PFRD

Amended Form PF: Filing Online

2025 Form PF Revision

As a result of SEC rule changes, an amended version of Form PF will become effective soon and will be submitted via the FINRA Gateway system. In advance of this, filers will be able to use FINRA Gateway to populate draft Initial and Update filings in the amended Form PF version beginning January 18, 2025. However, drafts of the amended Form PF cannot be submitted until the amended form becomes effective. For additional guidance on completing the amended Form PF, please review the SEC's website.

Filings can still be made using the previous Form PF version in Classic PFRD until the amended form becomes effective. Please note that any drafts in Classic PFRD that are not submitted prior to the effective date of the amended form will be deleted and must re-created in FINRA Gateway. Users should refer to the existing filing guidance when making submissions in Classic PFRD.

This quick reference guide demonstrates how to navigate to the amended Form PF in FINRA Gateway to create a draft filing and begin entering data. For firms that may upload Form PF as an XML file, the latest proposed XML schema is available online.

Questions regarding Form PF filing requirements or interpretive guidance should be directed to the SEC at 202-551-6999 or FormPF@sec.gov.

For assistance with system navigation or technical support, please contact FINRA at 240-386-4848 or PFRDSupport@finra.org.

Contents:

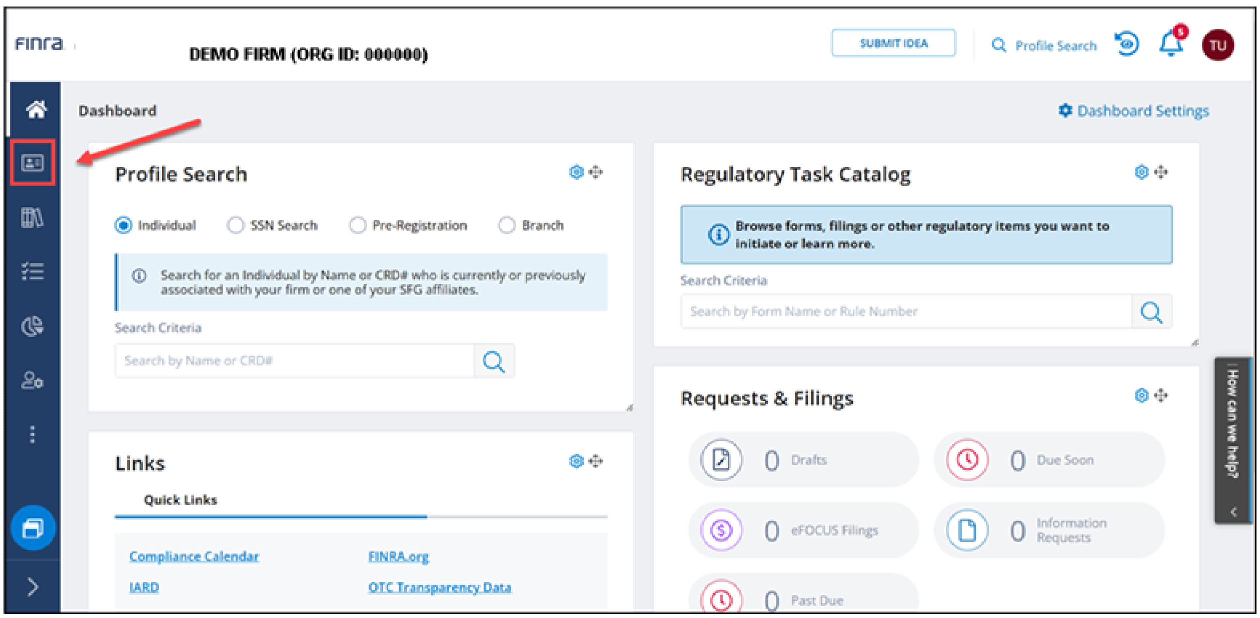
Logging in Through FINRA Gateway

Drafts of the amended Form PF will be created in the FINRA Gateway system. Users with entitlement to **PFRD-Form PF** and **IARD-View Organization** can access FINRA Gateway by:

