

**Form U-4**

**Uniform Application  
for  
Securities Industry  
Registration or Transfer**

# FORM U-4 INSTRUCTIONS

## GENERAL INSTRUCTIONS

The Form U-4 is the Uniform Application for Securities Industry Registration or Transfer. Representatives of broker-dealers, investment advisers, or issuers of securities must use this form to become registered in the appropriate *jurisdictions* and/or *SROs*. These instructions apply to filing Form U-4 with the Central Registration Depository ("CRD") electronically. Any other submissions of the form should be made by contacting the appropriate *jurisdiction* and/or *SRO*.

Items 1-25 must be answered and all fields must be completed before the filing is accepted.

A full Form U-4 is required when filing for the first time.

Use the Disclosure Reporting Page(s) (DRPs U-4) to provide details to "Yes" answers to Item 23. Although documents are not generally required to be filed with the Form U-4, it may be necessary to provide them to clarify or support responses to the form.

An applicant is under a continuing obligation to update information required by Form U-4 as changes occur. To amend information, applicant must file electronically by updating the appropriate sections of Form U-4. A paper copy, with original manual signatures, of the initial Form U-4 and amendments to Disclosure Reporting Pages (DRPs U-4) must be retained by the filing firm and must be made available for inspection upon regulatory request.

Agents of issuers must identify the issuer of the securities whom they represent in response to Item 4 of Form U-4.

The CRD mailing address for questions and correspondence is.

NASAA/NASD CENTRAL REGISTRATION DEPOSITORY  
P.O. BOX 9495  
GAITHERSBURG, MD 20898-9495

## EXPLANATION OF TERMS

(The following terms are italicized throughout this form.)

### *For purposes of filing this Form U-4:*

The term **JURISDICTION** means a state, the District of Columbia, the Commonwealth of Puerto Rico, or any subdivision or regulatory body thereof.

The term **SELF-REGULATORY ORGANIZATION ("SRO")** means any national securities and commodities exchange, any national securities association (e.g., the NASD), or any registered clearing agency.

The term **CONTROL** means the power to direct or cause the direction of the management or policies of a company, whether through ownership of securities, by contract, or otherwise. Any individual or firm that is a director, partner, or officer exercising executive responsibility (or having similar status or functions) or that directly or indirectly has the right to vote 25 percent or more of the voting securities or is entitled to 25 percent or more of the profits is presumed to control that company.

The term **APPROPRIATE SIGNATORY** means the individual designated by the broker-dealer, investment adviser or issuer who is authorized to execute Form U-4 on its behalf. Such individual must meet the criteria, if any, for acting as the "appropriate signatory" as established by the *jurisdiction* or *self-regulatory organizations* requiring this form to be filed.

The term **INVESTMENT-RELATED** pertains to securities, commodities, banking, insurance, or real estate (including, but not limited to, acting as or being associated with a broker-dealer, issuer, investment company, investment adviser, futures sponsor, bank, or savings association).

### *For purposes of Item 23:*

The term **CHARGED** means being accused of a crime in a formal complaint, information, or indictment (or equivalent formal charge).

The term **INVOLVED** means doing an act or aiding, abetting, counseling, commanding, inducing, conspiring with or failing reasonably to supervise another in doing an act.

The term **FOREIGN FINANCIAL REGULATORY AUTHORITY** includes a foreign securities authority; other governmental body or foreign equivalent of a *self-regulatory organization* empowered by a foreign government to administer or enforce its laws relating to the regulation of *investment-related* activities; or membership organization, a function of which is to regulate the participation of its members in *investment-related* activities listed above.

The term **ORDER** means a written directive issued pursuant to statutory authority and procedures, including orders of denial, suspension, or revocation; does not include special stipulations, undertakings or agreements relating to payments, limitations on activity or other restrictions unless they are included in an order.

### *For the purposes of Items 23A and 23B and the corresponding DRP (U-4):*

The term **FELONY**, for *jurisdictions* that do not differentiate between a *felony* or *misdemeanor*, is an offense punishable by a sentence of at least one year imprisonment and/or a fine of at least \$1,000. The term also includes a general court martial.

The term **MISDEMEANOR**, for *jurisdictions* that do not differentiate between a *felony* or *misdemeanor*, is an offense punishable by a sentence of less than one year imprisonment and/or a fine of less than \$1,000. The term also includes a special court martial.

### *For the purposes of Item 23 and the corresponding DRPs (U-4):*

The term **FOUND** includes adverse final actions, including consent decrees in which the respondent has neither admitted nor denied the findings, but does not include agreements, deficiency letters, examination reports, memoranda of understanding, letters of caution, admonishments, and similar informal resolutions of matters.

### *For the purposes of Item 23E and the corresponding DRP (U-4):*

A **MINOR RULE VIOLATION** is a violation of a *self-regulatory organization* rule which has been designated as "minor" pursuant to a plan approved by the U.S. Securities and Exchange Commission. A rule violation **may** be designated as "minor" under a plan if the sanction imposed consists of a fine of \$2,500.00 or less, and if the sanctioned person does not contest the fine. Check with the appropriate *self-regulatory organization* to determine if a particular rule violation has been designated as "minor" for these purposes.

### *For the purposes of Item 23G and the corresponding DRP (U-4):*

The term **INVESTIGATION** includes: (a) grand jury investigations, (b) U.S. Securities and Exchange Commission investigations after the "Wells" notice has been given, (c) NASD Regulation, Inc. investigations after the "Wells" notice has been given or after a person associated with a member, as defined in The NASD By-Laws, has been advised by the staff that it intends to recommend formal disciplinary action or, (d) formal investigations by other *SROs* or, (e) actions or procedures designated as investigations by *jurisdictions*. The term *investigation* does not include subpoenas, preliminary or routine regulatory inquiries or requests for information, deficiency letters, "blue sheet" requests or other trading questionnaires, or examinations.

The term **PROCEEDING** includes a formal administrative or civil action initiated by a governmental agency, *self-regulatory organization* or *foreign financial regulatory authority*, a *felony* criminal indictment or information (or equivalent formal charge), or a *misdemeanor* criminal information (or equivalent formal charge), but does not include an arrest or similar charge effected in the absence of a formal criminal indictment or information (or equivalent formal charge). NOTE: *Investment-related* civil litigation, other than that specified above, is reportable under Item 23H on Form U-4. An *investigation* is reportable under Item 23G on Form U-4.

### *For purposes of Item 23I and the corresponding DRP (U-4):*

The term **SALES PRACTICE VIOLATIONS** shall include any conduct directed at or involving a customer which would constitute a violation of any rules for which a person could be disciplined by any *self-regulatory organization*; any provision of the Securities Exchange Act of 1934, or any state statute prohibiting fraudulent conduct in connection with the offer, sale or purchase of a security or in connection with the rendering of investment advice.

### *For the purposes of Item 23H and the corresponding DRP (U-4):*

The term **ENJOINED** includes being subject to a mandatory injunction, prohibitory injunction, preliminary injunction or a temporary restraining order.

### *For the purposes of Item 23J and the corresponding DRP (U-4):*

The terms **RESIGN** or **RESIGNED** relate to separation from employment with any employer and are **not** restricted to *investment-related* employment. Include any termination in which the allegations are a proximate cause of the separation, even if the separation was initiated by you.

# SPECIFIC INSTRUCTIONS Completing the Form U-4

Items 1-13 must be completed by employer.

