **Exact** radio button. If unsure of the date, select the **Explanation** radio button and enter an approximate date with an explanation in the text box.
17. Select the **Yes** or **No** radio button to denote if **the order constitutes a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct**.

10. If on appeal:

A. Action appealed to:

SEC  SRO  CFTC  Federal Court  State Agency or Commission  State Court  Other:

B. Date appeal filed (MM/DD/YYYY):

Exact  Explanation

If not exact, provide explanation:

C. Are there any limitations or restrictions currently in effect while on appeal?

Yes  No

If the answer is 'yes', provide details:

If Final or On Appeal, complete all items below. For Pending Actions, complete Item 14 only.

11. Resolution Detail:

A. How was the matter resolved (select appropriate item):

<input type="radio"/> Acceptance, Waiver & Consent (AWC)	<input type="radio"/> Consent	<input type="radio"/> Decision
<input type="radio"/> Decision & Order of Offer of Settlement	<input type="radio"/> Dismissed	<input type="radio"/> Order
<input type="radio"/> Settled	<input type="radio"/> Stipulation and Consent	<input type="radio"/> Vacated
<input type="radio"/> Vacated Nunc Pro Tunc/ab initio	<input type="radio"/> Withdrawn	
<input type="radio"/> Other: <input type="text"/>		

B. Resolution Date (MM/DD/YYYY):

Exact  Explanation

If not exact, provide explanation:

12. Does the order constitute a *final order* based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

Yes  No

**Complete DRP  
(Continued)**

**18. Sanction Detail**

- a. Select the appropriate **sanction(s) ordered** checkbox.
- b. Enter an explanation of **other sanctions are ordered** in the text box provided.
- c. Click the **Edit** hyperlink to edit Sanction Details, Requalification Details, or Monetary Sanction Details previously reported.

13. Sanction Detail:

A. Were any of the following sanctions ordered? (Select all appropriate items):

<input type="checkbox"/> Bar (Permanent)	<input type="checkbox"/> Bar (Temporary/Time Limited)	<input type="checkbox"/> Cease and Desist
<input type="checkbox"/> Censure	<input type="checkbox"/> Civil and Administrative Penalty(ies)/Fine(s)	<input type="checkbox"/> Denial
<input type="checkbox"/> Disgorgement	<input type="checkbox"/> Expulsion	<input type="checkbox"/> Letter of Reprimand
<input type="checkbox"/> Monetary Penalty other than Fines	<input type="checkbox"/> Prohibition	<input type="checkbox"/> Requalification
<input type="checkbox"/> Rescission	<input type="checkbox"/> Restitution	<input type="checkbox"/> Revocation
<input type="checkbox"/> Suspension	<input type="checkbox"/> Undertaking	

B. Other sanctions ordered:

C. If suspended or barred, provide:

Sanction Type	Registration Capacities Affected	Start Date (MM/DD/YYYY)
<a href="#">Edit</a> Suspension	GENERAL SECURITIES	05/28/2009

[Create New Sanction](#)

D. If requalification by exam/retraining was a condition of the sanction, provide:

Requalification Type	Has condition been satisfied?
<a href="#">Edit</a> Requalification by Exam	No

[Create New Requalification Type](#)

E. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide:

Monetary Related Sanction Type	Total Amount
<a href="#">Edit</a> Restitution	\$ 30000.00

[Create New Monetary Sanction](#)

- d. If suspended or barred, click the **Create New Sanction** button to provide Sanction Details.

**Sanction Details**

If suspended or barred, provide:

Sanction Type:

Registration Capacities affected (e.g., General Securities Principal, Financial Operations Principal, All Capacities, etc.):

Duration (length of time):   Exact  Explanation

If not exact, provide explanation:

Start Date (MM/DD/YYYY):   Exact  Explanation

If not exact, provide explanation:

End Date (MM/DD/YYYY):   Exact  Explanation

If not exact, provide explanation:

[Create New Sanction](#)
[Save](#)
[Reset](#)
[Back to DRP](#)

**Complete DRP  
(Continued)**

Sanction Detail (Continued):

- e. Click the **Create New Requalification Type** to enter Requalification Details for a new Requalification item.

**Requalification Details**

If requalification by exam/retraining was a condition of the sanction, provide:

Requalification Type:

Length of time given to requalify/retrain:

Type of Exam required:

Has condition been satisfied?  Yes  No

Explanation:

- f. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, click the **Create New Monetary Sanction** button to provide Monetary Sanction Details.

**Monetary Sanction Details**

If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide:

Monetary Related Sanction Type:

Total Amount: \$

Portion Levied against you: \$

Payment Plan:

Is Payment Plan Current?  Yes  No

Date Paid by you (MM/DD/YYYY):   Exact  Explanation

If not exact, provide explanation:

Was any portion of penalty waived?  Yes  No

If yes, amount: \$

19. If desired, enter a brief summary of the details related to the circumstances of the action and its status, disposition and/or finding(s) in the **Comment** text box at the bottom of the DRP.

20. Click the **Save** button on the DRP.

21. Click **Return to Form** from the Navigation Bar to complete the U4 filing.

**OR**

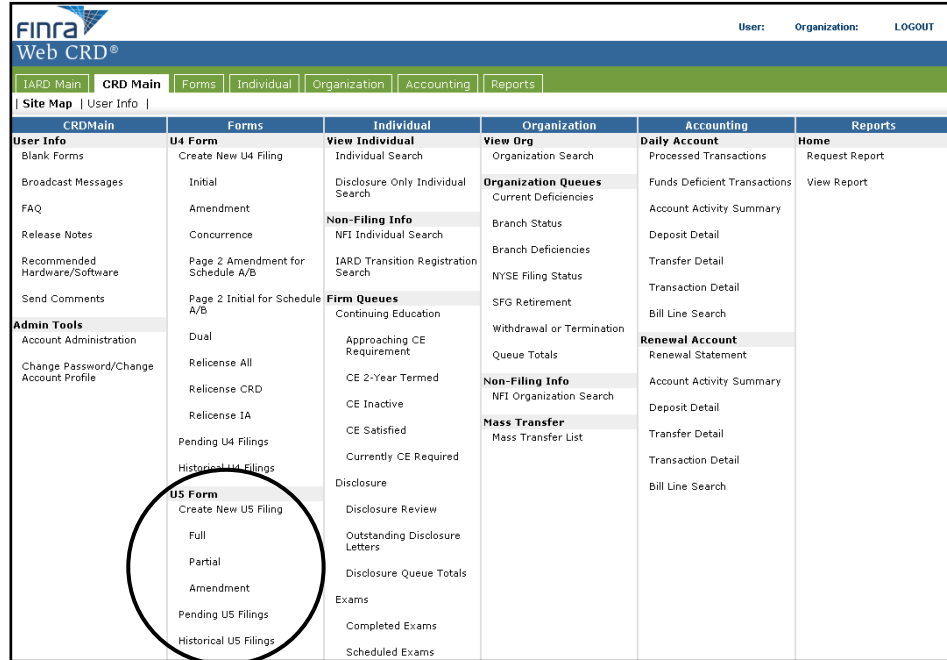
22. Click **Submit Filing** from the Submissions Menu to submit the filing.