1. Going to https://gateway.finra.org, and
2. Entering their existing IARD/PFRD user ID and password.

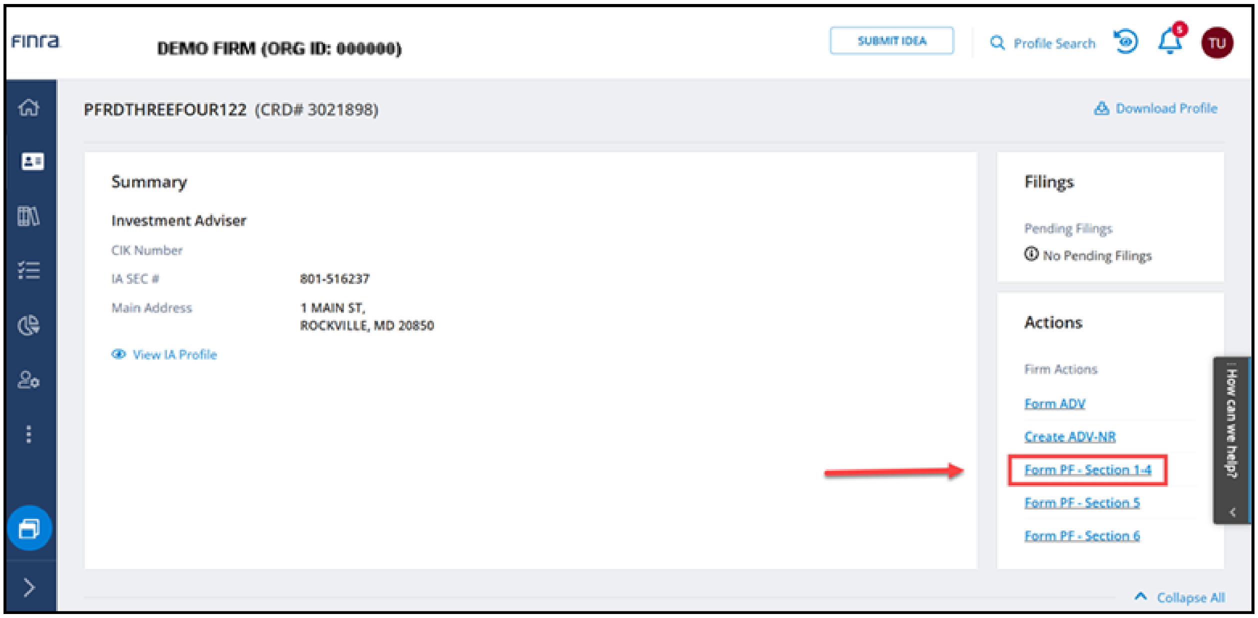
Note: Please contact the firm's Super Account Administrator (SAA) to verify current entitlement or to add necessary privileges.

After logging in, navigate to the firm's FINRA Gateway Profile using the tab on the left navigation panel.