- 1 **Last Name**  
The applicant's last name will include punctuation(s) when and where appropriate. An entry is required for processing initial and amended Form U-4 filings.
- First Name**  
Do not use nicknames, abbreviations, or modifications to the applicant's first name. An entry is required for processing initial and amended Form U-4 filings.
- Middle Name**  
If the applicant has a middle name, you must specify the full middle name. Do not include nicknames, abbreviations, or modifications to the applicant's middle name. If applicant does not have a middle name, leave this field blank.
- 2 **Applicant's CRD #**  
The Applicant's CRD number is assigned to the applicant by the Central Registration Depository (CRD) system. If the applicant's CRD number is not known, leave this item blank. New applicants will receive a unique CRD number that is permanently assigned and remains with the individual throughout his or her registration history, regardless of employment changes. It is not necessary to include leading zeros. An entry is not required for processing an initial Form U-4 filing but is required for amended U-4 filings.
- Applicant's SS #**  
Enter the applicant's social security number.
- 3 **Firm CRD #**  
Firms are assigned a unique CRD number. This number is system generated and uniquely identifies the organization. An entry is required in this field for processing initial and amended Form U-4 filings.
- 4 **Firm or Issuer Name**  
This is the firm's complete name as listed on Form BD or ADV or the issuer's complete name. Do not abbreviate, shorten, or modify the name. An entry is required in this field for processing initial and amended Form U-4 filings.
- 5 **Employment Date**  
The filing of the U-4 assumes that the individual is employed with your firm; therefore, this item requires the month, day, and year of hire rather than the application for registration date. The format should be numeric (e.g., 01/01/1995 equals January 1, 1995). This is a required field for processing the initial Form U-4 filing.
- 6 **CRD Branch #**  
The CRD Branch # is a unique organization identifier assigned to each branch location associated with a firm. The item is numeric and should not exceed eight characters in length. This is a required field for initial U-4 filings. Report changes as they occur by filing an amended U-4 Page 1.
- 7 **Billing Code**  
The Billing Code is an alpha/numeric value consisting of up to eight characters. It is the responsibility of the firm to establish and maintain its own set of unique billing codes. If your firm does not use CRD billing codes, leave this field blank. This is not a required field.
- 8 **Office of Employment Address**  
This is the address where the applicant is physically located for business purposes. A complete address must be furnished. Post office boxes are not acceptable. This address does not have to be the same as the firm's main address. This is a required field for initial U-4 filings. Report changes as they occur by filing an amended U-4 Page 1.
- 8A **Fingerprint Bar Code**  
Provide bar code as it appears on applicant's fingerprint card. This is not a required field.  
  
If applicant is not required to submit a fingerprint card with his initial Form U-4 due to one of the reasons listed in Item 8A, check the box next to this item. This box must be checked if any of the listed conditions apply.
- 9 **DUAL REGISTRATION**  
Check the appropriate "Yes" or "No" box regarding whether the applicant will maintain dual registration with another broker-dealer or another investment adviser that is not under common ownership or control with the submitting firm. If you choose "Yes", consult the rules and statutes of the appropriate *Self Regulatory Organization(s)* and *jurisdiction(s)* for prohibitions and liability provisions. Employment with other broker-dealers or investment advisers must be listed in the Employment and Personal History (Item 20) on Page 2 of the Form U-4.
- 10A **AFFILIATED FIRMS**  
Indicate "Yes" or "No" as to whether applicant will be registered with any firms under common ownership or control with the filing firm named in Item 4.
- 10B When applicant seeks simultaneous registration with the affiliated firms, the CRD can process as one filing. If the registration requests checked under Items 11 and 12 for the primary firm are identical to the registration requests of all affiliates shown under Item 10B, a single Page 1 should be submitted with the Form U-4 filing. If the registration requests of the affiliate(s) differ from those of the primary firm, an additional Page 1 must be completed for each affiliate, listing the affiliate under Item 4 and checking its unique *SRO* and state registration requests under Items 11 and 12. If you wish to register the applicant with multiple, affiliated broker-dealers or multiple, affiliated investment advisers, complete this item.
- Firm CRD #**  
This is a unique number assigned to each firm listed in the CRD system. The number is system generated and uniquely identifies the firm and affiliates. An entry is required if a "Yes" response was recorded in **Affiliated Firms**.

**Firm or Issuer Name**

This item lists the affiliate firm's complete name as listed on the Form BD or ADV or the affiliate issuer's complete name. Do not abbreviate, shorten, or modify a firm/issuer name.

**BD/IA**

This item signifies if the affiliated firm is a Broker-Dealer or an Investment Adviser.

**Employment Date**

The filing of the U-4 assumes that the individual is employed with your firm; therefore, this item requires the month, day, and year of hire rather than the application for registration date. The format should be numeric (e.g., 01/01/1995 equals January 1, 1995). This is a required field for processing the initial Form U-4 filings.

**Employment Address**

This is the address of the office where the applicant is physically located for business purposes. This address does not have to be the same as the firm's main address. Enter the Street, City, State/Country, and nine digit zip code/postal code.

**CRD Branch #**

The CRD Branch # is a unique organization identifier assigned to each branch location associated with a firm. The item is numeric and should not exceed eight characters in length. This is a required field for initial U-4 filings.

**Billing Code**

The Billing Code is an alpha/numeric value consisting of up to eight characters. It is the responsibility of the firm to establish and maintain its own unique billing codes. If your firm does not use CRD billing codes, leave this field blank. This is not a required field.

**11 To Be Registered With The Following SROs and Related Registration Category(ies)**

Check the appropriate SRO/registration request box(es) with which the applicant wishes to register. Applicable fees should be submitted with the filing unless the firm maintains sufficient funds in its CRD account. For each SRO checked in Item 11, a corresponding category(ies) of registration must be indicated. If an examination is required for registration in a particular SRO, the exam will be automatically scheduled and fee(s) charged appropriately. CRD will not process registrations for any SROs marked under Item 10 with which the firm is not effectively registered or has an application pending. If requesting Agent of the Issuer designation only, skip this item. Use the "Other" box only to request registration category(ies) not listed on the Form U-4.

**12A Mark Registration Category(ies)**

Mark the appropriate *jurisdictions* for AG (Broker Dealer Agent). If the applicant is not qualified for the category of registration requested, the appropriate examination(s) will be scheduled automatically, and the examination fee(s) deducted from the firm's CRD account. **Note: Do not submit registration requests for IAR (Investment Adviser Representative registration) to CRD. Contact the appropriate jurisdiction for instructions regarding IAR registration processing. IAR registration information appears on Form U-4 as the form is used by certain jurisdictions to process such registrations. The IAR boxes are shaded on Form U-4 as they are invalid for purposes of requesting IAR registrations through the CRD.**

**12B Agent of The Issuer**

Agent of the Issuer registration requests are not currently processed through CRD. Therefore, Item 12B on Page 1 of Form U-4 is shaded to denote that it is currently invalid for purposes of requesting Agent of the Issuer registrations through CRD. Contact the appropriate *jurisdiction* for instructions regarding Agent of the Issuer registration processing. Agent of the Issuer registration information appears on Form U-4 as the form may be used by certain *jurisdictions* to process registrations and such requests may be handled through CRD at some future date.

**13 COMPLETE THIS SECTION ONLY IF YOU ARE SCHEDULING OR RESCHEDULING AN EXAM OR CONTINUING EDUCATION SESSION**

The purpose of this item is to schedule or reschedule examinations or Continuing Education sessions. Checking an exam box will not generate a registration request/approval but will schedule the appropriate examination even if the applicant has previously passed the examination. Checking the S101 (Continuing Education session) box will request an unscheduled session even if the applicant has previously satisfied the Continuing Education requirement. An unscheduled session will not fulfill the applicant's Continuing Education requirement. Use the "Other" box **only** to schedule examinations that are not specified under Item 13. Complete the "Optional" box if you are requesting to take an exam(s) at a designated Foreign Exam testing location.

