

# 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 SROs. These instructions apply to the filing of Form U4 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 *jurisdiction* and/or SRO for specific filing instructions or requirements.

**Filers must answer all questions and submit all requested information, unless otherwise directed in the Specific Instructions.**

Use the Disclosure Reporting Page(s) (DRPs U4) to provide details to the "Yes" answers on Section 14 (DISCLOSURE QUESTIONS). Upon request, you may be required to provide documents to clarify or support responses to the form.

An individual is under a continuing obligation to amend and update information required by Form U4 as changes occur. Amendments must be filed electronically (unless the filer is an approved paper filer) by updating the appropriate section of Form U4. A copy, with original signatures, of the initial Form U4 and amendments to DRPs U4 must be retained by the *filing firm* and must be made available for inspection upon regulatory request. Social Security Numbers are collected for regulatory purposes and may be publicly disclosed by certain *jurisdictions*.

The Sections of the Form U4 are as follows:

1. GENERAL INFORMATION
2. FINGERPRINT INFORMATION
3. REGISTRATION WITH UNAFFILIATED FIRMS
4. SRO REGISTRATIONS
5. JURISDICTION REGISTRATIONS
6. REGISTRATION REQUESTS WITH AFFILIATED FIRMS
7. EXAMINATION REQUESTS
8. PROFESSIONAL DESIGNATIONS
9. IDENTIFYING INFORMATION/NAME CHANGE
10. OTHER NAMES
11. RESIDENTIAL HISTORY
12. EMPLOYMENT HISTORY
13. OTHER BUSINESS
14. DISCLOSURE QUESTIONS
  - CRIMINAL DISCLOSURE (Questions 14A, 14B)
  - REGULATORY ACTION DISCLOSURE (Questions 14C, 14D, 14E, 14F, 14G)
  - CIVIL JUDICIAL DISCLOSURE (Question 14H)
  - CUSTOMER COMPLAINT/ARBITRATION/CIVIL

- LITIGATION DISCLOSURE (Question 14I)
- TERMINATION DISCLOSURE (Question 14J)
- FINANCIAL DISCLOSURE (Questions 14K, 14L, 14M)
- 15. SIGNATURE
- 15A. INDIVIDUAL/APPLICANT'S ACKNOWLEDGMENT AND CONSENT
- 15B. FIRM/APPROPRIATE SIGNATORY REPRESENTATIONS
- 15C. TEMPORARY REGISTRATION ACKNOWLEDGMENT
- 15D. AMENDMENT INDIVIDUAL/APPLICANT'S ACKNOWLEDGMENT AND CONSENT
- 15E. FIRM/APPROPRIATE SIGNATORY AMENDMENT REPRESENTATIONS
- 15F. FIRM/APPROPRIATE SIGNATORY CONCURRENCE
- DISCLOSURE REPORTING PAGES (DRPs U4)
  - CRIMINAL DRP
  - REGULATORY ACTION DRP
  - INVESTIGATION DRP
  - CIVIL JUDICIAL DRP
  - CUSTOMER COMPLAINT/ARBITRATION/CIVIL LITIGATION DRP
  - TERMINATION DRP
  - BANKRUPTCY/SIPC/COMPROMISE WITH CREDITORS DRP
  - BOND DRP
  - JUDGMENT/LIEN DRP

Contact the appropriate SRO or *jurisdiction*, if you have questions about the Form U4.

### EXPLANATION OF TERMS

**The following definitions apply to terms that are italicized in Form U4.**

***AFFILIATED*** means under common ownership or control.

***AFFILIATED FIRM*** means a broker-dealer under common ownership or control with the *filing firm*.

***APPLICANT*** means the individual for whom the Form U4 is being filed. The term *applicant* may be used interchangeably with the term "individual." The instructions also refer to the individual *applicant* as "you" in various places because individuals independently may complete all or portions of the Form U4 before it is filed by a *firm* on the individual's behalf. For purposes of Form U4, an *applicant* is not a *firm*.

***APPROPRIATE SIGNATORY*** means the individual the *firm* authorizes to execute the *applicant's* Form U4 on the *filing firm's* behalf. The *appropriate signatory* must meet the criteria established, if any, by the appropriate SRO or *jurisdiction*.

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

***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.

**DESIGNATED ENTITY** means the entity designated as the filing depository by the U.S. Securities and Exchange Commission pursuant to the Investment Advisers Act of 1940.

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

**FEDERAL BANKING AGENCY** shall include any Federal banking agency as defined in Section 3 of the Federal Deposit Insurance Act (12 U.S.C. 1813(q)).