Creating a Draft Form PF

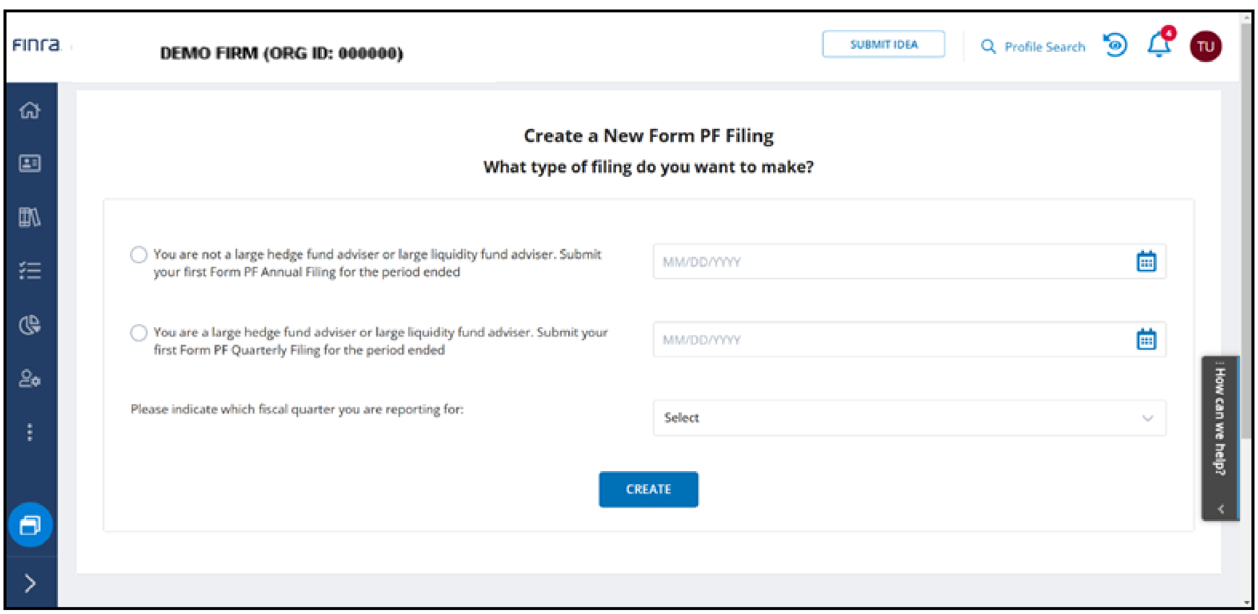
From the Profile, select the “Form PF Section 1-4” option in the Actions card to be taken to the “Create a New Form PF Filing” page.



Select the appropriate option for your organization to create a draft Initial or Update Form PF filing.

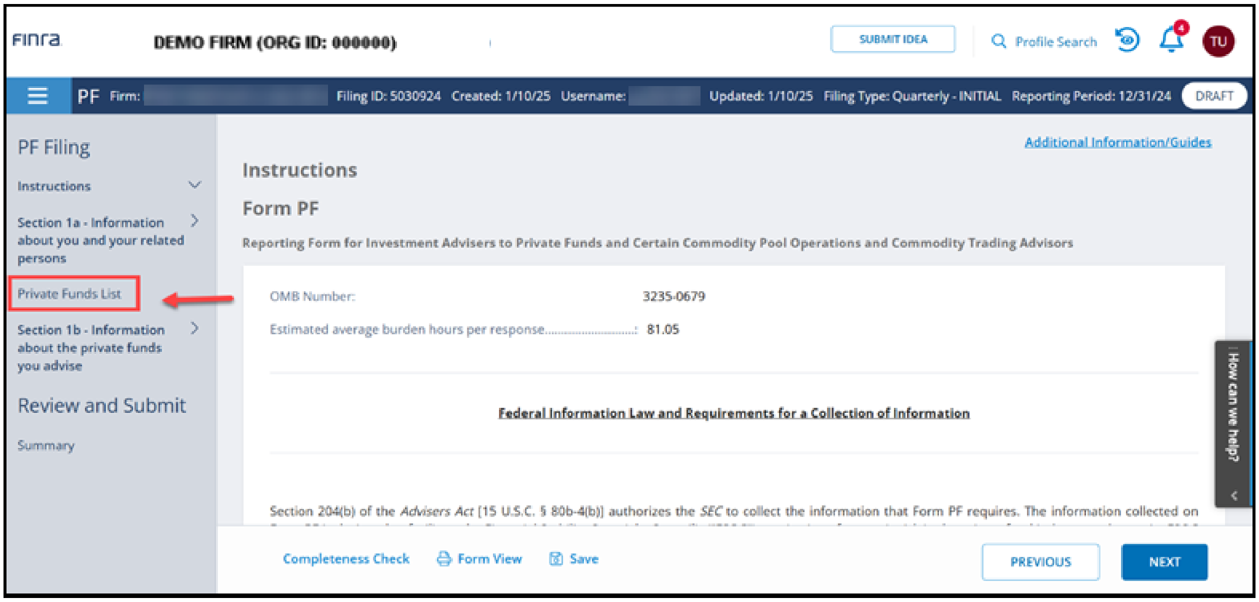
Note: At this time, the following filing types must still be submitted via the Classic PFRD system:

