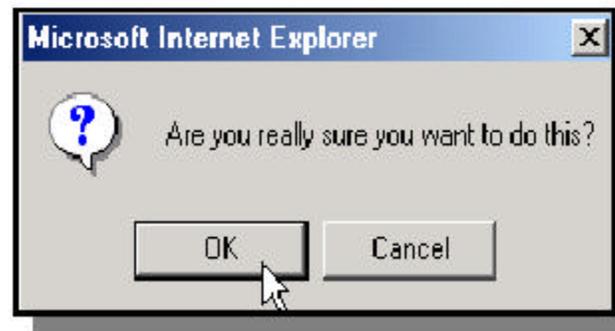**Complete the NFI Transition Registration Request**
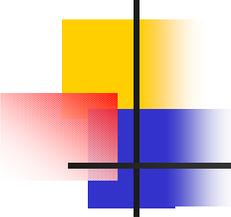(Continued)

9. Click the **OK** button once you have confirmed that the correct states are marked and employment information is accurate. If the states are marked incorrectly or employment information is not accurate, click the **Cancel** button and return to step 7.

Microsoft Internet Explorer ✕

? Are you really sure you want to do this?

OK   Cancel

[Result:] A message appears on the *NFI Transition Registration Request* screen indicating that the transition registration request has been submitted successfully.
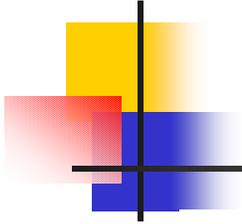
NFI Transition Registration Request

Individual CRD# : 4233172	Individual Name: NEWMAN, PAUL S
Firm CRD # : 117757	Firm Name : TRAININGSECURITIES3 (IA-STATE)

Submit Request

The transition registration request has been submitted successfully.

| JURISDICTION	RA	JURISDICTION	RA	JURISDICTION	RA	JURIS
Alabama	☐	Idaho	☐	Missouri	☐	Penns

Step Four

Filing Form U-4 Amendment

Once the you have transitioned your RAs on the Web CRD, you will need to file a Form U-4 Amendment. In effect, you will be transferring electronically the information from the Form U-4 that you originally filed in paper form with the jurisdictions to the Form U-4 on the Web CRD/IARD system. The following screens will help you navigate through the Form U-4 Amendment filing process.
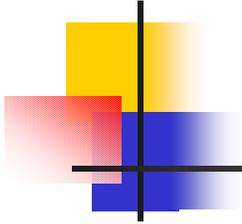
To file a Form U-4 Amendment while on the CRD site map, click "**Amendmen**t" under "**Create a New U-4 Filing**" under **Forms** and **U-4 Form** on the site map.
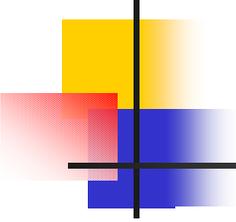
Steps for Creating a Form U-4 Filing:

| Access U-4 | There are two ways to access a Form U-4 filing:

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

- After clicking "Amendment",the *Individual Search Results* screen will appear. You should type the RA's individual CRD Number and click "Search".

OR

1a. Click the **Forms** Tab from the Tool Bar, choose **U-4 Form** from the Sub-Menu and click the **Initial**, **Amendment**, **Concurrence**, **Dual**, **Relicense All** or **Relicense IA** hyperlink.

NOTE: To access CRD from IARD, see step 1 on page 22 of Steps for Accessing CRD from IARD.

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

NOTE: To access CRD from IARD, see step 1 on page 20 of Steps for Accessing CRD from IARD.

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

Individual Search Criteria

Search by GIIB Number
CRD Number:

Search by Social Security Number
SSN (xxx-xx-xxxx):

Search by Name
Last Name: First Name:
Middle Name: Perform "sounds-like" search

Filter by Other Information
Birthdate (mm/dd/yyyy):

Select Number of Rows
Number of Rows per Page: 25

Search

3. Click the **Search** button.

[Result:] The system provides a list of names that you can page through to find the individual.