**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.

**FILING FIRM** means the *firm* named in Section 1 (GENERAL INFORMATION) on the Form U4.

**FINAL ORDER**, for purposes of Question 14D(2), means a written directive or declaratory statement issued by an appropriate federal or state agency (as identified in Question 14D(2)) pursuant to applicable statutory authority and procedures, that constitutes a final disposition or action by that federal or state agency.

**FIRM** means a broker-dealer, investment adviser, or issuer, as appropriate.

**FIRM CRD NUMBER** is a unique number assigned to each *firm* listed in the CRD or IARD systems.

**FOREIGN FINANCIAL REGULATORY AUTHORITY** includes a foreign securities authority; any 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 a membership organization, a function of which is to regulate the participation of its members in *investment-related* activities listed above.

**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.

**INDIVIDUAL CRD NUMBER** is a unique number assigned to each individual listed in the CRD or IARD system.

**INVESTIGATION** includes: (a) grand jury investigations; (b) U.S. Securities and Exchange Commission investigations after the "Wells" notice has been given; (c) NASD 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; (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.

**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).

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

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

**MINOR RULE VIOLATION** is a violation of a *self-regulatory organization* rule that 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.

**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.

**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.

**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 Question 14H on Form U4. An *investigation* is reportable under Question 14G on Form U4.

**RESIGN or RESIGNED** relates to separation from employment with any employer, is **not** restricted to *investment-related* employment, and includes any termination in which the allegations are a proximate cause of the separation, even if the individual initiated the separation.

**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.

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

## SPECIFIC INSTRUCTIONS

### Completing the Form U4

#### 1. GENERAL INFORMATION

**First Name.** Enter the individual's first name. Do not use nicknames or abbreviations or make modifications to the individual's first name.

**Middle Name.** If the individual has a middle name, specify the full middle name. Do not use nicknames or abbreviations or make modifications to the individual's middle name. If the individual does not have a middle name, leave this field blank.

**Last Name.** Enter the individual's last name. Do not use nicknames or abbreviations or make modifications to the individual's last name. Include punctuation when and where appropriate.

**Suffix.** Enter any suffix that follows the individual's last name, such as Jr., Sr., etc. Include punctuation when and where appropriate.

**Firm CRD Number.** Enter the *Firm CRD Number*.

**Firm Name.** Enter the *firm's* complete name as listed on the Form BD or the Form ADV. Do not abbreviate, shorten, or modify the *firm* name in any way.

**Employment Date.** Enter the month, day, and year of hire. Do not enter the date of application for registration. Your entry must be numeric (MM/DD/YYYY).

**Firm Billing Code.** Enter your *firm's* billing code. A billing code is an alpha/numeric value consisting of up to eight characters that your *firm* has established. If your *firm* does not use billing codes, leave this field blank.

**Individual CRD Number.** Enter the assigned *individual CRD number*.

**Individual SSN.** Enter the individual's Social Security Number. If the individual does not have a CRD number or a Social Security number, please contact NASD's Gateway Call Center.

**Independent Contractor.** Indicate whether the individual will maintain an independent contractor relationship with the firm entered in the "*Firm Name*" field.

**Office of Employment Address Street 1/Street 2 and Supervising Address, if different.** If the individual is applying for registration (or is already registered) with a broker-dealer, search and select all branch offices with which the individual will be physically located for business purposes. The NYSE Branch Code Number (if applicable), Firm Billing Code, branch

office address, and start/end dates will prepopulate based on information provided by the branch office on its Form BR.

If the individual is applying for registration (or is already registered) with a broker-dealer and will be physically located for business purposes at a location that is **not** required to be registered/notice filed on Form BR, enter the business location's Street 1, Street 2, City, State, Country and Postal Code and search and select the branch office from which this individual is supervised.

If the individual is applying for registration (or is already registered) with only an investment-adviser enter the business location's Street 1, Street 2, City, State, Country and Postal Code.

**Private Residence Check Box.** Check this box if the Office of Employment address is a private residence.

#### 2. FINGERPRINT INFORMATION

**Electronic Filing Representation.** Select the radio button to affirm the following: "By selecting this option, I represent that I am submitting, have submitted, or promptly will submit to the appropriate *SRO* a fingerprint card as required under applicable *SRO* rules; or, By selecting this option, I represent that I have been employed continuously by the *filing firm* since the last submission of a fingerprint card to CRD and am not required to resubmit a fingerprint card at this time; or, By selecting this option, I represent that I have been employed continuously by the *filing firm* and my fingerprints have been processed by an *SRO* other than NASD. I am submitting, have submitted, or promptly will submit the processed results for posting to CRD." (Paper filers should skip this representation and should submit cards with their filing if required to do so.)