- Amendment
- Transition
- Final

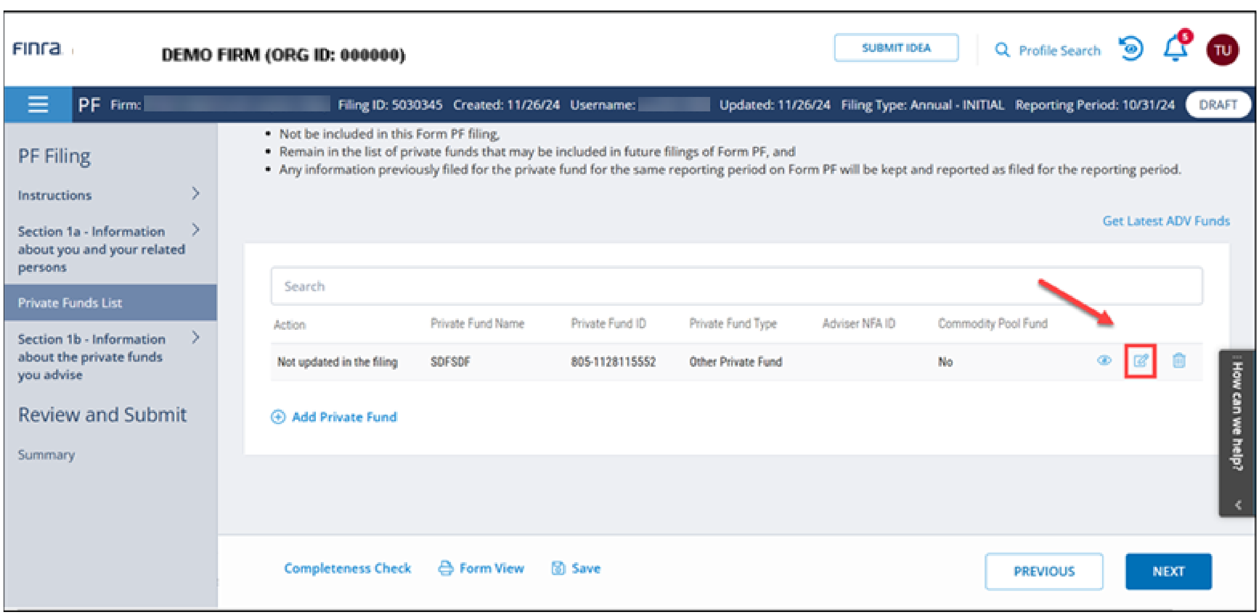


Entering Fund Information

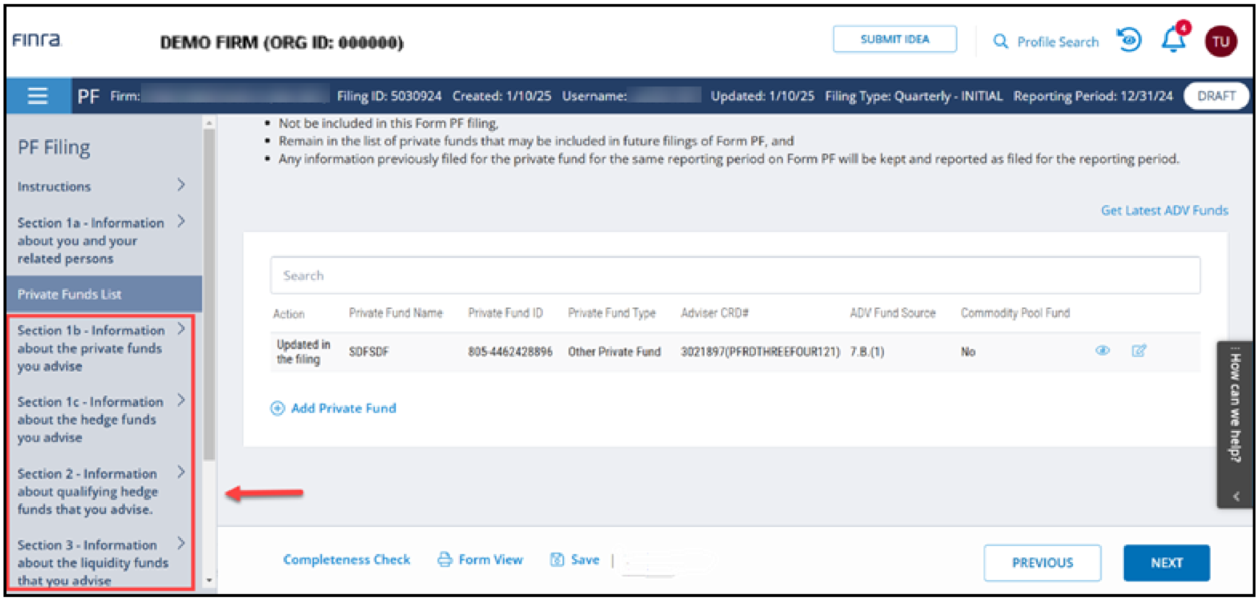
To begin entering data for one or more funds, navigate to the "Private Funds List"...