Individual Search Results
U4 - Initial

<< Previous Next >>
Rows 1 to 12

Name	CRD	Birth Date
DOE, JOHN JEFFERSON	4476861	05/02/1969
DOE, JOHN JOHN	4456402	01/01/2000
DOE, JOHN KEVIN	4143293	02/23/1975
DOE, JOHN M	4317058	01/01/1980
DOE, JOHN Q	4476586	01/01/1950
DOE, JOHN RYAN	4139359	02/23/1962
DOE, JOHN SO	4445233	12/25/1979
DOE, JOHN W	4070842	08/01/1975

4. If the individual exists in CRD, click the **Name** hyperlink.

Create a New Individual

OR

4a. If there are no individuals listed with the same **SSN** and **Birth Date**, type **SSN** twice and **Birth Date** in the **Create a New Individual** fields and click the **Create New ID** button.
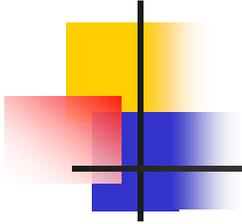
Click the **Name** link which will bring up the Form U-4. Complete each section of the Form U-4 and **<u>Save</u>** after each section.

Complete U-4 Filing Sections

Submissions

Allow Rep Edits

Completeness Check

Submit Filing

Print Preview

U4 Filing

Filing Instructions

1. General Information

2. Fingerprint Information

3. Registration with Unaffiliated Firms

4. SRO Registrations

5. Jurisdiction Registration

6. Registration Requests with

5. Click each section of **U-4 Filing** from the Navigation Bar or Footer, type the appropriate information and click the **Save** button, unless submitting a Concurrence filing. Concurrence filings are read-only, other than the Signatures section, which must be completed.

Filing Instructions: The Filing Instructions displays the Form U-4 Instructions and Explanation of Terms hyperlink.

1. General Information: In General Information, the Name, CRD Number, Social Security Number, Firm Name and Firm CRD Number are pre-populated and cannot be changed. The Firm Billing Code and CRD Branch Number are optional. The complete Employment Address (Street 1, City, State/Country and ZIP) and Employment Date are mandatory fields. There is also a check box to indicate if the Office of Employment is a private residence (for future use).

2. Fingerprint Information: (Not Available on a Concurrence filing) RA applicants are not required to submit a fingerprint card to the NASD; contact the appropriate jurisdictions with which the RA seeks registration for fingerprint card requirements, and select the appropriate radio button in Investment Adviser Representative Only Applicants section.

3. Registration with Unaffiliated Firms: (Not Available on a Concurrence filing) "Dual registration" occurs when an individual chooses to maintain a concurrent registration as a representative with two or more firms (broker/dealer and/or investment adviser firms) that are not affiliated. Consult the applicable rules or statutes of the jurisdictions with which the applicant seeks registration to see whether dual registration is permitted. If an Initial U-4 filing type is chosen, the **No** radio buttons will pre-populate. Both 3A and 3B must be answered **Yes** or **No**.

Done   Internet

3. Registration with Unaffiliated Firms: (Not Available on a Concurrence filing) "Dual registration" occurs when an individual chooses to maintain a concurrent registration as a representative with two or more firms (broker/dealer and/or investment adviser firms) that are not affiliated. Consult the applicable rules or statutes of the jurisdictions with which the applicant seeks registration to see whether dual registration is permitted. If an Initial U-4 filing type is chosen, the **No** radio buttons will pre-populate. Both 3A and 3B must be answered **Yes** or **No**.

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

5. Jurisdiction Registrations: (Not Available on a Concurrence filing) This section is mandatory for RA applicants; at least one Jurisdiction must be selected. Select the jurisdiction(s) where the applicant seeks to register. If a state that does not register RAs is selected, a Completeness Check error will be returned. To correct Completeness Check errors, see Steps for Creating a Form U-4 Filing, page 124, step 7.

6. Registration Requests with Affiliated Firms: (Not Available on a Concurrence filing) If the applicant seeks registration with firm(s) affiliated with the filing firm, complete the necessary information on the affiliated firm. Either the **Yes** or **No** radio button must be checked.

7. Examination Requests: (Not Available on a Concurrence filing) CRD will pull appropriate exams taken previously from Proctor Data and associate them with the RAs when they transition or submit a U-4. If the applicant selected a registration in a *jurisdiction* that requires that the applicant pass the Series 65 examination, a Series 65 examination will be
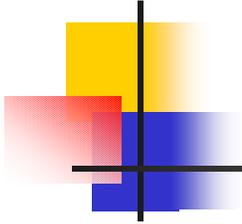
If a jurisdiction requires fingerprint cards, the following screen should help you in completing Section 2 of the Form U-4. If the RA is currently licensed with a jurisdiction that requires fingerprint cards and has fingerprint cards on file, you may need to check the option which states that you are applying in jurisdictions* that do not require fingerprint cards. Otherwise, the RA will need to submit new fingerprint cards.

*The IA should check with each jurisdiction regarding their fingerprint requirements.