### Steps for Creating a Form U5 Filing:

#### Access U5

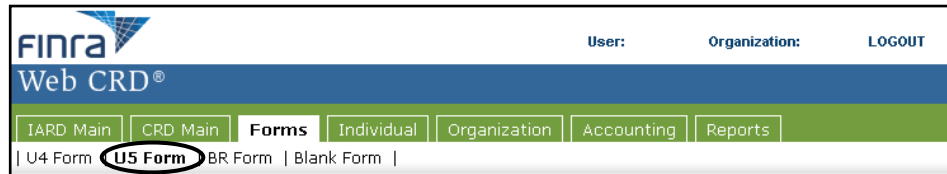
There are two ways to access a Form U5 filing:

1. From the CRD Site Map, click the **Full**, **Partial** or **Amendment** hyperlink.



**OR**

- 1a. Click the **Forms** Tab from the Tool Bar, choose **U5 Form** from the Sub-menu and click the **Full**, **Partial** or **Amendment** hyperlinks.



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

## Individual Search

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

2. Enter at least one of the following: individual's **CRD Number**, **Last Name** and/or **Social Security Number**. For a more specific search, enter a **First Name**, **Middle Name** and/or **Birth Date** to locate the individual.
3. Click the **Search** button.

**[Result:]** The system provides an individual or list of individuals that match the criteria entered.

DOE, JOHN, A</td>
 <td>&a href='\"#\"'>1111111</td>
 <td>05/29/1975</td>
 </tr>
 </tbody>
 </table>"/>

4. Click the **Name** hyperlink.

**[Result:]** The *General Instructions* section opens.

**NOTE:** At this point, the Form U5 filing is saved as Pending and can be modified or deleted for sixty (60) days from the creation date prior to submission.

5. Click each section of **U5 Filing** from the Navigation Bar, enter the appropriate information and click the **Save** button.

## Complete U5 Filing Sections

**Filing Instructions:** The Filing Instructions displays the Form U5 Instructions and Explanation of Terms hyperlink.

**1. General Information:** In General Information, all of the fields are pre-populated and cannot be changed.

**2. Current Residential Address:** Current Residential Address pre-populates with the current residential address entered in the Residential History section of the Form U4 and can be modified. Users can also add an additional address. A current address is mandatory unless the Reason for Termination is Deceased.

**3. Full Termination: (Not Available on a Partial U5 filing)** In Full Termination, the Reason for Termination is a mandatory field. A **Yes** response will terminate all registrations with jurisdictions. If the reason for termination is Permitted to Resign, Discharged or Other, an explanation of the reason for termination is mandatory.

**4. Date Terminated:** Date Terminated is a mandatory field and should be the actual date (i.e. MM/DD/YYYY) on which the termination is effective.

**5a. SRO Partial Termination: (Not Available on a U5 Amendment or Full U5 filing)** SRO Registrations are not applicable to RAs.

**5b. Jurisdiction Partial Termination (Not Available on a U5 Amendment or Full U5 filing)** Jurisdiction Partial Terminations pre-populates with the Jurisdiction registrations entered on the Form U4 filing. Select the jurisdiction(s) with which the applicant wishes to terminate registration.

**6. Affiliated Firm Termination: (Not Available on a U5 Amendment filing)** Affiliated Firm Terminations pre-populates with the Affiliated Firms' data and information from the Form U4 and must be answered **Yes** or **No**. If **Yes** is selected, at least one (1) firm in the affiliated firms section must be selected for a Full U5, and at least one (1) jurisdiction must be selected in at least one (1) Affiliated Firm for a Partial U5.

**7. Disclosure Questions: (Not Available on a Partial U5 filing)** In the Disclosure Questions section, all radio buttons must be checked **Yes** or **No**. If a Disclosure Question is answered **Yes**, then the corresponding Disclosure Reporting Page (DRP) must be completed. Firms may select the Disclosure Certification checkbox to certify that the information provided on the latest Form U4 is current.

**8. Signature:** The Firm Acknowledgement Section (8A) must be completed for all U5 form filings submitted by a firm. The Individual Acknowledgement and Consent Section (8B) must be completed on Amendment U5 form filings where the individual is submitting changes to Part II of the Internal Review DRP or changes to Section 2 (Current Residential Address).

**DRPs: (Not Available on a Partial U5 filing)** A Disclosure Reporting Page must be completed to provide information on a **Yes** answer to a disclosure question. To complete a DRP, see steps 1 through 21 on pages 9-22 through 9-25 of Steps for Completing a Form U5 Disclosure Reporting Page.

**NOTE:** You can choose any section of the U5 Filing at any time. You do not have to go in the order of the Navigation Bar.