**SIGNATORY AREA****Date**

This date represents the date the form was signed by the *appropriate signatory*. The correct format for the date entry is "MM/DD/YYYY." This is a required field for U-4 Page 1 amended filings.

**Signature of Appropriate Signatory**

U-4 Page 1 need not be signed on initial or transfer filings. A signature is required when filing U-4 Page 1 as an amendment. If a U-4 Page 1 is being filed to schedule or reschedule an examination, complete Items 1, 2, 3, 4, and 13 only. (If any other items are completed, a signature is required.) NOTE: "Signature" includes a manual signature or an electronically transmitted equivalent.

**Type or Print Name**

The signatory's full legal name must be displayed under the signature. The name must be typed or printed as it appears in the signature form.

**CRD USE ONLY**

Do not mark inside this box. This area is used for administrative purposes only.

**Items 14 through 25 must be completed by the applicant.**

- 14 **Firm CRD #**  
Firms are assigned a unique CRD number. This number is system generated and uniquely identifies the organization. An entry is required in this field for processing initial and amended Page 2 Form U-4 filings.

**Applicant's SS #**

Enter the applicant's social security number.

**Applicant's CRD #**

The Applicant's CRD # is assigned to the applicant by the CRD system. If the applicant's CRD number is not known, leave this item blank. New applicants will receive a unique CRD number that is permanently assigned and remains with the individual throughout his or her registration history. It is not necessary to include leading zeros. An entry is required in this field for U-4 Page 2 amended filings.

**PERSONAL DATA**

- 15 The name inserted must be the applicant's full legal name.

**Last Name**

The applicant's last name will include punctuation(s) when and where appropriate. An entry is required for processing initial and Page 2 Form U-4 amended filings.

**First Name**

Do not use nicknames, abbreviations, or modifications to the applicant's first name. An entry is required for processing initial and amended Page 2 Form U-4 filings.

**Middle Name**

If the applicant has a middle name, you must specify the full middle name. Do not include nicknames, abbreviations, or modifications to the applicant's middle name. If applicant does not have a middle name, leave this field blank.

- 16 **Maiden/Other Name(s) Known By**

This item is used to record names used, currently or in the past, by the applicant other than the legal name. The field should include other names (maiden, married, alias, or nickname) used by the applicant since adulthood. This is not a required field.

- 17 **Date of Birth**

The date format should be MM/DD/YYYY. An entry must be in this field to process the initial Form U-4.

**State/Country of Birth**

This field is used to record the applicant's place of birth. This is a required field for initial Form U-4 filings.

- 18 **Sex**

Indicate the appropriate box for gender. This is a required field for initial Form U-4 filings.

**Height**

The applicant's height must be measured in feet (ft) and inches (in). This is a required field for initial Form U-4 filings.

**Weight**

The applicant's weight must be measured in pounds (lbs). This is a required field for initial Form U-4 filings.

**Hair Color**

This is a two character item. This item is required for processing of the initial Form U-4.

**Eye Color**

This is a two character item. This item is required for processing of the initial Form U-4.

- 19 **RESIDENTIAL HISTORY**

Provide residential addresses for the past five years. The dates "From-To" must be such that there are no gaps greater than three months. Begin with your current residential address. Report changes as they occur. Do not use Post Office boxes. Use attachment sheet if additional space is needed.

**From Month/Year**

The month/year format is MM/YYYY. This is a required field for each residence.

**To Month/Year**

The month/year format is MM/YYYY. This is a required field for all residences except the current address.

**Street**

This item is used to capture the mailing description of the applicant's residence. P.O. Box addresses are not acceptable. Include street name, building #, unit #, apartment #, suite #, slip #, etc.

**City**

This item is used to capture the name of the city in which the applicant currently, or previously resided. This is a required field for all address history.

**State/Country**

This item identifies the state code where the applicant resides or resided in the past. Enter the two digit state abbreviation where the applicant resided for each address. If this is a foreign address indicate the country.

**Zip**

Enter the applicant's residence nine digit zip code or postal code if a foreign address.

20 **EMPLOYMENT AND PERSONAL HISTORY**

Provide the applicant's employment and personal history for the past ten years. The dates "From-To" must be such that there are no gaps greater than three months. Include the firm(s) noted in Items 4 and 10. Include all firm(s) in Item 9. Entries must include the start and end dates, the full name of the company, city and state/country. Account for all time including full and part-time employments, self employment, military service, and homemaking. Also include statuses such as unemployment, full-time education, or travel that lasted for at least one month.

**From Month/Year**

The month/year format is MM/YYYY. This is a required field for each employment.

**To Month/Year**

The month/year format is MM/YYYY This is a required field for all employments.

**Name**

Enter employment/personal history. Do not abbreviate, shorten, or modify the name. Ten years of employment history is required. Include the firms noted in Items 4 and 10 on Page 1 of Form U-4. This is a required field for each employment and personal history.

**Investment-Related Business**

Indicate "Yes" or "No" as to whether employer is (was) an *investment-related* business, regardless of the position held by applicant

**City**

This item is used to capture the name of the city in which the applicant was employed. This is a required field for all employment and personal history.

**State/Country**

This item identifies the state or country where the applicant was employed. Enter the two digit state abbreviation where the applicant was employed for each address. If this is a foreign address indicate the country.

**Position Held**

Provide the applicant's last title or position held with each employer. Provide both functional and administrative titles when possible (e.g., vice president and director).

21 **Other Business**

The "Yes" or "No" boxes refer to whether an applicant is currently engaged in any other business either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. Exclude non-*investment-related* activity which is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt. If "Yes", complete the items requested in the instructions contained in the question on the Form U-4.

**SIGNATORY AREA**

**Date**

This date represents the date the U-4 Page 2 was signed by the *appropriate signatory*. The correct format for the date entry is "MM/DD/YYYY". This is a required field for U-4 Page 2 amended filings.

**Signature of Appropriate Signatory**

Enter the applicant's signature. Signatures are required on Page 2 when the Form U-4 is an amended filing. U-4 Page 2 need not be signed for initial filings. NOTE: "Signature" includes a manual signature or an electronically transmitted equivalent.

**Type or Print Name**

The signatory's full legal name must be displayed under the signature. The name must be typed as it appears in signature form.

**CRD USE ONLY**

Do not mark inside this box. This space is used for administrative purposes only.

22 **Firm CRD #**

Firms are assigned a unique CRD number. This number is system generated and uniquely identifies the organization. An entry is required in this field for processing amended Page 3 Form U-4 filings.

**Applicant's SS #**

Enter the applicant's social security number.

**Applicant's CRD #**

The Applicant's CRD number is assigned to the applicant by the CRD system. If the applicant's CRD number is not known, leave this item blank. New applicants will receive a unique CRD number that is permanently assigned and remains with the individual throughout his or her registration history. It is not necessary to include leading zeros. An entry is not required for processing an initial Form U-4 filing but is required for amended U-4 Page 3 filings.

23 **DISCLOSURE INFORMATION**

Check the appropriate "Yes" or "No" response for each question. Complete details explaining any "Yes" answers must be provided on the appropriate Disclosure Reporting Pages (DRPs).

