

**Individual Form Filing** is the CRD function that provides entitled users at Broker/Dealer and Investment Adviser firms with the capability to electronically file Form U-4, Form U-5, and Form NRF (Non Registered Fingerprint—only for Broker-Dealer firms). Firms can view their record of form filings through the Historical Filings feature, with the latest amendments highlighted in red.

**To Find Individual Form Filing:**

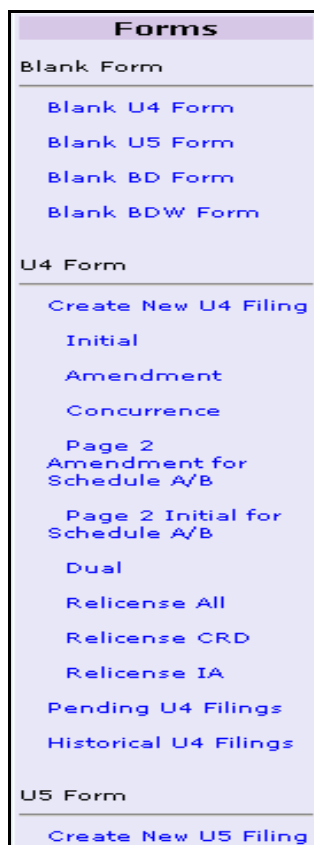
There are two ways to access **Individual Form Filing** functionality in CRD.

- From the **Forms** section of the **Site Map**, click directly on the link for a specific form type (e.g., Initial, Amendment), click **Historical Filings** to view filing history, or click **Pending Filings** to continue working on a filing that was previously started.

OR

- Click the **Forms** tab on the Tool Bar. Click on one of the Sub-Menu options (e.g., U4 Form, U5 Form) to select the form type.

**NOTE:** Blank Forms cannot be submitted electronically and are only for printing purposes.



**URL Address for CRD:**  
<https://crd.nasdr.com/CRDMAIN>

**Questions on CRD?**  
Call the Gateway Call Center at  
(301) 869-6699 between 8 AM and 8 PM, ET,  
Monday through Friday.

## What Activities Can I Perform in Form Filing?

- Electronically file and submit Forms U-4, U-5 and NRF (Non Registered Fingerprint) - Initial and Amendments.
- Check filings for completeness of required fields.
- Print filings.
- View historical filings. With 4.0, "form versioning" will be implemented, meaning that you will see the filing in the form version in which it was submitted.
- Route a Form U-4 filing (full form or form except Sections 4 through 8) to a registered representative for completion. Should the firm choose to route the filing, the firm will provide the representative with a unique, system-generated reference number. The representative can access the filing **only with this reference number**. Once the form is completed by the representative, it must then be sent to the firm for review. The firm then can submit the filing to the CRD system. **Only a firm can submit a Form U-4 filing to the CRD system.**

## Form Filing Features

### TO CREATE A NEW FILING:

- Choose **Create New Filing** for the form type from the Site Map or from the Form Filing Navigation Bar or Footer to begin work on a new filing. Choosing **Create New Filing** provides you with options for choosing a filing type.

### TO VIEW/CONTINUE WORKING ON A PENDING FILING:

- Choose **Pending Filing** to retrieve a filing that you have already started working on and have not yet submitted to CRD. Form U-4 and U-5 filings can remain pending for 2 months. After this period of time the filings will be automatically deleted from the system.

### TO VIEW/PRINT A HISTORICAL FILING:

- Choose **Historical Filing** to view and/or print previously submitted filings (full filings as well as changes in "redline mode".) Note: Firms can view only the filings that they have submitted.

### **Form Filing Tips:**

- Ensure that your Account Administrator has entitled you to the Form Filing entitlement privilege. If you do not have this entitlement, the Forms tab or Forms section on the Site Map will not be available.
- Speed up data entry of the form by using the **Next** button at the bottom of each page to get to the next section of the form.

## Using the Submission Menu

Submission
Completeness Check
Submit Filing
Print Preview

- **Completeness Check:** Select to see if all required fields in the filing are completed. If any required fields are not completed, a screen will be displayed depicting the error location and error description. You can link directly to the screen to correct the error. A completeness check is also automatically performed when the filing is submitted to the CRD.
- **Submit Filing:** Select when you have completed the filing and are ready to submit the filing to CRD.