**Fingerprint Bar Code.** Enter the bar code as it appears on the individual's fingerprint card. Submission of the bar code is optional.

**Exceptions to the Fingerprint Requirement.** If the individual is not required to submit a fingerprint card with an initial Form U4, select the radio button that affirms, "By selecting one or more of the following two options, I affirm that I am exempt from the federal fingerprint requirement because I/filing firm currently satisfy(ies) the requirements of at least one of the permissive exemptions indicated below pursuant to Rule 17f-2 under the Securities Exchange Act of 1934, including any notice or application requirements specified therein:" and select one or more of the check boxes:

- Rule 17f-2(a)(1)(i)  
 Rule 17f-2(a)(1)(iii)

**Investment Adviser Representative Only Applicants.** Contact the specific *jurisdiction* about any fingerprint requirements. Complete the following sections:

#### Investment adviser representative only representation

- I affirm that I am applying only as an investment adviser representative and that I am not also applying or have not also applied with this *firm* to become a broker-dealer representative. If this radio button/box is selected, continue below.

- I am applying for registration only in *jurisdictions* that do not have fingerprint card filing requirements, or
- I am applying for registration in *jurisdictions* that have fingerprint card filing requirements and I am submitting, have submitted, or promptly will submit the appropriate fingerprint card directly to the *jurisdictions* for processing pursuant to applicable *jurisdiction* rules.

### 3. REGISTRATION WITH UNAFFILIATED FIRMS

Some *jurisdictions* prohibit "dual registration," which occurs when an individual chooses to maintain a concurrent registration as a representative/agent with two or more *firms* (either BD or IA *firms*) that are not *affiliated*. *Jurisdictions* that prohibit dual registration would not, for example, permit a broker-dealer agent working with brokerage *firm* A to maintain a registration with brokerage *firm* B if *firms* A and B are not owned or controlled by a common parent. Before seeking a dual registration status, you should consult the applicable rules or statutes of the *jurisdictions* with which you seek registration for prohibitions on dual registrations or any liability provisions.

Please indicate whether the individual will maintain a "dual registration" status by answering the questions in this section. (Note: An individual should answer 'yes' only if the individual is currently registered and is seeking registration with a *firm* (either BD or IA) that is not *affiliated* with the individual's current employing *firm*. If this is an initial application, an individual must answer 'no' to these questions; a "dual registration" may be initiated only after an initial registration has been established). Answer "yes" or "no" to the following questions:

A. Will *applicant* maintain registration with a broker-dealer that is not *affiliated* with the *filing firm*?

If you answer "yes," list the *firm(s)* in Section 12 (EMPLOYMENT HISTORY).

B. Will *applicant* maintain registration with an investment adviser that is not *affiliated* with the *filing firm*?

If you answer "yes," list the *firm(s)* in Section 12 (EMPLOYMENT HISTORY).

### 4. SRO REGISTRATION

**Investment adviser representative only *applicants* may skip this item.**

**Registration with *SRO(s)*.** Indicate with which *SRO(s)* the individual seeks to register by selecting the appropriate *SRO* registration request box(es).

**"Other" Box.** See Special Instructions for Paper Filers.

### 5. JURISDICTION REGISTRATION

Select the type of registration you are seeking: broker dealer agent (AG) and/or investment adviser representative (RA). Select the appropriate *jurisdiction(s)* to register as an AG and/or an RA.

**Agent of an Issuer.** If you are seeking registration as an Agent of an Issuer (AI), select the box marked AI, then enter the two-letter *jurisdiction* code for each *jurisdiction* in which you seek to register. (Note: This instruction applies to paper filers only.)

### 6. REGISTRATION REQUESTS WITH AFFILIATED FIRMS

If the individual seeks registration with *firm(s)* *affiliated* with the *filing firm*, complete the following to make a request for registration with the additional *affiliated firm(s)*.

***Affiliated Firm CRD Number.*** Enter the *affiliated firm's* CRD Number.

***Affiliated Firm Name.*** Enter the *affiliated firm's* name. This should be the name of the *affiliated firm* as listed on the Form BD or Form ADV. Agents of Issuers should enter the *affiliated* issuer name in this field. Do not abbreviate, shorten or otherwise modify the *firm* name in any way.

***Affiliated Firm Designation - Broker-Dealer or Investment Adviser (BD/IA).*** Select the appropriate radio button (paper filers check the appropriate box) marked as "BD" or "IA" to indicate whether the *affiliated firm* is a broker-dealer or an investment adviser.