23A-M **DISCLOSURE**

**Criminal Disclosure**

- 23A – *Felony* Criminal Disclosure
- 23B – *Misdemeanor* Criminal Disclosure

**Regulatory Action Disclosure**

- 23C – Regulatory Action by SEC or CFTC
- 23D – Regulatory Action by other federal regulator, state regulator, or foreign financial regulator
- 23E – Regulatory Action by *SRO* or commodities exchange
- 23F – Professional Suspension
- 23G – Formal Pending Action/*Investigation*

**Civil Judicial Actions**

23H – Civil Judicial Actions

**Customer Complaints**

23I – Customer Complaints

**Terminations**

23J – Terminations For Cause

**Financial Page 1**

23K – Bankruptcy and SIPC

**Financial Page 2**

23L – Bonding Payouts or Revocations

23M – Unsatisfied Judgments and Liens

**23N DISCLOSURE CERTIFICATION (OPTIONAL)**

The certification language contained in Item 23N allows applicant to certify that all disclosable information on the individual's record has been previously reported on Form U-4 or Form U-5 DRPs. Certification should be used for full Form U-4 filings only, not amended filings. Applicants who have not been previously registered with the NASD, or who have not submitted DRPs for all disclosable information, may not take advantage of the certification option. Use of the certification is optional, and, if chosen, "Yes" answers to the appropriate questions in Items 23A through M must be provided.

**SIGNATORY AREA**

"Signature" includes a manual signature or an electronically transmitted equivalent.

**Date**

This date represents the date the form was signed by the *appropriate signatory*. The correct format for the date entry is "MM/DD/YYYY". Both the applicant and *appropriate signatory* must date this page only when it is being submitted as an amended filing.

**Signature of Applicant**

Page 3 need not be signed on initial or transfer filings. A signature is required when filing U-4 Page 3 as an amendment. Enter the applicant's full legal signature as it appears in typed or printed form.

**Type or Print Name of Applicant**

The applicant's full legal name must be displayed under the signature. The name must be typed or printed as it appears in signature form.

**Signature of *Appropriate Signatory***

A signatory entry is not required for initial or transfer filings. This is a required field only when submitting as a U-4 Page 3 amendment.

**Type or Print Name of *Appropriate Signatory***

The *appropriate signatory's* full legal name must be displayed under the signature. The name must be typed or printed as it appears in signature form.

**24 Firm CRD #**

Firms are assigned a unique CRD number. This number is system generated and uniquely identifies the organization. An entry is required in this field for processing initial and amended Page 4 Form U-4 filings.

**Applicant's SS #**

Enter the applicant's social security number.

**Applicant's CRD #**

The Applicant's CRD number is assigned to the applicant by the CRD system. If the applicant's CRD number is not known, leave this item blank. New applicants will receive a unique CRD number that is permanently assigned and remains with the individual throughout his or her registration history. It is not necessary to include leading zeros. An entry is required in this field for U-4 Page 4 amended filings.

**25 Firm CRD #**

Firms are assigned a unique CRD number. This number is system generated and uniquely identifies the organization. An entry is required in this field for processing initial and amended Page 5 Form U-4 filings.

**Applicant's SS #**

Enter the applicant's social security number.

**Applicant's CRD #**

The Applicant's CRD number is assigned to the applicant by the CRD system. If the applicant's CRD number is not known, leave this item blank. New applicants will receive a unique CRD number that is permanently assigned and remains with the individual throughout his or her registration history. It is not necessary to include leading zeros. An entry is required in this field for U-4 Page 5 amended filings.

1 LAST NAME, JR, / SR, etc, FIRST NAME, MIDDLE NAME, 2 APPLICANT'S CRD #, APPLICANT'S SS #, 3 FIRM CRD #, 4 FIRM OR ISSUER NAME, 5 EMPLOYMENT DATE, 6 CRD BRANCH #, 7 BILLING CODE, 8 OFFICE OF EMPLOYMENT ADDRESS, STREET, CITY, STATE/COUNTRY, ZIP

8A FINGERPRINT CARD BAR CODE, By checking this box, I affirm that: Applicant has been continuously employed by the firm listed in the General Information section in an unregistered capacity since the last submission of a fingerprint card.

9 DUAL REGISTRATION, A Will applicant maintain registration with a broker dealer not under common ownership or control with the firm in item 4 above? B Will applicant maintain registration with an investment adviser not under common ownership or control with the firm in item 4 above?

10 AFFILIATED FIRMS, A Will applicant maintain registrations with firm(s) under common ownership or control with the firm named in Item 4 above? If yes to Item 10A, complete Item 10B to indicate a request for registration with firm(s) other than the firm named in Item 4 above.

10B Firm CRD #, Firm or Issuer Name, Employment Address, Street, City, State/Country, Zip, Emp Date, CRD Branch #, Billing Code # (optional)

11 To be registered with the following SROs and related registration category(ies), check the appropriate SRO/registration request boxes. Qualifying examinations will be automatically scheduled if needed. If you are only scheduling or re-scheduling an exam, skip this item and complete item 13.

Table with columns for REGISTRATION CATEGORY, NASD, NYSE, AMEX, BSE, CSE, PCX, CBOE, CHX, PHLX. Rows include OP, IR, GS, TR, TS, SU, BM, SM, AR, IE, DR, GP, IP, FA, FN, FI, DP, OR, MR, MP, CS, RG, PG, SA, CD, CN, JP, ET, GO, AM, AP, LE, LS, ME, FE, OF, CO, CF, PM, PC, and Other.

12 JURISDICTION, A. Mark appropriate jurisdiction for AG (Broker Dealer Agent) and/or IAR (Investment Adviser Representative) registration. Complete Item 12B for Agent of the issuer designation. B. AGENT OF THE ISSUER REGISTRATION CATEGORY: AI - Agent of the Issuer. Indicate 2 letter jurisdiction code(s):

13 COMPLETE THIS ITEM ONLY IF YOU ARE SCHEDULING OR RESCHEDULING AN EXAM, OR CONTINUING EDUCATION SESSION. EXAMINATION REQUESTED: S3, S4, S5, S6, S7, S8, S9, S10, S11, S12, S13, S14, S15, S16, S17, S18, S19, S20, S21, S22, S23, S24, S25, S26, S27, S28, S29, S30, S31, S32, S33, S34, S35, S36, S37, S38, S39, S40, S41, S42, S43, S44, S45, S46, S47, S48, S49, S50, S51, S52, S53, S54, S55, S56, S57, S58, S59, S60, S61, S62, S63, S64, S65, S66, S67, S68, S69, S70, S71, S72, S73, S74, S75, S76, S77, S78, S79, S80, S81, S82, S83, S84, S85, S86, S87, S88, S89, S90, S91, S92, S93, S94, S95, S96, S97, S98, S99, S100.

13A If you have taken an exam prior to registering through the CRD system please enter the exam type and date taken. Exam type: Date (MM/DD/YYYY):

The appropriate signatory area DOES NOT have to be completed UNLESS this page is being submitted as an amendment. MONTH (MM) DAY (DD) YEAR (YYYY) SIGNATURE OF APPROPRIATE SIGNATORY TYPE OR PRINT NAME OF APPROPRIATE SIGNATORY CRD USE ONLY



22 FIRM CRD # SOCIAL SECURITY # APPLICANT'S CRD #

IF THE ANSWER TO ANY OF THE FOLLOWING QUESTIONS IS "YES" AND YOU CANNOT UTILIZE THE CERTIFICATION IN ITEM 23N BELOW, ATTACH COMPLETE DETAILS OF ALL EVENTS OR PROCEEDINGS ON APPROPRIATE DRP(S)

23 REFER TO THE EXPLANATION OF TERMS SECTION OF FORM U-4 INSTRUCTIONS FOR EXPLANATIONS OF ITALICIZED TERMS.

Main body of the form with sections: Criminal Disclosure, Regulatory Disciplinary Actions, Civil Judicial Actions, Customer Complaints, Terminations, Financial. Includes questions A through M with YES/NO columns.