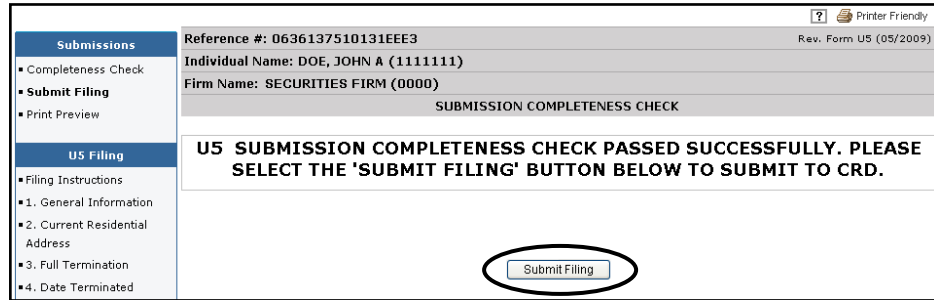
<p><b>Completeness Check</b></p>	<p>6. Click <b>Completeness Check</b> from the Submissions Menu.</p> <p><b>NOTE:</b> You can perform a Completeness Check at any time during the Form Filing process by selecting Completeness Check. In addition, attempting to submit the form filing with incomplete fields will open the Completeness Check error screen. If the filing passes a Completeness Check, go to step 8.</p> <p><b>[Result:]</b> The following <i>Error Location</i> and <i>Error Description</i> screen opens.</p> <div data-bbox="488 499 1398 785" data-label="Table"> <table border="1"> <tr> <td colspan="2" style="text-align: right;">  Printer Friendly                      Rev. Form US (05/2009)                 </td> </tr> <tr> <td colspan="2">Reference #: 0611773962131EE8F</td> </tr> <tr> <td colspan="2">Individual Name: DOE, JOHN A (1111111)</td> </tr> <tr> <td colspan="2">Firm Name: SECURITIES FIRM (0000)</td> </tr> <tr> <th colspan="2" style="text-align: center;">SUBMISSION COMPLETENESS CHECK</th> </tr> <tr> <th style="text-align: center;">Error Location</th> <th style="text-align: center;">Error Description</th> </tr> <tr> <td><a href="#">Signatures</a></td> <td>Person to contact is mandatory.</td> </tr> <tr> <td><a href="#">Signatures</a></td> <td>Telephone number of person to contact is mandatory.</td> </tr> <tr> <td><a href="#">Signatures</a></td> <td>Signature Name is mandatory.</td> </tr> <tr> <td><a href="#">Signatures</a></td> <td>Signature Date is mandatory.</td> </tr> </table> </div> <p>7. Click the <b>Error Location</b> hyperlink(s) and complete the necessary fields until all errors have been corrected.</p>	Printer Friendly Rev. Form US (05/2009)		Reference #: 0611773962131EE8F		Individual Name: DOE, JOHN A (1111111)		Firm Name: SECURITIES FIRM (0000)		SUBMISSION COMPLETENESS CHECK		Error Location	Error Description	<a href="#">Signatures</a>	Person to contact is mandatory.	<a href="#">Signatures</a>	Telephone number of person to contact is mandatory.	<a href="#">Signatures</a>	Signature Name is mandatory.	<a href="#">Signatures</a>	Signature Date is mandatory.
Printer Friendly Rev. Form US (05/2009)																					
Reference #: 0611773962131EE8F																					
Individual Name: DOE, JOHN A (1111111)																					
Firm Name: SECURITIES FIRM (0000)																					
SUBMISSION COMPLETENESS CHECK																					
Error Location	Error Description																				
<a href="#">Signatures</a>	Person to contact is mandatory.																				
<a href="#">Signatures</a>	Telephone number of person to contact is mandatory.																				
<a href="#">Signatures</a>	Signature Name is mandatory.																				
<a href="#">Signatures</a>	Signature Date is mandatory.																				
<p><b>Print</b></p>	<p>8. Click <b>Print Preview</b> from the Submissions Menu, click a section from the Navigation Bar to view and print that section or choose <b>All Pages</b> to view or print the form in its entirety.</p> <p>9. Click the Printer Friendly icon and click <b>Print</b> on the system print box.</p> <div data-bbox="440 1150 1414 1461" data-label="Complex-Block"> <div style="border: 1px solid black; padding: 5px;"> <div style="text-align: right;">  Printer Friendly                      Rev. Form US (05/2009)                 </div> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 25%; background-color: #4F81BD; color: white; text-align: center; font-weight: bold;">Submissions</td> <td style="padding: 5px;"> <ul style="list-style-type: none"> <li>▪ Completeness Check</li> <li>▪ Submit Filing</li> <li>▪ <b>Print Preview</b></li> </ul> </td> </tr> <tr> <td style="background-color: #4F81BD; color: white; text-align: center; font-weight: bold;">US Filing</td> <td style="padding: 5px;"> <ul style="list-style-type: none"> <li>▪ <b>Filing Instructions</b></li> <li>▪ 1. General Information</li> <li>▪ 2. Current Residential Address</li> <li>▪ 3. Full Termination</li> </ul> </td> </tr> </table> <div style="text-align: center; margin-top: 10px;"> <p><b>FORM US</b>  <b>UNIFORM TERMINATION NOTICE FOR SECURITIES INDUSTRY REGISTRATION</b></p> <p><b>GENERAL INSTRUCTIONS</b></p> <p>The Form US is the Uniform Termination Notice for Securities Industry Registration. Broker-dealers, investment advisers, or issuers of securities must use this form to terminate the registration of an individual in the appropriate <i>jurisdictions</i> and/or <i>self-regulatory organizations</i> ("SROs"). These instructions apply to the filing of Form US electronically with the Central Registration Depository ("CRD<sup>®</sup>") or the Investment Adviser Registration Depository ("IARD<sup>SM</sup>"). Filers submitting paper filings should read the Special Instructions for Paper Filers in conjunction with the other instructions to the form. In addition, paper filers should contact the appropriate <i>jurisdiction</i> and/or <i>SRO</i> for specific filing instructions or requirements.</p> </div> </div> </div>	Submissions	<ul style="list-style-type: none"> <li>▪ Completeness Check</li> <li>▪ Submit Filing</li> <li>▪ <b>Print Preview</b></li> </ul>	US Filing	<ul style="list-style-type: none"> <li>▪ <b>Filing Instructions</b></li> <li>▪ 1. General Information</li> <li>▪ 2. Current Residential Address</li> <li>▪ 3. Full Termination</li> </ul>																
Submissions	<ul style="list-style-type: none"> <li>▪ Completeness Check</li> <li>▪ Submit Filing</li> <li>▪ <b>Print Preview</b></li> </ul>																				
US Filing	<ul style="list-style-type: none"> <li>▪ <b>Filing Instructions</b></li> <li>▪ 1. General Information</li> <li>▪ 2. Current Residential Address</li> <li>▪ 3. Full Termination</li> </ul>																				

**Submit Filing**

10. Click **Submit Filing** from the Submissions Menu when ready to submit the filing to CRD.

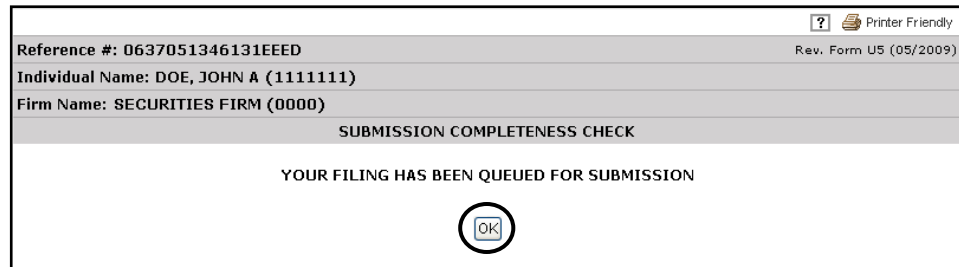
**NOTE:** When Submit Filing is selected prior to running a Completeness Check, CRD will automatically run a Completeness Check to verify that all required information has been provided. If information has not been completed in the required fields, the Completeness Check will display the error screen with links to the required fields to be completed. To correct Completeness Check errors, see step 7 on page 9-20 of Steps for Creating a Form U5 Filing.

