

2. FINGERPRINT INFORMATION

Electronic Filing Representation

- By selecting this option, I represent that I am submitting or promptly will submit to the appropriate SRO fingerprint cards as required under applicable SRO rules.

Fingerprint card barcode

Exceptions to the Fingerprint Requirement

- By selecting this option, I affirm that:
- I have been employed continuously by the *filing firm* in an unregistered capacity since the last submission of a fingerprint card; or
 - I am exempt from the fingerprint requirement because I meet one or more of the exemptions established by Rule 17f-2 under the Securities Exchange Act of 1934.

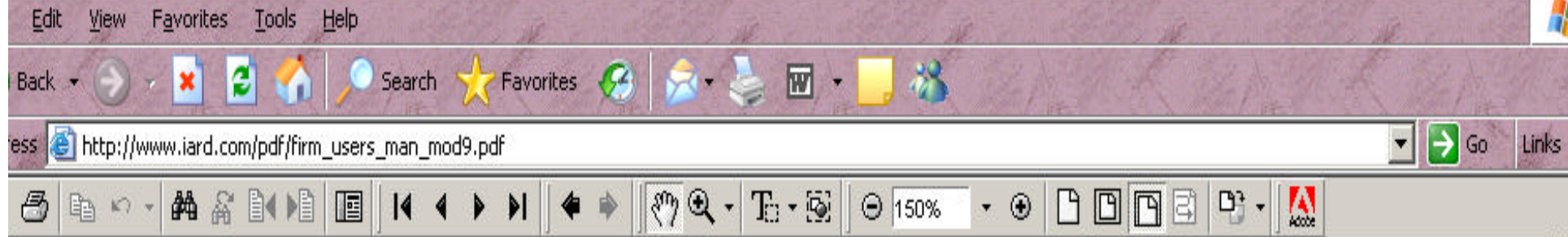
Investment Adviser Representative Only Applicants

- I affirm that I am applying only as an investment adviser representative and that I am not also applying or have not also applied 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 the appropriate fingerprint card directly to the *jurisdictions* for processing.

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1. General Information | **2. Fingerprint Information** | 3. Registration with Unaffiliated Firms | 4. SRO Registrations | 5. Jurisdiction Registration | 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 | 15. Signatures | DRPs | All Pages

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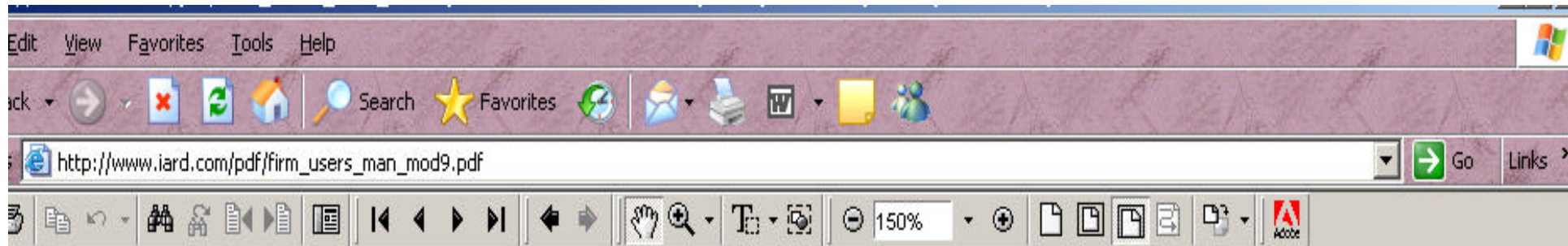
Completeness Check

6. Click **Completeness Check** from the Submissions Menu or Navigation Footer.

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

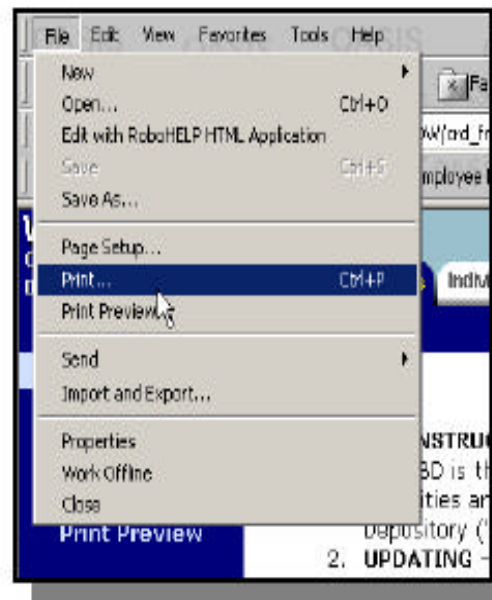
[Result:] The following *Error Location* and *Error Description* screen opens.