DISCLOSURE CERTIFICATION (OPTIONAL)

You may only certify to the accuracy and completeness of the disclosure information in your file if it has been fully provided in DRP format. If DRP(s) are not on file, do not answer these certification boxes. Provide full details of all matters on DRP(s). All appropriate questions in item 23 must be answered, regardless of whether the certification is being utilized. Refer to the Form U-4 instructions for additional information on the utilization of the certification language.

23N I have received a copy of my disclosure file taken from the CRD system. I acknowledge that all information contained therein is fully disclosed, accurate and in DRP format. I further certify the following: 1 I have no new information to add to my disclosure file, 2 I have new information to add to my disclosure file which is reported on the appropriate DRP(s), 3 I have updated information, reported on the appropriate DRP(s), which was previously reported.

Signature area: The applicant and appropriate signatory area DOES NOT have to be completed UNLESS this page is being submitted as an amendment. Includes fields for TYPE OR PRINT NAME OF APPLICANT, SIGNATURE OF APPLICANT, TYPE OR PRINT NAME OF APPROPRIATE SIGNATORY, SIGNATURE OF APPROPRIATE SIGNATORY.

**FORM U-4**  
**UNIFORM APPLICATION FOR SECURITIES INDUSTRY REGISTRATION OR TRANSFER**

(24) FIRM CRD # _____	SOCIAL SECURITY # _____	APPLICANT'S CRD # _____
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1. I swear or affirm that I have read and understand the items and instructions on this form and that my answers (including attachments) are true and complete to the best of my knowledge. I understand that I am subject to administrative, civil or criminal penalties if I give false or misleading answers.
2. I apply for registration with the *jurisdictions* and *SROs* indicated in Item 11 as may be amended from time to time and, in consideration of the *jurisdictions* and *SROs* receiving and considering my application, I submit to the authority of the *jurisdictions* and *SROs* and agree to comply with all provisions, conditions and covenants of the statutes, constitutions, certificates of incorporation, by-laws and rules and regulations of the *jurisdictions* and *SROs* as they are or may be adopted, or amended from time to time. I further agree to be subject to and comply with all requirements, rulings, orders, directives and decisions of, and penalties, prohibitions and limitations imposed by the *jurisdictions* and *SROs*, subject to right of appeal or review as provided by law.
3. I agree that neither the *jurisdictions* or *SROs* nor any person acting on their behalf shall be liable to me for action taken or omitted to be taken in official capacity or in the scope of employment, except as otherwise provided in the statutes, constitutions, certificates of incorporation, by-laws or the rules and regulations of the *jurisdictions* and *SROs*.
4. I authorize the *jurisdictions* and *SROs* to give any information they may have concerning me to any employer or prospective employer, any federal, state or municipal agency, or any other *SRO* and I release the *jurisdictions* and *SROs* and any person acting on their behalf from any and all liability of whatever nature by reason of furnishing such information.
5. I agree to arbitrate any dispute, claim or controversy that may arise between me and my firm, or a customer, or any other person, that is required to be arbitrated under the rules, constitutions, or by-laws of the *SROs* indicated in Item 11 as may be amended from time to time and that any arbitration award rendered against me may be entered as a judgment in any court of competent *jurisdiction*.
6. For the purpose of complying with the laws relating to the offer or sale of securities or commodities, I irrevocably appoint the administrator of each *jurisdiction* indicated in Item 11 as may be amended from time to time, or such other person designated by law, and the successors in such office, my attorney upon whom may be served any notice, process, pleading, subpoena or other document in any action or *proceeding* against me arising out of or in connection with the offer or sale of securities or commodities, or out of the violation or alleged violation of the laws of such *jurisdictions*. I consent that any such action or *proceeding* against me may be commenced in any court of competent *jurisdiction* and proper venue by service of process upon the appointee as if I were a resident of, and had been lawfully served with process in, the *jurisdiction*. I request that a copy of any notice, process, pleading, subpoena or other document served hereunder be mailed to my current residential address as reflected in this form or any amendment thereto.
7. I consent that the service of any process, pleading, subpoena, or other document in any *investigation* or administrative *proceeding* conducted by the SEC, CFTC or a *jurisdiction* or in any civil action in which the SEC, CFTC or a *jurisdiction* are plaintiffs, or the notice of any *investigation* or *proceeding* by any *SRO* against the applicant, may be made by personal service or by regular, registered or certified mail or confirmed telegram to me at my most recent business or home address as reflected in this Form U-4, or any amendment thereto, by leaving such documents or notice at such address, or by any other legally permissible means.  
  
I further stipulate and agree that any civil action or administrative *proceeding* instituted by the SEC, CFTC or a *jurisdiction* may be commenced by the service of process as described herein, and that service of an administrative subpoena shall be effected by such service, and that service as aforesaid shall be taken and held in all courts and administrative tribunals to be valid and binding as if personal service thereof had been made.
8. I authorize all my employers and any other person to furnish to any *jurisdiction*, *SRO*, employer, prospective employer, or any agent acting on its behalf, any information they have, including my creditworthiness, character, ability, business activities, educational background, general reputation, history of my employment and, in the case of former employers, complete reasons for my termination. Moreover, I release each employer, former employer and each other person from any and all liability, of whatever nature, by reason of furnishing any of the above information, including that information reported on the Uniform Termination Notice for Securities Industry Registration (Form U-5). I recognize that I may be the subject of an investigative consumer report and waive any requirement of notification with respect to any investigative consumer report ordered by any *jurisdiction*, *SRO*, employer, or prospective employer. I understand that I have the right to request complete and accurate disclosure by the *jurisdiction*, *SRO*, employer or prospective employer of the nature and scope of the requested investigative consumer report.
9. I understand and certify that the representations in this form apply to all employers with whom I seek registration as indicated in Items 4 and 10 of this form. I agree to update this form by causing an amendment to be filed on a timely basis whenever changes occur to answers previously reported. Further, I represent that, to the extent any information previously submitted is not amended, the information provided in this form is currently accurate and complete.
10. I authorize any employer or prospective employer to file electronically on my behalf any information required in this form or any amendment thereto; I certify that I have reviewed and approved the information to be submitted to any *jurisdiction* or *SRO* on this Form U-4 Application; I agree that I will review and approve all disclosure information that will be filed electronically on my behalf; I further agree to waive any objection to the admissibility of the electronically filed records in any criminal, civil, or administrative *proceeding*.

(All applicants must execute this page.)

MM / DD / YYYY \_\_\_\_\_

\_\_\_\_\_  
SIGNATURE OF APPLICANT

\_\_\_\_\_  
TYPE OR PRINT NAME OF APPLICANT

# FORM U-4

## UNIFORM APPLICATION FOR SECURITIES INDUSTRY REGISTRATION OR TRANSFER

(25) FIRM CRD #	SOCIAL SECURITY # _____ - _____ - _____	APPLICANT'S CRD #
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### TEMPORARY REGISTRATION ACKNOWLEDGEMENT

If an applicant has been registered in a *jurisdiction* or *self-regulatory organization (SRO)* in the 30 days prior to the date an application for registration is filed with the Central Registration Depository, he or she may qualify for a Temporary Registration to conduct securities business in that *jurisdiction* or *SRO* if this acknowledgement is executed and filed with the Form U-4 at the applicant's firm.

This acknowledgement must be signed only if the applicant intends to apply for a Temporary Registration while the application for registration is under review.