***Employment Date with Affiliated Firm*** Enter the month, day, and year of hire by the *affiliated firm*. Do not enter the date of application for registration. Your entry must be numeric (MM/DD/YYYY).

***Affiliated Firm CRD Branch Number.*** Enter the branch number assigned by the CRD system to identify your branch office with the *affiliated firm*.

***Independent Contractor.*** Indicate whether the individual will maintain an independent contractor relationship with the firm entered in the "Firm Name" field.

***Office of Employment Address Street 1 /Street 2 and Supervising Address, if different.*** If the individual is applying for registration (or is already registered) with a broker-dealer, search and select all branch offices with which the individual will be physically located. The NYSE Branch Code Number (if applicable), Firm Billing Code, branch office address, and start/end dates will prepopulate based on information provided by the branch office on its Form BR.

If the individual is applying for registration (or is already registered) with a broker-dealer and will be physically located at a location that is **not** required to be registered/notice filed on Form BR, enter the business location's Street 1, Street 2, City, State, Country and Postal Code and search and select the branch office from which this individual is supervised.

If the individual is applying for registration (or is already registered) with only an investment-adviser enter the business location's Street 1, Street 2, City, State, Country and Postal Code..

***Designation for Registrations with *SROs* and *Jurisdictions* Identical to *Filing Firm*.*** Select this radio button/box to indicate that you wish to register with the same *SROs* and *jurisdictions* that you registered with for association with the *filing firm*.

**Designation for Registrations with SROs and Jurisdictions that Differ from Your Registrations with Filing Firm.** For electronic filers, select the button/box if you wish to register with SROs and *jurisdictions* that differ from your SRO and *jurisdictions* registrations with the *filing firm*. After you make this designation, additional screens for SROs and *jurisdictions* will appear for you to complete as appropriate.

### **Fingerprint Information for Affiliated Firms**

**Electronic or Other Filing Representation.** Select a radio button to affirm: "By selecting this option, I represent that I am submitting, have submitted, or promptly will submit to the appropriate SRO a fingerprint card as required under applicable SRO rules; or, By selecting this option, I represent that I have been employed continuously by the *affiliated firm* since the last submission of a fingerprint card to CRD and am not required to resubmit a fingerprint card at this time; or, I am not required to submit a fingerprint card at this time because the fingerprint card submitted by the *filing firm* applies; or, By selecting this option, I represent that I have been employed continuously by the *affiliated firm* and my fingerprints have been processed by an SRO other than NASD. I am submitting, have submitted, or promptly will submit the processed results for posting to CRD.

**Fingerprint Bar Code.** Enter the bar code as it appears on the individual's fingerprint card. Submission of the bar code is optional.

**Exceptions to the Fingerprint Requirement.** If the individual is not required to submit a fingerprint card with an initial Form U4, select the radio button that affirms, "By selecting one or more of the following two options, I affirm that I am exempt from the federal fingerprint requirement because *filing firm* currently satisfy(ies) the requirements of at least one of the permissive exemptions indicated below pursuant to Rule 17f-2 under the Securities Exchange Act of 1934, including any notice or application requirements specified therein:" and select one or more of the check boxes:

- Rule 17f-2(a)(1)(i)  
 Rule 17f-2(a)(1)(iii)

### **Investment Adviser Representative Only Applicants**

- I affirm that I am applying only as an investment adviser representative and that I am not also applying or have not also applied with this *firm* to become a broker-dealer representative. If this radio button/box is selected, continue below.
  - I am applying for registration only in *jurisdictions* that do not have fingerprint card filing requirements, or
  - I am applying for registration in *jurisdictions* that have fingerprint card filing requirements and I am submitting, have submitted, or promptly will submit the appropriate fingerprint card directly to the *jurisdictions* for processing pursuant to applicable *jurisdiction* rules.

## **7. EXAMINATION REQUESTS**

**Scheduling or Rescheduling Examinations.** Complete this section only if you are scheduling or rescheduling an examination or continuing education session. Do not select the Series 63 (S63) or Series 65 (Series 65) examinations in this section if you have completed Section 5 (JURISDICTION REGISTRATION) and have selected registration in a *jurisdiction*. If you have completed Section 5 (JURISDICTION REGISTRATION), and requested an AG registration in a *jurisdiction* that requires that you pass the S63 examination, an S63 examination will be automatically scheduled for you upon submission of this Form U4. If you have completed Section 5 (JURISDICTION REGISTRATION), and requested an RA registration in a *jurisdiction* that requires that you pass the S65 examination, an S65 examination will be automatically scheduled for you upon submission of this Form U4.