**[Result:]** The *Submit Filing* screen opens.



11. Click the **Submit Filing** button.

**[Result:]** The *Submission Completeness Check* screen displays the following text: "Your filing has been queued for submission".



12. Click the **OK** button.

**Steps for Completing a Form U5 Disclosure Reporting Page:**

<p><b>Access DRPs</b></p>	<p><b>NOTE:</b> Disclosure Reporting Pages must be completed to provide information on Yes answers to Disclosure Questions.</p> <p>1. To access <b>DRPs</b> during a <b>Full</b> or <b>Amendment</b> U5 filing, see steps 1 through 4 on pages 9-17 through 9-18 of Steps for Creating a Form U5 Filing.</p> <p><b>OR</b></p> <p>1a. To access <b>DRPs</b> for a <b>Pending</b> U5 filing, see steps 1 through 4 on pages 9-26 through 9-27 of Steps for Retrieving Pending U4 and U5 Filings.</p>														
<p><b>View DRP</b></p>	<p>2. Click <b>DRPs</b> from the Navigation Bar.</p> <p><b>[Result:]</b> The <i>Form U5 Disclosure Questions and DRPs</i> screen opens.</p> <div data-bbox="456 732 1424 1050" data-label="Image"> <table border="1"> <thead> <tr> <th>Form U5 Question Number</th> <th>Form U5 Question</th> <th>Corresponding U5 DRPs for the U5 Disclosure Question</th> </tr> </thead> <tbody> <tr> <td>7(A)</td> <td>Currently is, or at termination was, the individual the subject of an investigation or proceeding by a domestic or foreign governmental body or self-regulatory organization with jurisdiction over investment-related businesses? (Note: Provide details of an investigation on an Investigation</td> <td>Details to question 7(A) must be reported on an <b>Investigation or Regulatory Action</b> (U5).</td> </tr> </tbody> </table> </div> <p><b>NOTE:</b> The questions vary based on the corresponding DRPs section (i.e., Investigation, Internal Review, Criminal, Regulatory Action or Customer Complaint); this page serves to assist you in determining which DRP you should complete. The following is an example of how to edit a Regulatory Action DRP:</p> <p>3. Click <b>Regulatory Action</b> from the Navigation Bar.</p> <p><b>[Result:]</b> The <i>Regulatory Action DRP</i> screen opens.</p> <div data-bbox="505 1358 1398 1724" data-label="Image"> <table border="1"> <thead> <tr> <th>Occurrence ID#</th> <th>Date Initiated</th> <th>Initiator Name</th> <th>Docket/Case#</th> </tr> </thead> <tbody> <tr> <td>1426289</td> <td>03/18/2009</td> <td>SECURITIES AND EXCHANGE COMMISSION</td> <td>03182009</td> </tr> </tbody> </table> </div> <p>4. Click the <b>Edit</b> hyperlink to update an existing DRP.</p> <p>4a. Click the <b>View</b> hyperlink to open a read-only copy of the latest DRP filed.</p> <p>4b. Click the <b>Create New</b> button to enter a new DRP.</p>	Form U5 Question Number	Form U5 Question	Corresponding U5 DRPs for the U5 Disclosure Question	7(A)	Currently is, or at termination was, the individual the subject of an investigation or proceeding by a domestic or foreign governmental body or self-regulatory organization with jurisdiction over investment-related businesses? (Note: Provide details of an investigation on an Investigation	Details to question 7(A) must be reported on an <b>Investigation or Regulatory Action</b> (U5).	Occurrence ID#	Date Initiated	Initiator Name	Docket/Case#	1426289	03/18/2009	SECURITIES AND EXCHANGE COMMISSION	03182009
Form U5 Question Number	Form U5 Question	Corresponding U5 DRPs for the U5 Disclosure Question													
7(A)	Currently is, or at termination was, the individual the subject of an investigation or proceeding by a domestic or foreign governmental body or self-regulatory organization with jurisdiction over investment-related businesses? (Note: Provide details of an investigation on an Investigation	Details to question 7(A) must be reported on an <b>Investigation or Regulatory Action</b> (U5).													
Occurrence ID#	Date Initiated	Initiator Name	Docket/Case#												
1426289	03/18/2009	SECURITIES AND EXCHANGE COMMISSION	03182009												

**Complete DRP**

**[Result:]** The *corresponding DRP* opens.

**NOTE:** The Initial or Amended radio buttons are pre-populated to reflect the DRP filing type and will display once data is saved.

8. Select the box next to the **Disclosure Question** that requires more detailed information. The **Click here to view question text** hyperlink can be used to view the question.

Please enter the necessary data and click the save button below.  
 To delete this entry, click the Delete button below.  
 The Save button has been selected. Continue entering data or select another item from the menu.

**Reference #: 0637051346131EEED** Rev. Form U5 (05/2009)  
**Individual Name: DOE, JOHN A (1111111)**  
**Firm Name: SECURITIES FIRM (0000)**

**U5 - REGULATORY ACTION DRP**

This Disclosure Reporting Page is an  **INITIAL** or  **AMENDED** response to report details for affirmative response(s) to **Question(s) 7A and 7D** on Form U5;

**REGULATORY ACTION** Rev. DRP (05/2009)

**Check the question(s) you are responding to, regardless of whether you are answering the question(s) "yes" or amending the answer(s) to "no":**

**7A** [Click here to view question text](#)  **7D**

6. Select the appropriate **Regulatory Action initiated by** radio button and enter the full name in the text box.
7. Select the appropriate **Sanction(s) Sought** checkbox. If **Other** is selected, enter an explanation in the text box provided.
8. Enter the **Date Initiated** (MM/DD/YYYY format) in the text box and select the **Exact** radio button. If unsure of the date, select the **Explanation** radio button, enter an approximate date and provide an explanation in the text box.