I request a Temporary Registration in each *jurisdiction* and/or *SRO* requested on this Form U-4, while my registration with the *jurisdiction(s)* and/or *SRO(s)* requested is under review;

I am requesting a Temporary Registration with the firm filing on my behalf for the *jurisdiction(s)* and/or *SRO(s)* noted in Item 11 of this Form U-4;

I understand that I may request a Temporary Registration only in those *jurisdiction(s)* and/or *SRO(s)* in which I have been registered with my prior firm within the previous 30 days;

I understand that I may not engage in any securities activities requiring registration in a *jurisdiction* and/or *SRO* until I have received notice from the CRD that I have been granted a Temporary Registration in that *jurisdiction* and/or *SRO*;

I agree that until the Temporary Registration has been replaced by a registration, any *jurisdiction* and/or *SRO* in which I have applied for registration may withdraw the Temporary Registration;

If a *jurisdiction* or *SRO* withdraws my Temporary Registration my application will then be held pending in that *jurisdiction* or *SRO* until its review is complete and the registration is granted or denied, or the application is withdrawn;

I understand and agree that, in the event my Temporary Registration is withdrawn by a *jurisdiction* and/or *SRO*, I must immediately cease any securities activities requiring a registration in that *jurisdiction* and/or *SRO* until it grants my registration;

I understand that by executing this Acknowledgement I am agreeing not to challenge the withdrawal of a Temporary Registration, however I do not waive any right I may have in any *jurisdiction* and/or *SRO* with respect to any decision by that *jurisdiction* and/or *SRO* to deny my application for registration

\_\_\_\_\_  
MM / DD / YYYY

\_\_\_\_\_  
SIGNATURE OF APPLICANT

\_\_\_\_\_  
TYPE OR PRINT NAME OF APPLICANT

### THE FIRM MUST COMPLETE THE FOLLOWING:

To the best of my knowledge and belief, the applicant is currently bonded where required, and, at the time of approval, will be familiar with the statutes, constitution(s), rules and by-laws of the agency, *jurisdiction* or *SRO* with which this application is being filed, and the rules governing registered persons, and will be fully qualified for the position for which application is being made herein. I agree that, notwithstanding the approval of such agency, *jurisdiction* or *SRO* which hereby is requested, I will not employ the applicant in the capacity stated herein without first receiving the approval of any authority that may be required by law.

This firm has communicated with all of the applicant's previous employers for the past three years and has documentation on file with the names of the persons contacted and the date of contact. In addition, I have taken appropriate steps to verify the accuracy and completeness of the information contained in and with this application.

I have provided the applicant an opportunity to review the information contained herein and the applicant has approved this information and signed the Form U-4.

*The appropriate signatory area must be completed on all initial, amendment or Temporary Registration filings.*

\_\_\_\_\_  
MM / DD / YYYY

\_\_\_\_\_  
SIGNATURE OF APPROPRIATE SIGNATORY

\_\_\_\_\_  
TYPE OR PRINT NAME OF APPROPRIATE SIGNATORY

**FORM U-4**  
**UNIFORM APPLICATION FOR SECURITIES INDUSTRY REGISTRATION OR TRANSFER**  
**ATTACHMENT SHEET FOR ITEMS 19, 20 AND 21**

LAST NAME	JR/SR, etc	FIRST NAME	MIDDLE NAME
CRD #	SOCIAL SECURITY #		FIRM CRD #

*Use this Attachment Sheet to report continued information from items 19, 20 and 21 of Form U-4.  
(For item 23 use the Disclosure Reporting Page (DRP).)*

ITEM OF FORM (IDENTITY)	ANSWER

MONTH	DAY	YEAR	SIGNATURE OF APPROPRIATE SIGNATORY
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# CRIMINAL DISCLOSURE REPORTING PAGE (U-4)

LAST NAME	JR /SR , etc	FIRST NAME	MIDDLE NAME
CRD #	SOCIAL SECURITY # ____ - ____ - _____		FIRM CRD #

## GENERAL INSTRUCTIONS

This Disclosure Reporting Page (DRP U-4) is an  INITIAL **OR**  AMENDED response to report details for affirmative responses to **Items 23A and 23B** on page 3 of Form U-4;

Check  item(s) you are responding to:

- 23A (1) Have you ever:
- (a) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to any *felony*?
  - (b) been charged with any *felony*?
- (2) Based upon activities that occurred while you exercised control over it, has an organization ever
- (a) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic or foreign court to any *felony*?
  - (b) been charged with any *felony*?
- 23B (1) Have you ever:
- (a) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign or military court to a *misdemeanor involving*: investments or an *investment-related* business, or any fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses?
  - (b) been charged with a *misdemeanor* specified in 23B(1)(a)?
- (2) Based upon activities that occurred while you exercised control over it, has an organization ever
- (a) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic or foreign court to a *misdemeanor* specified in 23B(1)(a)?
  - (b) been charged with a *misdemeanor* specified in 23B(1)(a)?

Use this DRP to report all charges arising out of the same event. One event may result in more than one affirmative answer to the above items. Multiple counts of the same charge arising out of the same event should be reported on the same DRP. Unrelated criminal actions, including separate cases arising out of the same event, must be reported on separate DRPs.

**Applicable court documents (i.e., criminal complaint, information or indictment as well as judgment of conviction or sentencing documents) must be provided to the CRD if not previously submitted.**

1. If charge(s) were brought against an organization over which you exercise(d) control: Enter Organization Name, whether or not the organization was an *investment-related* business, and your position, title or relationship.

2. Formal Charge(s) were brought in: (include name of Federal, Military, State or Foreign Court, Location of Court - City or County and State or Country, Docket/Case number).

3. **Event Disclosure Detail** (Use this for both organizational and individual charges.)

A. Date First Charged (MM/DD/YYYY):   Exact  Explanation

If not exact, provide explanation:

B. Event Disclosure Detail (include Charge(s)/Charge Description(s), and for each charge provide: 1. number of counts, 2. *felony* or *misdemeanor*, 3. plea for each charge, and 4. product type if charge is *investment-related*):

C. Did any of the Charge(s) within the Event involve a *Felony*?  Yes  No

D. Current status of the Event?  Pending  On Appeal  Final

E. Event Status Date (complete unless status is Pending) (MM/DD/YYYY):   Exact  Explanation

If not exact, provide explanation:

4. **Disposition Disclosure Detail:** Include for each charge, A. Disposition Type [e.g., convicted, acquitted, dismissed, pretrial, etc.], B. Date, C. Sentence/Penalty, D. Duration [if sentence-suspension, probation, etc.], E. Start Date of Penalty, F. Penalty/Fine Amount and G. Date Paid.

5. Provide a brief summary of circumstances leading to the charge(s) as well as the disposition. Include the relevant dates when the conduct which was the subject of the charge(s) occurred. (Your information must fit within the space provided.)