**"Other" Box.** Paper filers should check the "Other" box only to request other examinations not currently listed on the Form U4.

## **8. PROFESSIONAL DESIGNATIONS**

Select the designation(s) you currently maintain. If you maintain one or more of the designations listed in Section 8 (PROFESSIONAL DESIGNATIONS), you may be eligible for a waiver from the examination(s) required to become an RA. Refer to the UNIFORM FORMS REFERENCE GUIDE for additional information about designations. Note: This field is optional unless you are seeking a waiver from the examination(s) required to become an RA.

## **9. IDENTIFYING INFORMATION/NAME CHANGE**

This section will be pre-populated with the identifying information provided in Section 1 (GENERAL INFORMATION). If the individual's name has changed, enter the new name.

**First Name.** Enter the individual's first name. Do not use nicknames or abbreviations or make modifications to the individual's first name.

**Middle Name.** If the individual has a middle name, specify the full middle name. Do not use nicknames or abbreviations or make modifications to the individual's middle name. If the individual does not have a middle name, leave this field blank.

**Last Name.** Enter the individual's last name. Do not use nicknames or abbreviations or make modifications to the individual's last name. Include punctuation when and where appropriate.

**Suffix.** Enter any suffix that follows the individual's last name, such as Jr., Sr., etc. Include punctuation when and where appropriate.

**Date of Birth.** Enter your date of birth. Your entry must be numeric (MM/DD/YYYY).

**State/Province of Birth.** Enter the name of the state or province where you were born.

**Country of Birth.** Enter the name of the country where you were born.

**Sex.** Select the appropriate button to indicate your gender.

**Height (ft)/(in).** Enter your height, measured in feet and inches.

**Weight (lbs).** Enter your weight, measured in pounds.

**Hair Color.** Enter your hair color.

**Eye Color.** Enter your eye color.

## 10. OTHER NAMES

Enter all other names that you have used or are using, or by which you are known or have been known, other than your legal name, since the age of 18. This field must include, for example, nicknames, aliases, and names used before or after marriage.

## 11. RESIDENTIAL HISTORY

Provide your residential addresses for the past five (5) years. Leave no gaps greater than three (3) months between addresses. Begin by entering your current residential address. Enter "Present" as the end date for your current address. Post Office boxes are not acceptable. Report changes as they occur.

**From (MM/YYYY).** Enter the month and year you began residing at this address.

**To (MM/YYYY).** Enter the month and year you stopped residing at this address. Enter "Present" as the end date for your current address.

**Street Address 1/Street Address 2.** Enter your street address here. Post office boxes are not acceptable. Include the street name; building name or number; and unit, suite, apartment or condominium number, as applicable; as well as other identifying information. Continue on Street Address 2 if you need more space.

**City.** Enter your city.

**State.** Enter the state of residence relating to this address.

**Country.** Enter the name of the country of residence for this address.

**Postal Code.** Enter the postal code for this address.

## 12. EMPLOYMENT HISTORY

Provide your employment and personal history for the past ten (10) years. Leave no gaps greater than three (3) months between entries. All entries must include the beginning and end dates of employment. Begin by entering your current employment. Enter "Present" as the end date for your current employment. Include in your response the *firm* named in Section 1 (GENERAL INFORMATION); the *firm(s)* named in Section 3 (REGISTRATION WITH UNAFFILIATED FIRMS); and the *firm(s)* named in Section 6 (REGISTRATION REQUESTS WITH AFFILIATED FIRMS). Account for full-time and part-time employment, self-employment, military service, and homemaking. Include unemployment, full-time education, extended travel, and other similar statuses.

**From (MM/YYYY).** Enter the month and year you started this position. Your entry must be numeric (MM/DD/YYYY).

**To (MM/YYYY).** Enter the month and year you ended this position. Your entry must be numeric (MM/DD/YYYY). Enter "Present" as the end date for your current employment.

**Name.** Enter the name of the employing *firm* or company for this position.

**City.** Enter the name of the city where you are/were employed in this position.

**State.** Enter the name of the state where you are/were employed in this position. Paper filers should enter the two-character state identification.

**Country.** Enter the name of the country where you are/were employed in this position.

**Investment-Related Business.** Enter "yes" or "no" to indicate whether the employer is or was an *investment-related* business at the time of your employment, regardless of the position that you hold or held at the time of employment.