**Print the filing for signatures and for retention requirements before submitting.**



### Submitting a filing is a two-step process:

1. Select **Submit Filing**.

CRD automatically runs a completeness check. If the filing has passed the completeness check, you can submit the filing to CRD (If the filing has not passed the completeness check, return to the screens where the errors are located, correct all errors, and then select **Submit Filing** again.)

2. Click the **Submit Filing** button.

A screen displaying that the filing has been successfully submitted will appear.

- **Print Preview:** Select to view or to prepare the filing for printing. You can choose to view/print a specific page or view/print the entire filing. To print the entire filing:
  1. Select **Print Preview**.
  2. Choose **All Pages** from the Navigation Bar or Footer.
  3. Click the **Print** icon located on the right side of the screen. This opens up another window with the form ready to be printed.

## Filing Types

### Form U-4

- **Initial or Transfer**— Choose this type if the applicant has never been registered on CRD or was last registered more than 30 days ago with a previous firm.
- **Amendment**—Choose this type to add or make changes to information on an individual already registered with the filing firm.
- **Concurrence**—A Concurrence filing is a new type of filing that allows a firm to concur with information submitted by another firm on an individual also registered with the filing firm. The Concurrence filing is a READ-ONLY filing type, meaning no data can be changed; only the Signature section can be completed. The firm should review the Concurrence filing to determine what information has changed and sign the filing if the firm wishes to concur with the new information. If the firm does not agree with the submitted info, the firm should instead file a U-4 Amendment.
- **Page 2 Initial for BD Schedule A/B**—Choose this type to provide personal, employment and residential information on Direct or Indirect Owners who appear on the BD form but are not otherwise registered.
- **Page 2 Amendment for BD Schedule A/B**—Choose this type to update personal, employment and residential information on Direct or Indirect Owners.
- **Dual Registration**—Choose this type if the applicant intends to maintain registrations with 2 or more unaffiliated broker/dealer and/or investment adviser firms.
- **Relicense All**— Choose this type if the applicant wishes to register with your firm within 30 days from the date of termination with ALL previous firms with which he/she has been working, and intends to be registered SOLELY with your firm. ALL other firms with which the individual has been previously registered must submit Form U-5s to terminate his/her employment.
- **Relicense CRD**—Choose this type if the applicant wishes to register as a Broker/Dealer Agent (AG) with a new firm and wishes to terminate his/her AG positions with any other firms (i.e., the other firms will submit U-5 filings on the applicant), but leave any Investment Adviser associations he or she may have current. Relicense CRD will not affect the applicant's RA status.
- **Relicense IA**—Choose this type if the applicant wishes to register as an Investment Adviser Representative (RA) with a new firm and wishes to terminate his/her RA positions with any other firms (i.e., the other firms will submit U-5 filings on the applicant), but leave any Broker/Dealer associations he/she may have current. Relicense IA will not affect the applicant's AG status.

### Form U-5

- **Full**—Choose this type if the applicant will be fully terminated from the firm. ALL registrations (AG and RA) with SROs and Jurisdictions will be terminated. A Full U-5 must be filed no later than 30 days after the individual has left the firm.
- **Partial**—Choose this type if the applicant will be terminating specific registrations with SROs/Jurisdictions.
- **Amendment**—Choose this type to update or amend disclosure and/or residential information on an individual already terminated from your firm. Firms are required to update any residential address changes for two years following an individual's termination date.

### Form NRF (for BD firms only)

- **Initial**— Choose this type to submit basic information and a fingerprint card on an individual working in the office in an unregistered capacity.
- **Amendment**— Choose this type to add or change information on an individual with an NRF record, or to terminate the NRF individual.

### Basic Steps to Complete a Form Filing

1. From the CRD Site Map, click the appropriate filing type hyperlink.  
**OR**
- 1a. Click the Forms tab from the Tool Bar, choose the desired form type from the Sub-Menu and click the appropriate filing type hyperlink.
2. Search for the individual.
3. If the individual exists in CRD, click the appropriate Name hyperlink.  
**OR**
- 3a. Create a new individual.
4. Click each section of the Navigation Bar or Footer, type the appropriate information and click the Save button.
5. Run a Completeness Check. Complete any necessary fields.
6. Print the filing.
7. Submit the filing.