# REGULATORY ACTION DISCLOSURE REPORTING PAGE (U-4)

LAST NAME	JR./SR., etc	FIRST NAME	MIDDLE NAME
CRD #	SOCIAL SECURITY # ____ - ____ - ____		FIRM CRD #

## GENERAL INSTRUCTIONS

This Disclosure Reporting Page (DRP U-4) is an  INITIAL **OR**  AMENDED response to report details for affirmative responses to **Items 23C, 23D, 23E, 23F and 23G(1)** on page 3 of Form U-4;

Check  item(s) you are responding to

- 23C** Has the U S Securities and Exchange Commission or the Commodity Futures Trading Commission ever
- (1) found you to have made a false statement or omission?
  - (2) found you to have been involved in a violation of its regulation(s) or statute(s)?
  - (3) found you to have been a cause of an investment-related business having its authorization to do business denied, suspended, revoked, or restricted?
  - (4) entered an order against you in connection with investment-related activity?
  - (5) imposed a civil money penalty on you, or ordered you to cease and desist from any activity?
- 23D** Has any other Federal regulatory agency or any state regulatory agency or foreign financial regulatory authority ever
- (1) found you to have made a false statement or omission or been dishonest, unfair or unethical?
  - (2) found you to have been involved in a violation of investment-related regulation(s) or statute(s)?
  - (3) found you to have been a cause of an investment-related business having its authorization to do business denied, suspended, revoked or restricted?
  - (4) entered an order against you in connection with investment-related activity?
  - (5) denied, suspended or revoked your registration or license or otherwise, by order, prevented you from associating with an investment-related business or restricted your activities?
- 23E** Has any self-regulatory organization or commodities exchange ever
- (1) found you to have made a false statement or omission?
  - (2) found you to have been involved in a violation of its rules (other than a violation designated as a "minor rule violation" under a plan approved by the U S Securities and Exchange Commission)?
  - (3) found you to have been the cause of an investment-related business having its authorization to do business denied, suspended, revoked or restricted?
  - (4) disciplined you by expelling or suspending you from membership, barring or suspending your association with its members, or restricting your activities?
- 23F**  Has your authorization to act as an attorney, accountant or federal contractor ever been revoked or suspended?
- 23G**  (1) Have you been notified, in writing, that you are now the subject of any regulatory complaint or proceeding that could result in a "yes" answer to any part of 23C, D or E? (If this matter has not yet reached a formal pending action, complete the investigation Disclosure Reporting Page.)

One event may result in more than one affirmative answer within each of the above items. Use only one DRP to report details related to the same event. If an event gives rise to actions by more than one regulator, provide details to each action on a separate DRP.

1. Regulatory Action initiated by

- SEC     Other Federal     State     SRO     Foreign

(Full name of regulator, foreign financial regulatory authority, Federal, State or SRO)

2. Principal Sanction:

Other Sanctions:

3. Date Initiated (MM/DD/YYYY):

- Exact     Explanation

If not exact, provide explanation:

4. Docket/Case Number:

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

6. Principal Product Type:

Other Product Types:

**REGULATORY ACTION DISCLOSURE REPORTING PAGE (U-4)**  
**(continuation)**

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 on appeal, regulatory action appealed to: (SEC, SRO, Federal or State Court) and Date Appeal Filed:

--

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

10. How was matter resolved:

--

11. Resolution Date (MM/DD/YYYY):     Exact    Explanation

If not exact, provide explanation: _____
--

12. **Resolution Detail:**

A. Were any of the following Sanctions Ordered? (Check all appropriate items):

- Monetary/Fine                       Revocation/Expulsion/Denial                       Disgorgement/Restitution  
Amount: \$                        Censure                       Cease and Desist/Injunction                       Bar                       Suspension

B. Other Sanctions Ordered:

--

C. Sanction detail: if suspended, enjoined or barred, provide duration including start date and capacities affected (General Securities Principal, Financial Operations Principal, etc.). If requalification by exam/retraining was a condition of the sanction, provide length of time given to requalify/retrain, type of exam required and whether condition has been satisfied. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide total amount, portion levied against you, date paid and if any portion of penalty was waived:

--

13. Provide a brief summary of details related to the action status and (or) disposition and include relevant terms, conditions and dates (Your information must fit within the space provided.)

--

# INVESTIGATION DISCLOSURE REPORTING PAGE (U-4)

LAST NAME  JR /SR , etc	FIRST NAME	MIDDLE NAME
CRD #	SOCIAL SECURITY # ____ - ____ - ____	FIRM CRD #

## GENERAL INSTRUCTIONS

This Disclosure Reporting Page (DRP U-4) is an  INITIAL **OR**  AMENDED response to report details for affirmative response to **Item 23G(2)** on page 3 of Form U-4;

23G(2) Have you been notified, in writing, that you are now the subject of any *investigation* that could result in a "yes" answer to any part of 23A, B, C, D or E?

Complete this DRP only if you are answering "yes" to Item 23G(2). If you answered "yes" to Item 23G(1), complete the Regulatory Action DRP. If you have been notified that the *investigation* has been concluded without formal action, complete items 1, 2, 3 and 4 of this DRP to update. One event may result in more than one *investigation*. If more than one authority is investigating you, use a separate DRP to provide details.

1. Notice Received from: (Name of Regulator, Agency, SRO, etc. initiating the *investigation*):

2. Notice Date (MM/DD/YYYY):   Exact  Explanation

If not exact, provide explanation: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

3. Describe briefly the nature of the *investigation*, if known, or details of the resolution. (Your information must fit within the space provided.):

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

4. Date Resolved (MM/DD/YYYY):   Exact  Explanation

If not exact, provide explanation: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

# CIVIL JUDICIAL ACTION DISCLOSURE REPORTING PAGE (U-4)

LAST NAME	JR./SR , etc	FIRST NAME	MIDDLE NAME
CRD #	SOCIAL SECURITY # _ - _ - _ - _ -		FIRM CRD #

## GENERAL INSTRUCTIONS

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

Check  item(s) you are responding to:

23H(1)  Has any domestic or foreign court ever

(a) *enjoined* you in connection with any *investment-related* activity?

(b) *found* that you were *involved* in a violation of any *investment-related* statute(s) or regulation(s)?

(c) dismissed, pursuant to a settlement agreement, an *investment-related* civil action brought against you by a state or *foreign financial regulatory authority*?

23H(2)  Are you named in any pending *investment-related* civil action that could result in a "yes" answer to any part of 23H(1)?

One event may result in more than one affirmative answer to the above items. Use only one DRP to report details related to the same event. Unrelated civil judicial actions must be reported on separate DRPs.

1. Court Action initiated by: (Name of regulator, *foreign financial regulatory authority*, SRO, commodities exchange, Agency, Firm, Private Plaintiff, etc.)

2. Principal Relief Sought:

Other Relief Sought:

3. Filing Date of Court Action (MM/DD/YYYY):

Exact

Explanation

If not exact, provide explanation:

4. Principal Product Type:

Other Product Types:

5. Formal Action was brought in (include name of Federal, Military, State or Foreign Court, Location of Court - City or County and State or Country, Docket/Case Number):

6. Employing Firm when activity occurred which led to the civil judicial action:

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

8. Current Status?  Pending  On Appeal  Final

9. If on appeal, action appealed to (provide name of court): Date Appeal Filed (MM/DD/YYYY):



# CUSTOMER COMPLAINT DISCLOSURE REPORTING PAGE (U-4)

LAST NAME	JR /SR , etc	FIRST NAME	MIDDLE NAME
CRD #		SOCIAL SECURITY # ____ - ____ - ____	FIRM CRD #

## GENERAL INSTRUCTIONS

This Disclosure Reporting Page (DRP U-4) is an  INITIAL **OR**  AMENDED response to report details for affirmative responses to **Item 231** on page 3 of Form U-4;

Check  item(s) you are responding to

- 231: (1) Have you ever been named as a respondent/defendant in an *investment-related*, consumer-initiated arbitration or civil litigation which alleged that you were *involved* in one or more *sales practice violations* and which
- (a) is still pending, or,
  - (b) resulted in an arbitration award or civil judgment against you, regardless of amount, or,
  - (c) was settled for an amount of \$10,000 or more?
- (2) Have you ever been the subject of an *investment-related*, consumer-initiated complaint, not otherwise reported under question 231(1) above, which alleged that you were *involved* in one or more *sales practice violations*, and which complaint was settled for an amount of \$10,000 or more?
- (3) Within the past twenty four (24) months, have you been the subject of an *investment-related*, consumer-initiated, written complaint, not otherwise reported under question 231(1) or (2) above, which
- (a) alleged that you were *involved* in one or more *sales practice violations* and contained a claim for compensatory damages of \$5,000 or more (if no damage amount is alleged, the complaint must be reported unless the firm has made a good faith determination that the damages from the alleged conduct would be less than \$5,000), or,
  - (b) alleged that you were *involved* in forgery, theft, misappropriation or conversion of funds or securities?