**Position Held.** Enter your last title or position held with this employer.

## 13. OTHER BUSINESS

Enter "yes" or "no" to indicate whether you currently are engaged in any other business, either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. Exclude non-*investment-related* activity that is exclusively charitable, civic, religious or fraternal, and is recognized as tax exempt. If you answer "yes" to this question, provide the following information:

- name and address of the other business
- the nature of the other business, including whether it is *investment-related*
- your position, title, or association with the other business, including your duties
- the start date of your relationship with the other business
- the approximate number of hours per month you devote to the other business
- the number of hours you devote to the other business during securities trading hours

## 14. DISCLOSURE QUESTIONS

Check the appropriate "yes" or "no" response for each question. Provide complete details explaining any "yes" answers on the appropriate Disclosure Reporting Pages (DRPs).

Note that an affirmative answer to certain disclosure questions may make an individual subject to a statutory disqualification as defined in Section 3(a)(39) and Section 15(b)(4) of the Securities Exchange Act of 1934.

Questions 14D(1) and 14D(2) are not mutually exclusive. For

purposes of Question 14D(1), state regulatory agency means any state regulatory agency and is not limited to state financial regulatory agencies. For purposes of Question 14D(2), all terms have the same meanings as intended by Congress and interpreted by the U.S. Securities and Exchange Commission under parallel provisions contained in Section 3(a)(39) and Section 15(b)(4) of the Securities Exchange Act of 1934.

#### Criminal Disclosure

- 14A - *Felony* Criminal Disclosure
- 14B - *Misdemeanor* Criminal Disclosure

#### Regulatory Action Disclosure

- 14C - Regulatory Action by SEC or CFTC
- 14D(1) - Regulatory Action by other federal regulator, state regulator, or foreign financial regulator
- 14D(2) - Final order of state securities commission, state authority that supervises or examines banks, savings associations, or credit unions, state insurance commission, appropriate Federal Banking agency, or National Credit Union Administration
- 14E - Regulatory Action by SRO or commodities exchange
- 14F - Professional Suspension
- 14G - Formal Pending Action/*Investigation*

#### Civil Judicial Disclosure

- 14H - Civil Judicial Actions

#### Customer Complaint/Arbitration/Civil Litigation Disclosure

- 14I - Customer Complaints

#### Termination Disclosure

- 14J - Terminations for Cause

#### Financial Disclosure

- 14K - Bankruptcy, SIPC and Compromise with Creditors
- 14L - Bonding Payouts or Revocations
- 14M - Unsatisfied Judgments and Liens

### 15. SIGNATURES

**Please Read Carefully.** All signatures required on this Form U4 filing must be made in this section. A "signature" includes a manual signature or an electronically transmitted equivalent. For purposes of an electronic form filing, a signature is effected by typing a name in the designated signature field. By typing a name in this field, the signatory acknowledges and represents that the entry constitutes in every way, use, or aspect, his or her legally binding signature. The form includes signature fields for the individual/*applicant* and for the *Appropriate Signatory*. *Firms* are responsible for obtaining the individual/*applicant's* consent to the undertakings and attestations enumerated in Section 15A (INDIVIDUAL/APPLICANT'S ACKNOWLEDGMENT AND CONSENT). *Firms* also are responsible for complying with all records retention requirements applicable to this form. When making entries in this section, both the Date and Name/Signature fields must be completed as follows:

**Date.** For individual/*applicant*, enter the date that the application or amendment is being signed. For *Appropriate Signatory* entries, enter the date that the application or amendment is being filed. Entries must be numeric (MM/DD/YYYY). Future dates may not be entered in this section.

**Name/Signature of Individual or Appropriate Signatory.** Enter the name of the individual or the *Appropriate Signatory*. The signatory's full legal name must be displayed under the signature. The name must be typed or printed as it appears in signature form. By typing a name in this field, the signatory acknowledges that this entry constitutes in every way, use, or aspect, his or her legally binding signature.

#### 15A. INDIVIDUAL/APPLICANT'S ACKNOWLEDGMENT AND CONSENT.

This section must be completed on all initial or Temporary Registration form filings.

#### 15B. FIRM/APPROPRIATE SIGNATORY REPRESENTATIONS.

This section must be completed on all initial or Temporary Registration form filings.

#### 15C. TEMPORARY REGISTRATION ACKNOWLEDGMENT.

This section must be completed on Temporary Registration form filings to be able to receive Temporary Registration.

#### 15D. INDIVIDUAL/APPLICANT'S AMENDMENT ACKNOWLEDGMENT AND CONSENT.

This section must be completed on any amendment filing that amends any information in Section 14 (Disclosure Questions) or any Disclosure Reporting Page (DRP).

#### 15E. FIRM/APPROPRIATE SIGNATORY AMENDMENT REPRESENTATIONS.

This section must be completed on all amendment form filings.

