

4530 Reporting System Overview

The 4530 Reporting System allows firms to report specified events, quarterly statistical and summary information regarding written customer complaints, and copies of specified criminal and civil actions.

As you create new filings and amendments, the system will save them as drafts until you are ready to submit.

Below is an overview of the features available in the 4530 Reporting System.

Creating a New Filing

Click the “Blank Forms” button to reveal the menu with options to create a new form. You can select a new 4530 (f) – Criminal Actions, Civil Litigations, and Non-FINRA Arbitrations, 4530 Complaint, or 4530 Disclosure from the menu that appears.

Locating Filings by Customer Name or Keyword. You can search on any word contained in the filings, such as a customer name, by using the search field on the 4530 Report system.

Clearing Search & Filters

The “Clear” button will clear all applied search, sort and filters.

Column Sorts and Filters

Each column contains sort and filter options you can access by clicking the arrow icon next to the column name.

The Problem/Event Code column allows you to sort on [Complaint Problem Code](#) or [Disclosure Event Code](#).

- **Sorting**

Click the column once to change sort from ascending to descending. When the sort feature is activated, a blue arrow will appear to indicate sort order. In the picture below, the Filing ID column is sorted by ascending order.

FILING ID	FIRM REFERENCE ID	STATUS
1327469		Draft

- **Filtering**

Clicking the down arrow in a column heading will reveal the filter options for that column. In the image below, the Status column is sorted ascending and the filter menu is revealed. You can clear a filter by clicking “Clear Filter” in the filter menu or by clicking the “Clear” button by the Search bar.

STATUS	TYPE	FILING QUARTER
Draft		
Draft		
Draft		
Draft		

Sort Ascending

Sort Descending

Draft

Submitted

Migrated

Clear Filter

When a filter has been applied to a column, the filter indicator will appear. In the image below, the Status column has a filter applied to it.

REFERENCE ID	STATUS	TYPE
	Draft	4530fg
	Draft	4530fg
	Draft	4530fg

Filing ID

The filing ID is an automatically generated number assigned when a filing is submitted to FINRA. Click on the filing ID to open the filing.

Migrated Filings (prior to October 1, 2017)

On October 1, 2017, FINRA migrated filings from the previous 4530 Reporting System. Migrated filings have a legacy filing ID recorded on the filing. Internal FINRA business numbers will reference the filing by the legacy filing ID. To see the legacy filing ID, click the Filing ID to open the form and locate “Legacy Filing ID/Version #” under the “Reference Information” heading. You can also search on the legacy filing ID to locate a specific filing.

Only filings with the status “Migrated” have legacy filing IDs.

Filing ID: 1611648 [Back to Filing Cabinet](#)

4530 Complaint Form

Information on how to report customer complaints is online at [Rule 4530 Customer Complaints](#)

Reference Information

Create unique reference ID for this FINRA filing to help with record-keeping. The firm reference ID can be letters, numbers or a combination of both. The firm reference ID should be specific enough to be unique to this filing.

Firm Reference ID

Legacy Filing ID / Version #

Actions

The “Actions” column includes various actions filers can take on a filing.

- Delete**
 Users can delete draft filings. The “Delete” option will only appear if the filing status is “Draft.” Users cannot delete submitted filings.
- Amend**
 Users can amend or withdraw filings within 30 days of the submission date or 30 days after the complaint quarterly filing due date. The “Amend” action will only appear if the filing can be amended. Clicking on the amend action will take you to an editable version of the filing where you can correct the entered values and resubmit.

Help! I can't find my submitted filing!

If you may click the "Amend" link just to see what happens and cancel out, the system will automatically save a draft amendment. This means the filing status will change to draft in the cabinet view and it can seem like submitted filing disappeared. To see the submitted filing, go to the History link for the newly created draft and click on the submitted filing. You can delete draft filing amendment without deleting the original filing.

Withdraw

You can withdraw a filing during the amendment period by clicking on the amend link, scrolling down to the bottom of the filing, and checking the "Withdraw this submission" checkbox. You will need to provide a brief description of the reason for withdraw and click the "Withdraw" button at the bottom of the form. All versions of the filing will be withdrawn from the system.

Withdraw the Submission

To withdraw a submission made in error, check the box. Once you withdraw the submission, you will no longer be able to access it through the 4530 Reporting system.
All versions of the submission will be removed from the system when you withdraw.

Withdraw this submission

Please provide a brief explanation for withdrawing this submission *

You have 255 character(s) left.

History

If a filing has been amended, a link to "History" will appear in the "Actions" column for that filing. Clicking this link will allow you to see the version history for the filing. Clicking the "History" link will take you to a page with the filing versions.

291763	Draft	4530fg	fg79	10/06/2017 01:17 PM	Delete History
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Firm Gateway

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FILING ID	VERSION #	LAST ACTION BY	DATE LAST UPDATED
291763	4	fg79	11/13/2012 11:12 AM
291763	3	fg79	11/13/2012 10:53 AM
291763	2	fg79	11/13/2012 10:50 AM
291763	1	fg79	11/12/2012 07:50 AM

Exporting Filings

You can request an export of submitted filings by emailing reportcenter-admin@finra.org. There is no charge for these reports. Requesters need access to the 4530 Report Cards in the Report Center on Firm Gateway to access the report. Your firms Super Account Administrator (SAA) can provide access. Filings will be exported per filing quarter. Allow 48 hours to deliver export requests. Larger requests may take longer.