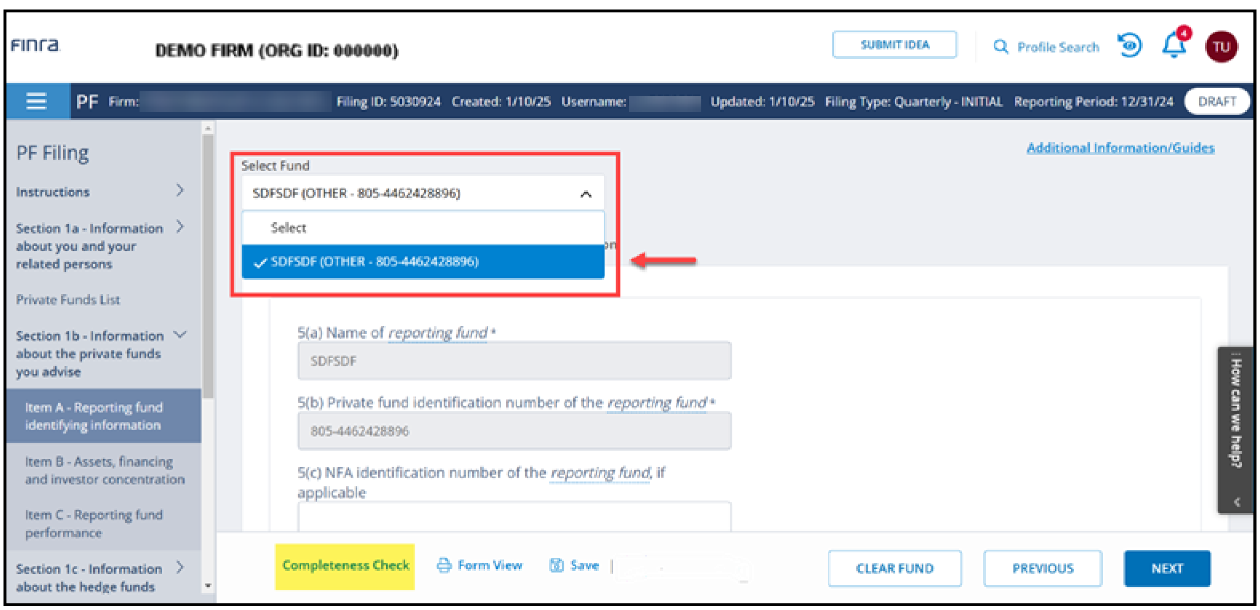
...and use the Edit icon to mark individual funds as "Updated in the filing" if you will be submitting data for those specific funds in this filing.