#### 15F. FIRM/APPROPRIATE SIGNATORY CONCURRENCE.

This section must be completed to concur with a U4 filing made by another *firm* (IA/BD) on behalf of an individual that is also registered with that other *firm* (IA/BD).

## APPENDIX Drop-Down Pick Lists

### General

**State:** Alabama, Alaska, Arizona, Arkansas, California, Colorado, Connecticut, Delaware, District of Columbia, Florida, Georgia, Hawaii, Idaho, Illinois, Indiana, Iowa, Kansas, Kentucky, Louisiana, Maine, Maryland, Massachusetts, Michigan, Minnesota, Mississippi, Missouri, Montana, Nebraska, Nevada, New Hampshire, New Jersey, New Mexico, New York, North Carolina, North Dakota, Ohio, Oklahoma, Oregon, Pennsylvania, Puerto Rico, Rhode Island, South Carolina, South Dakota, Tennessee, Texas, Utah, Vermont, Virginia, Washington, West Virginia, Wisconsin, Wyoming.

### Identifying Information/Name Changes

**Hair Color:** Bald, black, blonde or strawberry, brown, gray or partially gray, red/auburn, sandy, white, unknown, blue, green, orange, pink, purple.

Eye Color: Black, blue, brown, gray, green, hazel, maroon, multicolored, pink, unknown.

### DRPs

#### Bankruptcy/SIPC/Compromise with Creditors

Action Type: Bankruptcy, compromise, declaration, liquidated, other, receivership.

If not pending, provide disposition type: Direct Payment Procedure, Discharged, Dismissed, Dissolved, Other, SIPA Trustee Appointed, Satisfied/Released.

#### Bond

Disposition Type: Denied, Payout, Revoked.

#### Civil Judicial

Principal relief sought: Cease and Desist, Civil Penalty(ies)/Fine(s), Disgorgement, Injunction, Money Damages (Private/Civil Complaint), Other, Restitution, Restraining Order.

Principal product type: Annuity(ies)-Fixed, Annuity(ies)-Variable, Banking Products (Other than CDs), CD(s), Commodity Option(s), Debt-Asset Backed, Debt-Corporate, Debt-Government, Debt-Municipal, Derivative(s), Direct Investment(s)-DDP & LP Interest(s), Equity-OTC, Equity Listed (Common & Preferred Stock), Futures-Commodity, Futures-Financial, Index Option(s), Insurance, Investment Contract(s), Money Market Fund(s), Mutual Fund(s), No Product, Options, Other, Penny Stock(s), Unit Investment Trust(s).

How was matter resolved: Consent, Dismissed, Judgment Rendered, Opinion, Other, Settled, Withdrawn.

#### Customer Complaint/Arbitration/Civil Litigation

Customer's state of residence: Alabama, Alaska, Arizona, Arkansas, California, Colorado, Connecticut, Delaware, District of Columbia, Florida, Georgia, Hawaii, Idaho, Illinois, Indiana, Iowa, Kansas, Kentucky, Louisiana, Maine, Maryland, Massachusetts, Michigan, Minnesota, Mississippi, Missouri, Montana, Nebraska, Nevada, New Hampshire, New Jersey, New Mexico, New York, North Carolina, North Dakota, Ohio, Oklahoma, Oregon, Pennsylvania, Puerto Rico, Rhode Island, South Carolina, South Dakota, Tennessee, Texas, Utah, Vermont, Virginia, Washington, West Virginia, Wisconsin, Wyoming

Principal product type: Annuity(ies)-Fixed, Annuity(ies)-Variable, Banking Products (Other than CDs), CD(s), Commodity Option(s), Debt-Asset Backed, Debt-Corporate, Debt-Government, Debt-Municipal, Derivative(s), Direct Investment(s)-DDP & LP Interest(s), Equity-OTC, Equity Listed (Common & Preferred Stock), Futures-Commodity, Futures-Financial, Index Option(s), Insurance, Investment Contract(s), Money Market Fund(s), Mutual Fund(s), No Product, Options, Other, Penny Stock(s), Unit Investment Trust(s).

If the arbitration is not pending, what was the disposition?: Award to Applicant, Award to Customer, Decision for Applicant, Decision for Customer, Denied, Dismissed, Judgment (other than monetary), No Action, Other, Settled, Withdrawn.

If the litigation is not pending, what was the disposition?: Decision for Applicant, Decision for Customer, Denied, Dismissed, Judgment (other than monetary), Monetary Judgment to Applicant, Monetary Judgment to Customer, No Action, Other, Settled, Withdrawn.

#### Judgment/Lien

Judgment/Lien Type: Civil, Default, Tax.