1. Regulatory Action initiated by:  
 A. (Select appropriate item):  
 SEC  Other Federal Agency  Jurisdiction  SRO  CFTC  
 Foreign Financial Regulatory Authority  Federal Banking Agency  National Credit Union Administration  Other

B. Full name of regulator (if other than the SEC) that initiated the action:

2. Sanction(s) Sought (select all that apply):

<input type="checkbox"/> Bar	<input type="checkbox"/> Cease and Desist	<input type="checkbox"/> Censure
<input type="checkbox"/> Civil and Administrative Penalty(ies)/Fine(s)	<input type="checkbox"/> Denial	<input type="checkbox"/> Disgorgement
<input type="checkbox"/> Expulsion	<input type="checkbox"/> Monetary Penalty other than Fines	<input type="checkbox"/> Prohibition
<input type="checkbox"/> Reprimand	<input type="checkbox"/> Requalification	<input type="checkbox"/> Rescission
<input type="checkbox"/> Restitution	<input type="checkbox"/> Revocation	<input type="checkbox"/> Suspension
<input type="checkbox"/> Undertaking		
<input type="checkbox"/> Other: <input type="text"/>		

3. Date Initiated (MM/DD/YYYY):  
   Exact  Explanation  
 If not exact, provide explanation:

**Complete DRP**  
(Continued)

9. Enter the **Docket/Case Number** in the text box.
10. Enter the name of the **Employing Firm when activity occurred which led to the regulatory action** in the text box.
11. Select the appropriate **Product Type(s)** checkbox. If **Other** is selected, enter an explanation in the text box provided.
12. Enter the **Description of the allegations related to this regulatory action** in the text box.
13. Select the **Pending, On Appeal** or **Final** radio button. If the **Pending** radio button was chosen, see step 14 below. If **On Appeal** radio button was chosen, see step 15 below. If **Final** radio button was chosen, see step 16 below.
14. If Pending, select the **Yes** or **No** radio button to denote if **there are any limitations or restrictions currently in effect**. If **Yes**, enter an explanation in the text box provided.

4. Docket/Case#:

5. Employing *Firm* when activity occurred which led to the regulatory action:

6. Product Type(s) (select all that apply):

<input type="checkbox"/> No Product	<input type="checkbox"/> Derivative	<input type="checkbox"/> Mutual Fund
<input type="checkbox"/> Annuity-Charitable	<input type="checkbox"/> Direct Investment-DPP & LP Interests	<input type="checkbox"/> Oil & Gas
<input type="checkbox"/> Annuity-Fixed	<input type="checkbox"/> Equipment Leasing	<input type="checkbox"/> Options
<input type="checkbox"/> Annuity-Variable	<input type="checkbox"/> Equity Listed (Common & Preferred Stock)	<input type="checkbox"/> Penny Stock
<input type="checkbox"/> Banking Products (other than CDs)	<input type="checkbox"/> Equity-OTC	<input type="checkbox"/> Prime Bank Instrument
<input type="checkbox"/> CD	<input type="checkbox"/> Futures Commodity	<input type="checkbox"/> Promissory Note
<input type="checkbox"/> Commodity Option	<input type="checkbox"/> Futures-Financial	<input type="checkbox"/> Real Estate Security
<input type="checkbox"/> Debt-Asset Backed	<input type="checkbox"/> Index Option	<input type="checkbox"/> Security Futures
<input type="checkbox"/> Debt-Corporate	<input type="checkbox"/> Insurance	<input type="checkbox"/> Unit Investment Trust
<input type="checkbox"/> Debt-Government	<input type="checkbox"/> Investment Contract	<input type="checkbox"/> Viatical Settlement
<input type="checkbox"/> Debt-Municipal	<input type="checkbox"/> Money Market Fund	<input type="checkbox"/> Other: <input style="width: 150px; height: 15px;" type="text"/>

7. Describe the allegations related to this regulatory action. (Your information must fit within the space provided.):

8. Current Status?  
 Pending  On Appeal  Final

9. If pending, are there any limitations or restrictions currently in effect?  
 Yes  No  
 If the answer is 'yes', provide details:

**Complete DRP  
(Continued)**

15. If on Appeal:
- a. Select the appropriate **Action appealed to** radio button and enter the full name of the organization to which the regulatory action was appealed in the text box.
  - b. Enter the **date the appeal was filed** (MM/DD/YYYY format) in the text box and select the **Exact** radio button. If unsure of the date, select the **Explanation** radio button and enter an approximate date with an explanation in the text box.
  - c. Select the **Yes** or **No** radio button to denote if **there are any limitations or restrictions currently in effect while on appeal**.
16. Resolution Detail:
- a. Select the appropriate radio button for **how the matter was resolved**. If **Other** is selected, enter an explanation in the text box provided.
  - b. Enter the **resolution date** (MM/DD/YYYY format) in the text box and select the **Exact** radio button. If unsure of the date, select the **Explanation** radio button and enter an approximate date with an explanation in the text box.
17. Select the **Yes** or **No** radio button to denote if **the order constitutes a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct**.

10. If on appeal:

A. Action appealed to:

SEC  SRO  CFTC  Federal Court  State Agency or Commission  State Court  Other:

B. Date appeal filed (MM/DD/YYYY):

Exact  Explanation

If not exact, provide explanation:

C. Are there any limitations or restrictions currently in effect while on appeal?

Yes  No

If the answer is 'yes', provide details:

If Final or On Appeal, complete all items below. For Pending Actions, complete Item 13 only.

11. Resolution Detail:

A. How was the matter resolved (select appropriate item):

Acceptance, Waiver & Consent (AWC)  Consent  Decision

Decision & Order of Offer of Settlement  Dismissed  Order

Settled  Stipulation and Consent  Vacated

Vacated Nunc Pro Tunc/ab initio  Withdrawn

Other:

B. Resolution Date (MM/DD/YYYY):

Exact  Explanation

If not exact, provide explanation:

**Complete the  
DRP  
(Continued)**

18. Sanction Detail

- a. Select the appropriate **sanction(s) ordered** checkbox.
- b. Enter an explanation of **other sanctions are ordered** in the text box provided.
- c. Select the **Yes** or **No** radio button to denote if **the action resulted in a finding of a willful violation or failure to supervise**. This question is only applicable if the regulator provided in Step 6 (Question 1A) is the SEC, CFTC, or an SRO.  
  
If **Yes**, respond to the three willful violation specific questions.
- d. Click the **Edit** hyperlink to edit Sanction Details, Requalification Details, or Monetary Sanction Details previously reported.

13. Sanction Detail:

A. Were any of the following sanctions ordered? (Select all appropriate items):

<input type="checkbox"/> Bar (Permanent)	<input type="checkbox"/> Bar (Temporary/Time Limited)	<input type="checkbox"/> Cease and Desist
<input type="checkbox"/> Censure	<input type="checkbox"/> Civil and Administrative Penalty(ies)/Fine(s)	<input type="checkbox"/> Denial
<input type="checkbox"/> Disgorgement	<input type="checkbox"/> Expulsion	<input type="checkbox"/> Letter of Reprimand
<input type="checkbox"/> Monetary Penalty other than Fines	<input type="checkbox"/> Prohibition	<input type="checkbox"/> Requalification
<input type="checkbox"/> Rescission	<input type="checkbox"/> Restitution	<input type="checkbox"/> Revocation
<input type="checkbox"/> Suspension	<input type="checkbox"/> Undertaking	

B. Other sanctions ordered:

C. If the regulator provided in Question 1A above is the SEC, CFTC, an SRO, did the action result in a finding of a willful violation or failure to supervise?