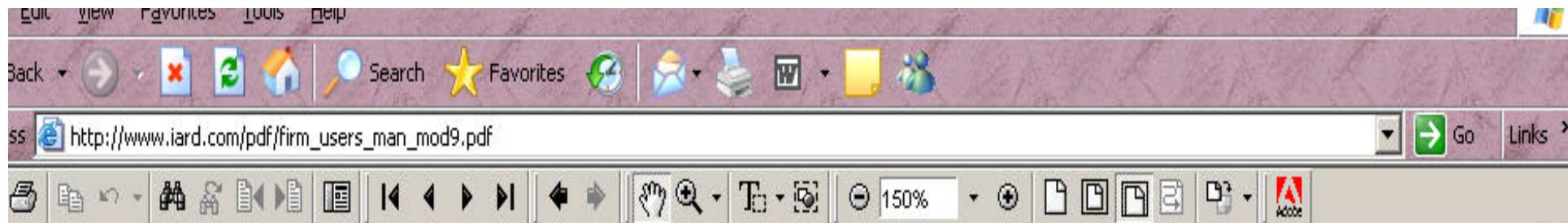
Rev. Form U-4 (03/2002)	
DOE, JOHN : 4083779	SSN # : 001-23-4567
TRAININGSECURITIES3 (IA-STATE) : 117757	Reference # : 5852183653418871
ON-LINE COMPLETENESS CHECK	
Error Location	Error Description
General Information	The Complete Employment Address (Street I, City, State/Country and Zip) is required
General Information	The Employment date in General Information is mandatory.
Other Business	The question pertaining to whether or not the applicant is involved with another business must be explicitly answered YES or NO.
Residential History	Current address is mandatory
Residential History	A minimum of 5 years of Residential History must be provided.



Print

8. Click **Print Preview** from the Submissions Menu or Navigation Footer, click a section from the Navigation Bar or Footer to view and print that section or choose **All Pages** to view or print the form in its entirety.
9. Click **File** from the Browser's Menu Bar and choose **Print** from the drop-down menu.





Submit Filing

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

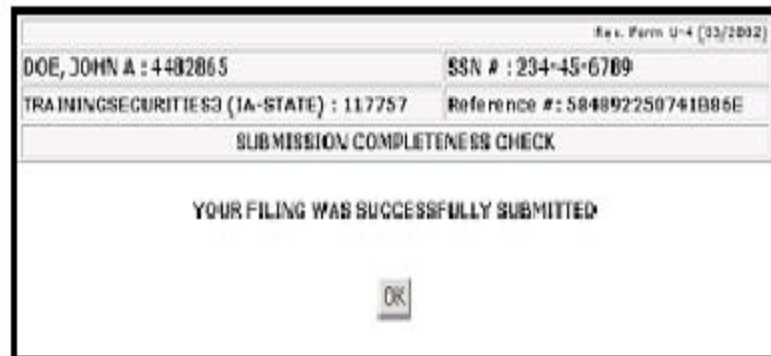
NOTE: When Submit Filing is selected prior to running a Completeness Check, CRD will automatically run a Completeness Check to verify that all required information has been provided. If information has not been completed in the required fields, the Completeness Check will display the error screen with links to the required fields to be completed. To correct Completeness Check errors, see Steps for Creating a Form U-4 Filing, page 124, step 7.

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

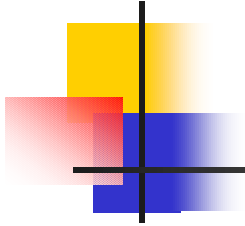
Rev. Form U-4 (9/2002)	
BOE, JOHN A : 4482865	SSN # : 294-45-6789
TRAININGSECURITIES3 (IA-STATE) : 117757	Reference #: 5948922507+1B86E
SUBMISSION COMPLETENESS CHECK	
U4 SUBMISSION COMPLETENESS CHECK PASSED SUCCESSFULLY. PLEASE SELECT THE 'SUBMIT FILING' BUTTON BELOW TO SUBMIT TO CRD.	

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

[Result:] The *Filing Successfully Submitted* screen opens.



12. Click the **OK** button.



Please Note: If the RA has a Form U-4 on the CRD because he submitted a Form U-4 when he became a registered representative for a broker-dealer, the IA may need only to amend each section of the Form U-4 that is currently on file with the NASD. The CRD system retains all Form U-4 filings. The CRD system will automatically repopulate the name of the RA's BD firm on the Form U-4 with their IA firm when the Form U-4 Amendment for that RA is filed.



Contact Numbers for (State Name) IAs and BD/IAs

- (State Name) Help Desk

1st (Contact Name)

(Area Code and Phone No.)

e-mail address: ()

2nd (Contact Name)

(Area Code and Phone No.)

e-mail address: ()



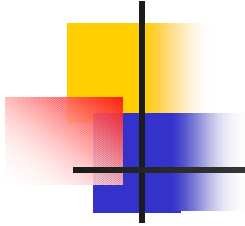
Contact Numbers - NASD

IARD Hotline

(240) 386-4848 (IA Only Firms)

Gateway Call Center

(301) 590-6500 or (301) 869-6699 (BD/IA Firms)



***This presentation was compiled and edited by
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Corporation Commission Securities Division.***