If no, how was matter resolved?: Discharged, Released, Removed, Satisfied.

#### Regulatory Action

Principal Sanction: Cease and Desist, Civil Penalty(ies)/Fine(s), Disgorgement, Injunction, Money Damages (Private/Civil Complaint), Other, Restitution, Restraining Order.

Principal product type: Annuity(ies)-Fixed, Annuity(ies)-Variable, Banking Products (Other than CDs), CD(s), Commodity Option(s), Debt-Asset Backed, Debt-Corporate, Debt-Government, Debt-Municipal, Derivative(s), Direct Investment(s)-DDP & LP Interest(s), Equity-OTC, Equity Listed (Common & Preferred Stock), Futures-Commodity, Futures-Financial, Index Option(s), Insurance, Investment Contract(s), Money Market Fund(s), Mutual Fund(s), No Product, Options, Other, Penny Stock(s), Unit Investment Trust(s).

How was matter resolved: Acceptance, Waiver & Consent (AWC), Consent, Decision, Decision & Order of Offer of Settlement, Dismissed, Order, Other, Settled, Stipulation and Consent, Vacated, Withdrawn.

#### Termination

Termination Type: Discharged, Permitted to Resign, Voluntary Resignation.

Principal product type: Annuity(ies)-Fixed, Annuity(ies)-Variable, Banking Products (Other than CDs), CD(s), Commodity Option(s), Debt-Asset Backed, Debt-Corporate, Debt-Government, Debt-Municipal, Derivative(s), Direct Investment(s)-DDP & LP Interest(s), Equity-OTC, Equity Listed (Common & Preferred Stock), Futures-Commodity, Futures-Financial, Index Option(s), Insurance, Investment Contract(s), Money Market Fund(s), Mutual Fund(s), No Product, Options, Other, Penny Stock(s), Unit Investment Trust(s).

## SPECIAL INSTRUCTIONS FOR PAPER FILERS

If you plan to file the Form U4 on paper rather than electronically through Web CRD or IARD, please refer to the following instructions for paper filings. These instructions should be read in conjunction with the other instructions (General Instructions, Specific Instructions, and the Explanation of Terms) contained in this Form U4. Please note that paper filings generally are not permitted for broker-dealer registrations.

#### **Submission of Forms**

When applying for the first time, you must file a complete Form U4. To amend your Form U4, you must:

- Complete Section 1 (GENERAL INFORMATION).
- Update/amend the appropriate section(s) of the Form U4.
- Update/amend the appropriate Disclosure Reporting Pages.
- Include necessary signatures.
- Submit the amendment to the appropriate SRO or jurisdictions.

The firm must retain and, upon request, must make available for regulatory inspection, a copy of the signed initial Form U4 and a copy of each amendment to the Form U4.

## 1. GENERAL INFORMATION

You should note the following:

**Individual CRD Number.** Provide the *individual's CRD number* that was generated by the CRD system for the individual. If the *individual's CRD number* has not been generated or is not known, leave this item blank.

**Firm CRD Number.** Provide the *firm's CRD number* that was generated by the CRD system for the *firm*. If the *firm's CRD number* has not been generated or is not known, leave this item blank.

**Firm Name.** If you are an Agent of an Issuer, enter in the field labeled "Firm Name" the name of the issuer of the securities whom you represent. Do not abbreviate, shorten, or modify the name in any way.

**CRD Branch Number.** This is not a required field.

## 2. FINGERPRINT INFORMATION

You must submit to the appropriate *SRO* or *jurisdiction* fingerprint cards if required to do so.

## 4. & 5. REGISTRATIONS

- Select the appropriate *SRO* or *jurisdiction* registration category with whom you are seeking registration by selecting the appropriate request box(es).
- If you are an Agent of an Issuer (AI), select the box marked AI; then enter the two-letter *jurisdiction* identification for the relevant state(s). Contact the appropriate *jurisdiction* for instructions regarding AI registration processing.
- Use the "Other" box only to request registration categories not listed on the Form U4.
- Applicable fees should be submitted with your filing.

## 6. REGISTRATION REQUESTS WITH AFFILIATED FIRMS

This section does not apply for paper filers.

## 7. EXAMINATION REQUESTS

Check the "Other" box only to request examination categories not listed on the Form U4.

## 9. IDENTIFYING INFORMATION/NAME CHANGE

**Hair Color.** Enter your hair color from the list of choices appended to this form.

**Eye Color.** Enter your eye color from the list of choices appended to this form.

## 15F. FIRM/APPROPRIATE SIGNATORY CONCURRENCE

This section does not apply for paper filers.