Yes  No

If yes, was the subject *found* to have:

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

Yes  No

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Yes  No

(3) failed reasonably to supervise another person subject to the subject's supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Yes  No

D. If suspended or barred, provide:

	Sanction Type	Registration Capacities Affected	Start Date (MM/DD/YYYY)
<a href="#">Edit</a>	Suspension	GENERAL SECURITIES PRINCIPAL	04/01/2009

E. If requalification by exam/retraining was a condition of the sanction, provide:

	Requalification Type	Has condition been satisfied?
<a href="#">Edit</a>	Requalification by Exam	No

F. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide:

	Monetary Related Sanction Type	Total Amount
<a href="#">Edit</a>	Restitution	\$25,000.00

**Complete the  
DRP  
(Continued)**

**Sanction Detail (Continued)**

- e. If suspended or barred, click the **Create New Sanction** button to provide Sanction Details. Click the **Edit** hyperlink to edit Sanction Details previously reported.

**Sanction Details**

If suspended or barred, provide:

Sanction Type:

Registration Capacities affected (e.g., General Securities Principal, Financial Operations Principal, All Capacities, etc.):

Duration (length of time):   Exact  Explanation

If not exact, provide explanation:

Start Date (MM/DD/YYYY):   Exact  Explanation

If not exact, provide explanation:

End Date (MM/DD/YYYY):   Exact  Explanation

If not exact, provide explanation:

- f. Click the **Create New Requalification Type** to enter Requalification Details for a new Requalification item. Click the **Edit** hyperlink to edit Requalification Details previously reported.

**Requalification Details**

If requalification by exam/retraining was a condition of the sanction, provide:

Requalification Type:

Length of time given to requalify/retrain:

Type of Exam required:

Has condition been satisfied?  Yes  No

Explanation:

**Complete the  
DRP  
(Continued)**

Sanction Detail (Continued)

- g. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, click the **Create New Monetary Sanction** button to provide Monetary Sanction Details. Click the **Edit** hyperlink to edit Monetary Sanction Details previously reported.

**Monetary Sanction Details**

If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide:

Monetary Related Sanction Type:

Total Amount:  
\$

Portion Levied against you:  
\$

Payment Plan:

Is Payment Plan Current?  Yes  No

Date Paid by you (MM/DD/YYYY):  
  Exact  Explanation

If not exact, provide explanation:

Was any portion of penalty waived?  Yes  No

If yes, amount:  
\$

19. If desired, enter a brief summary of the details related to the circumstances of the action and its status, disposition and/or finding(s) in the **Comment** text box at the bottom of the DRP.
20. Click the **Save** button on the DRP.

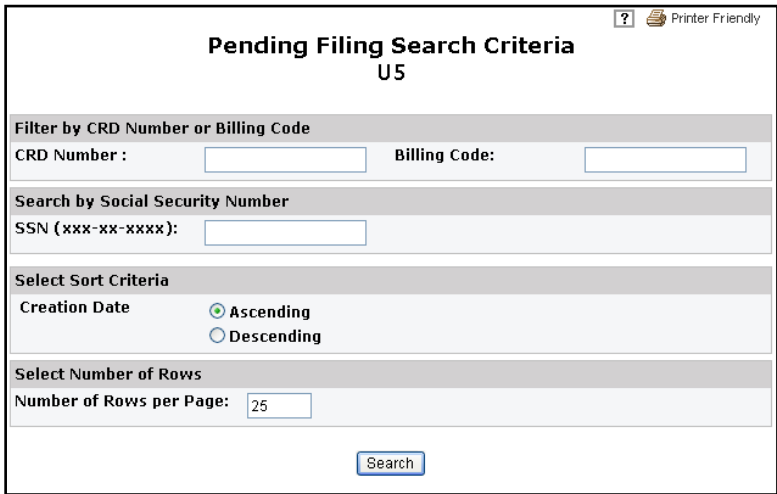
13. Comment (Optional). You may use this field to provide a brief summary of the circumstances leading to the action as well as the current status or disposition and/or finding(s). Your information must fit within the space provided.

21. Click **Return to Form** from the Navigation Bar to complete the U4 filing.

**OR**

22. Click **Submit Filing** from the Submissions Menu to submit the filing.

## Steps for Retrieving Pending U4 and U5 Filings:

<p><b>Access Pending Filings</b></p>	<p>There are two ways to access pending filings:</p> <ol style="list-style-type: none"> <li>From the CRD Site Map, click the <b>Pending U4 Filings</b> or <b>Pending U5 Filings</b> hyperlink.</li> </ol> <p><b>OR</b></p> <ol style="list-style-type: none"> <li>Click the <b>Forms</b> Tab from the Tool Bar, choose <b>U4</b> or <b>U5</b> from the Sub-menu and click <b>Pending Filings</b> from the Navigation Bar.</li> </ol> <p><b>NOTE:</b> To access CRD from IARD, see step 1 on page 3-4 of Steps for Accessing CRD from IARD.</p> <p><b>[Result:]</b> The <i>Pending Filing Search Criteria</i> (U4 or U5) screen opens.</p> 
<p><b>Pending Filing Search</b></p>	<ol style="list-style-type: none"> <li>Enter a <b>CRD Number</b> to search for a specific pending filing.</li> </ol> <p><b>OR</b></p> <ol style="list-style-type: none"> <li>Enter a <b>Billing Code</b> to retrieve pending filings associated with a specific billing code only.</li> </ol> <p><b>OR</b></p> <ol style="list-style-type: none"> <li>Enter a <b>Social Security Number</b> to search for a specific pending filing.</li> </ol> <p><b>OR</b></p> <ol style="list-style-type: none"> <li>Select the <b>All</b> radio button to search for all Pending U4 or U5 filings.</li> </ol> <p><b>OR</b></p> <ol style="list-style-type: none"> <li>Click the <b>Filings currently with Representative</b> button to search for all filings that were routed to agents (only applicable to Form U4 filings).</li> </ol> <p><b>NOTE:</b> If a filing has been routed to a representative, the filing's Reference Number hyperlink is deactivated. The firm cannot view or edit the filing while the filing is with the representative.</p>