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

1. Customer Name(s):

2. Customer(s) State of Residence:

Other state(s) of residence/detail:

3. Employing Firm when activities occurred which led to the complaint:

4. Date Complaint was received (MM/DD/YYYY):

Exact  Explanation

If not exact, provide explanation:

5. Allegation(s) and a brief summary of events related to the allegation(s) including dates when activities leading to the allegation(s) occurred:

6. Principal Product Type:

Other Product Types:

7. Alleged Compensatory Damage Amount: \$

8. Is complaint pending?  Yes  No

9. If the complaint is not pending, provide status: If status is settlement, complete questions 11 and 12; if status is arbitration/reparation, complete questions 13-19; if status is litigation, complete questions 20-27. Complete question 28 for all statuses.

Closed/No Action  Withdrawn  Denied  Settled  Arbitration/Reparation  Litigation

10. Status Date (MM/DD/YYYY):

Exact  Explanation

If not exact, provide explanation:

**CUSTOMER COMPLAINT DISCLOSURE REPORTING PAGE (U-4)**  
*(continuation)*

11. Settlement Amount (if settled without Arbitration, Litigation or Reparation): \$

12. Individual Contribution Amount: \$

**IF ARBITRATION OR CFTC REPARATION**

13. Arbitration/Reparation claim filed with (NASD, AAA, NYSE, CBOE, CFTC, etc.) and Docket/Case Number:

14. Date notice/process was served (MM/DD/YYYY):   Exact  Explanation  
If not exact, provide explanation:

15. Is arbitration/reparation pending?  Yes  No

16. If the arbitration is not pending, what was the disposition?

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

18. Amount of Monetary Compensation (award, settlement, reparation amount): \$

19. Individual Contribution Amount: \$

**IF CIVIL LITIGATION**

20. Court that case was filed in (include name of Federal, Military, State or Foreign Court, Location of Court - City or County and State or Country, Docket/Case number).

21. Date notice/process was served (MM/DD/YYYY):   Exact  Explanation  
If not exact, provide explanation:

22. Is the civil litigation pending?  Yes  No

23. If the civil litigation is not pending, what was the disposition?

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

25. Amount of Monetary Compensation (judgment, restitution, settlement amount): \$

26. Individual Contribution Amount: \$

27. If the action is currently on appeal enter date appeal filed (MM/DD/YYYY):   Exact  Explanation  
If not exact, provide explanation:

28. Provide details as to dispositions, including any limits or conditions. (Your information must fit within the space provided.)

# TERMINATION DISCLOSURE REPORTING PAGE (U-4)

LAST NAME	JR /SR , etc	FIRST NAME	MIDDLE NAME
CRD #	SOCIAL SECURITY # _ _ - _ - _		FIRM CRD #

## GENERAL INSTRUCTIONS

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

Check  item(s) you are responding to:

23J Have you ever voluntarily *resigned*, been discharged or permitted to *resign* after allegations were made that accused you of

- (1) violating *investment-related* statutes, regulations, rules, or industry standards of conduct?
- (2) fraud or the wrongful taking of property?
- (3) failure to supervise in connection with *investment-related* statutes, regulations, rules or industry standards of conduct?

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

1. Firm Name:

2. Termination Type:     Discharged     Permitted to Resign     Voluntary Resignation

3. Termination Date (MM/DD/YYYY):         Exact     Explanation

If not exact, provide explanation: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

4. Allegation(s):

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

5. Principal Product Type:

Other Product Types:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

6. Describe circumstances relating to termination. Include event dates and facts to sufficiently describe conduct leading to termination. (Your information must fit within the space provided.):

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

# BANKRUPTCY/SIPC/COMPROMISE WITH CREDITORS DISCLOSURE REPORTING PAGE (U-4)

LAST NAME	JR /SR , etc	FIRST NAME	MIDDLE NAME
CRD #	SOCIAL SECURITY #		FIRM CRD #

## GENERAL INSTRUCTIONS

This Disclosure Reporting Page (DRP U-4) is an  INITIAL **OR**  AMENDED response to report details for affirmative responses to **Items 23K(1), 23K(2), and 23K(3)** on page 3 of Form U-4;

Check  item(s) you are responding to:

23K Within the past 10 years:

- (1) have you made a compromise with creditors, filed a bankruptcy petition or been the subject of an involuntary bankruptcy petition?
- (2) based upon events that occurred while you exercised *control* over it, has an organization made a compromise with creditors, filed a bankruptcy petition or been the subject of an involuntary bankruptcy petition?
- (3) based upon events that occurred while you exercised *control* over it, has a broker or dealer been the subject of an involuntary bankruptcy petition, or had a trustee appointed, or had a direct payment procedure initiated under the Securities Investor Protection Act?

If events result in affirmative answers to both 23K(1) and 23K(2), details to each must be provided on separate DRPs.

1. Action Type:

2. Action Date (MM/DD/YYYY):

Exact  Explanation

If not exact, provide explanation: \_\_\_\_\_

3. If the financial action relates to an organization over which you exercise(d) *control*, enter organization name and your position, title or relationship:

Was the Organization *investment-related*?  Yes  No

4. Court action brought in (Name of Federal, State or Foreign Court), Location of Court (City or County and State or Country), Docket/Case Number and Bankruptcy Chapter Number (if Federal Bankruptcy Filing):

5. Is action currently pending?  Yes  No

6. If not pending, provide Disposition Type:

7. Disposition Date (MM/DD/YYYY):

Exact  Explanation

If not exact, provide explanation \_\_\_\_\_

8. Provide a brief summary of events leading to the action and if not discharged, explain. (Your information must fit within the space provided.):

9. If a SIPA trustee was appointed or a direct payment procedure was begun, enter the amount paid or agreed to be paid by you; or the name of the trustee:

Currently Open?  Yes  No

Date Direct Payment Initiated/Filed or Trustee Appointed (MM/DD/YYYY).

Exact  Explanation

If not exact, provide explanation: \_\_\_\_\_

10. Provide details to any status/disposition. Include details as to creditors, terms, conditions, amounts due and settlement schedule (if applicable). (Your information must fit within the space provided.)



# JUDGMENT/LIEN DISCLOSURE REPORTING PAGE (U-4)

LAST NAME	JR /SR , etc	FIRST NAME	MIDDLE NAME
CRD #	SOCIAL SECURITY # _ _ - _ _ - _ _		FIRM CRD #

## GENERAL INSTRUCTIONS

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

23M Do you have any unsatisfied judgments or liens against you?

If multiple, unrelated events result in the same affirmative answer, details must be provided on separate DRPs.

1. Judgment / Lien Amount:

2. Judgment / Lien Holder:

3. Judgment / Lien Type:

4. Date Filed (MM/DD/YYYY):

Exact

Explanation

If not exact, provide explanation: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

5. Is Judgment/Lien outstanding?

Yes

No

If No, provide status date (MM/DD/YYYY):

Exact

Explanation

If not exact, provide explanation: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

If No, how was matter resolved?

6. Court (Name of Federal, State or Foreign Court), Location of Court (City or County and State or Country) and Docket/Case Number:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

7. Provide a brief summary of events leading to the action and any payment schedule details including current status (if applicable) (Your information must fit within the space provided.):

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_