Once all applicable funds have been marked as “Updated in the filing”, the relevant sections of the form will appear on the left navigation panel. Select a specific Section and Item to begin entering data.



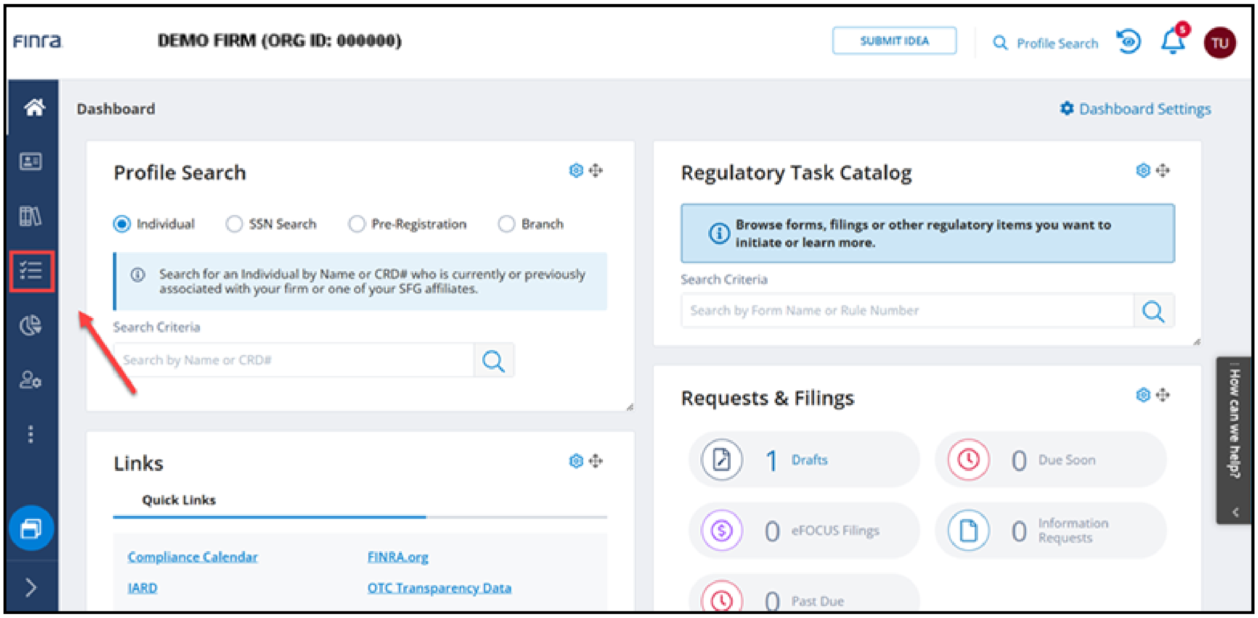
Within each Item of the form, use the dropdown at the top of the page to select the specific fund to enter data for. If the same fields should be completed for multiple funds, enter data for the first fund and then select the next fund from the dropdown menu to continue.



Tip: Use the “Completeness Check” feature to check the filing for any missing fields and resolve any displayed errors.

Resuming a Draft Form PF

From the FINRA Gateway Dashboard, navigate to the Requests & Filings section to retrieve drafts of the new version of Form PF.



Once viewing Requests & Filings, click on the desired draft filing link to re-open the draft and continue entering data.

As a reminder, data can only be entered and saved at this time. Submission of filings in the new version is not yet available.