<p><b>Pending Filing Search</b> (Continued)</p>	<p>2e. Click the <b>Filings currently with Registration Department</b> to search for all filings with the registration department excluding all filings routed to agents.</p> <p><b>OR</b></p> <p>2f. Click the <b>Descending</b> radio button to view newest filings first.</p> <p><b>NOTE:</b> CRD defaults to the <b>Ascending</b> radio button.</p> <p>3. Click the <b>Search</b> button.</p>																								
<p><b>View Pending Filings</b></p>	<p><b>[Result:]</b> The <i>Pending Filings Search Results</i> Screen opens.</p> <div data-bbox="457 621 1416 852" data-label="Table"> <table border="1"> <thead> <tr> <th>Reference Number</th> <th>Submission Status</th> <th>Filing Type</th> <th>Name</th> <th>CRD</th> <th>SSN</th> <th>Billing Code</th> <th>CC Status</th> <th>Creation Date</th> <th>Created By</th> <th>Expected Purge Date</th> <th>Delete</th> </tr> </thead> <tbody> <tr> <td>45046973751109078</td> <td>ORGANIZATION INPROCESS</td> <td>Partial</td> <td>DOE, JOHN, A</td> <td>1111111</td> <td>xxx-xx-xxxx</td> <td></td> <td>Fail</td> <td>08/18/2008</td> <td>firmuser1</td> <td>10/19/2008</td> <td>Delete</td> </tr> </tbody> </table> </div> <p><b>NOTE:</b> The Submission Status is Organization In Process, indicating that you have not submitted the filing to CRD. If a Submission Status is Pending Submission, the filing has been submitted to CRD for processing and cannot be accessed.</p>	Reference Number	Submission Status	Filing Type	Name	CRD	SSN	Billing Code	CC Status	Creation Date	Created By	Expected Purge Date	Delete	45046973751109078	ORGANIZATION INPROCESS	Partial	DOE, JOHN, A	1111111	xxx-xx-xxxx		Fail	08/18/2008	firmuser1	10/19/2008	Delete
Reference Number	Submission Status	Filing Type	Name	CRD	SSN	Billing Code	CC Status	Creation Date	Created By	Expected Purge Date	Delete														
45046973751109078	ORGANIZATION INPROCESS	Partial	DOE, JOHN, A	1111111	xxx-xx-xxxx		Fail	08/18/2008	firmuser1	10/19/2008	Delete														
<p><b>Complete Pending Filing</b></p>	<p>4. To modify a <b>Pending</b> filing, click the <b>Reference Number</b> hyperlink. See step 5.</p> <p><b>OR</b></p> <p>4a. To delete a <b>Pending</b> filing, click the <b>Delete</b> hyperlink.</p> <p><b>[Result:]</b> The <i>General Instructions</i> screen opens.</p> <div data-bbox="511 1234 1377 1514" data-label="Complex-Block"> <p><b>Submissions</b></p> <ul style="list-style-type: none"> <li>Completeness Check</li> <li>Submit Filing</li> <li>Print Preview</li> </ul> <p><b>U5 Filing</b></p> <ul style="list-style-type: none"> <li><b>Filing Instructions</b> <ul style="list-style-type: none"> <li>1. General Information</li> <li>2. Current Residential Address</li> <li>3. Full Termination</li> </ul> </li> </ul> <p><b>FORM U5 UNIFORM TERMINATION NOTICE FOR SECURITIES INDUSTRY REGISTRATION</b></p> <p><b>GENERAL INSTRUCTIONS</b></p> <p>The Form U5 is the Uniform Termination Notice for Securities Industry Registration. Broker-dealers, investment advisers, or issuers of securities must use this form to terminate the registration of an individual in the appropriate <i>jurisdictions</i> and/or <i>self-regulatory organizations</i> ("SROs"). These instructions apply to the filing of Form U5 electronically with the Central Registration Depository ("CRD®") or the Investment Adviser Registration Depository ("IARD<sup>SM</sup>"). Filers submitting paper filings should read the Special Instructions for Paper Filers in conjunction with the other instructions to the form. In addition, paper filers should contact the appropriate <i>jurisdiction</i> and/or <i>SRO</i> for specific filing instructions or requirements.</p> </div> <p>5. Click each section of the <b>Pending</b> filing from the Navigation Bar, enter the appropriate information and click the <b>Save</b> button. To complete a U4 filing, see Steps for Creating a Form U4 Filing, pages 9-4 through 9-10, steps 5 through 11; to complete a U5 filing, see Steps for Creating a Form U5 Filing, pages 9-17 through 9-21, steps 5 through 11.</p> <p><b>NOTE:</b> Forms U4 and U5 can only remain Pending for two (2) months, at which time CRD automatically deletes the filing. If a subsequent filing has been submitted on the same individual while a file is pending, you will only be able to view or delete the pending filing; it cannot be submitted. If there is a pending U4 filing requesting RA registrations for an individual, and that individual then submits a transition filing and transitions into those states selected on the Form U4, the U4 filing will become read-only and will not be able to be submitted.</p>																								

**Steps for Viewing Historical Form U4 and U5 Filings:**

<p><b>Access Historical Filings</b></p>	<p>There are two ways to access historical filings:</p> <ol style="list-style-type: none"> <li>From the CRD Site Map, click the <b>Historical U4 Filings</b> or <b>Historical U5 Filings</b> hyperlink.</li> </ol> <p><b>OR</b></p> <ol style="list-style-type: none"> <li>Click the <b>Forms</b> Tab from the Tool Bar, choose <b>U4</b> or <b>U5</b> from the Sub-menu and click <b>Historical Filings</b> from the Navigation Bar.</li> </ol> <p><b>NOTE:</b> To access CRD from IARD, see step 1 on page 3-4 of Steps for Accessing CRD from IARD.</p> <p><b>[Result:]</b> The <i>Historical Filing Search Criteria</i> screen opens.</p> <div data-bbox="570 745 1300 1270" data-label="Form"> </div> <ol style="list-style-type: none"> <li>Enter a combination or one of the following: the individual's <b>CRD Number</b>, <b>Last Name</b> and/or <b>Social Security Number</b>. For a more specific search, enter a <b>First Name</b>, <b>Middle Name</b> and/or <b>Birthdate</b> to locate the individual.</li> <li>Click the <b>Search</b> button.</li> </ol>																				
<p><b>View Historical Filings</b></p>	<p><b>[Results:]</b> The <i>Historical Filing Search Results</i> screen opens.</p> <div data-bbox="451 1591 1414 1875" data-label="Table"> <table border="1"> <thead> <tr> <th>Filing Date</th> <th>Filing Type</th> <th>Source</th> <th>Submitted By</th> <th>Correction Filing</th> </tr> </thead> <tbody> <tr> <td><a href="#">05/28/2009</a></td> <td>Amendment</td> <td>SECURITIES FIRM A (0000)</td> <td>FIRMUSERID</td> <td>No</td> </tr> <tr> <td><a href="#">05/21/2009</a></td> <td>Amendment</td> <td>SECURITIES FIRM B (0000)</td> <td>FIRMUSERID</td> <td>No</td> </tr> <tr> <td><a href="#">05/18/2009</a></td> <td>Amendment</td> <td>SECURITIES FIRM A (0000)</td> <td>FIRMUSERID</td> <td>No</td> </tr> </tbody> </table> </div>	Filing Date	Filing Type	Source	Submitted By	Correction Filing	<a href="#">05/28/2009</a>	Amendment	SECURITIES FIRM A (0000)	FIRMUSERID	No	<a href="#">05/21/2009</a>	Amendment	SECURITIES FIRM B (0000)	FIRMUSERID	No	<a href="#">05/18/2009</a>	Amendment	SECURITIES FIRM A (0000)	FIRMUSERID	No
Filing Date	Filing Type	Source	Submitted By	Correction Filing																	
<a href="#">05/28/2009</a>	Amendment	SECURITIES FIRM A (0000)	FIRMUSERID	No																	
<a href="#">05/21/2009</a>	Amendment	SECURITIES FIRM B (0000)	FIRMUSERID	No																	
<a href="#">05/18/2009</a>	Amendment	SECURITIES FIRM A (0000)	FIRMUSERID	No																	

**View Historical Filings**  
(Continued)

4. Click the **Filing Date** hyperlink to display the filing.

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

<b>View Filing Options</b>		U4 - AMENDMENT 05/28/2009		Rev. Form U4 (05/2009)
View Changes From Previous Filing for Same Firm		<b>Individual Name:</b> DOE, JOHN A (1111111)		
View Changes From Previous Filing		<b>Firm Name:</b> SECURITIES FIRM (0000)		
<b>1. GENERAL INFORMATION</b>				
<b>View Form Sections</b>		<b>First Name:</b> JOHN	<b>Middle Name:</b> A	<b>Last Name:</b> DOE
All Sections		<b>Firm CRD #:</b> 0000	<b>Firm Name:</b> SECURITIES FIRM	<b>Employment Date (MM/DD/YYYY):</b> 03/06/2007
<b>1. General Information</b>		<b>Firm Billing Code:</b>	<b>Individual CRD #:</b> 1111111	<b>Individual SSN:</b> XXX-XX-XXXX
2. Fingerprint Information		<b>Do you have an independent contractor relationship with the above named firm?:</b>		
3. Registration with Unaffiliated Firms		<input type="radio"/> Yes <input checked="" type="radio"/> No		

5. 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**

5a. 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. 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.



## Tips for Submitting U4 and U5 Filings:

- Be sure that your Account Administrator has entitled you with the Form Filing privilege. If you do not have this entitlement, the Forms Tab or Forms Section will not appear on your Site Map.
- If a Professional Designation is chosen and the Designating Authority has not reported to FINRA that the individual holds this designation, the system will return a Completeness Check error. Contact the appropriate Designating Authority to have the designation reported to FINRA. To avoid unnecessary exam scheduling and fees, the applicant should keep the U4 filing pending while awaiting action by the Designating Authority and then submit the filing. The applicant will not receive notice from FINRA that the Designation has been reported, so he or she should continue to attempt to submit the filing with the Designation selected until the Completeness Check error no longer appears.
- Speed up the entry of data on a filing by using the Next button at the bottom of each screen to move to the next section of the filing.
- Conduct an individual search by Social Security Number to avoid creating duplicate records.
- You do not have to complete the filing at one time. You can enter data on a filing and return to it at a later time to complete it. Select Pending from the Site Map or Navigation Bar to retrieve the filing.
- For Pending Filings, the “cc” status of Fail refers to the Completeness Check errors.
- Be sure that you click the Edit hyperlink when updating a DRP (do not create a new DRP, as this will create duplicate occurrences).
- When entering information that requires you to create a record (e.g., employment record), you may click on the Create New button instead of the Save button to enter the next record, then click Save when you have completed all the entries.
- Once you create a new individual in CRD, the record remains in the system forever.
- If you entered the wrong social security number or if the individual/applicant does not have a social security number, contact the IARD Hotline at 240-386-4848 for assistance.
- It is imperative that the correct filing type is selected to receive the desired type of registration. Relicense All should only be selected if the previous firm(s) with which the individual was registered intends to submit Full U5 filing(s) and the individual intends to be registered solely with the filing firm.  

For example: John Doe is registered as a broker-dealer agent (AG) with Securities Firm A and also has his own sole proprietorship IA firm, Doe Investment Company. He leaves Firm A to work as an AG for Securities Firm Z. If Firm Z chooses the Relicense All filing type for John Doe, CRD will require Full U5 forms to be submitted by Firm A and Doe Investment Company, terminating his employment with both firms. Instead, Securities Firm Z should choose Relicense CRD, which will require a Form U5 to be submitted by Firm A, terminating his AG position with that firm, but keeping his RA position with Doe Investment Company active.
- The Dual filing type should only be selected if the individual intends to register with a firm while maintaining current registration with other firm(s) not under common ownership with the filing firm. Applicants for dual registration will need to answer Yes to one or both of Sections 3A and 3B.
- Once an individual has transitioned onto the system, typically a Form U4 Amendment should be submitted for that individual within thirty (30) days of the transition filing. Contact the jurisdiction(s) with which the RA transitioned for specific time guidelines.
- When editing a DRP, use the View hyperlink on the edit screen to review and copy text from a previous filing. This will be helpful when editing DRPs in the new version, as only certain data from the last filing will be populated on the new version.
- When editing a DRP, use the Occurrence ID# on the edit screen to ensure you are editing the appropriate DRP.

- Before submitting a Concurrence filing, review the information filed by the other firm the individual is dually registered with to make sure your firm agrees that the information was correctly reported. Also check the individual's Composite screen in View Individual and/or your Outstanding Disclosure Letters queue to see if the individual's record has been flagged for submitting different U4 DRPs to report the same event (i.e., Material Difference in Disclosure flag is set to Yes), since a Concurrence filing will also resolve any outstanding material differences.
- When submitting a U4 DRP for a dually registered individual, remember that changing any of the factual U4 DRP fields (i.e., all DRP fields except for the last field, which is the summary/commentary field) for a previously reported event will cause the Material Difference in Disclosure flag to be set. The only exception is when a U4 DRP filing is submitted to report the final disposition (or updated status) of an event that was previously reported as a pending matter.
- The Disclosure Certification checkbox is a feature that was introduced with Web CRD & IARD Release 2009.2. Users have the ability to either select the Disclosure Certification checkbox or answer each Disclosure Summary Question on Form U5.