

PFRD

Amended Form PF: Filing Online

2025 Form PF Revision

As a result of <u>SEC rule changes</u>, 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 <u>SEC's website</u>.

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 <u>existing filing quidance</u> 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 <u>available online</u>.

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 (pg. 2)
- <u>Creating a Draft Form PF</u> (pg. 3)
- Entering Fund Information (pg. 4)
- Resuming a Draft Form PF (pg. 6)

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.

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*	Dashboard	Dashboard Settings
	Profile Search 🔹 👳	Regulatory Task Catalog 💿 🔶
₿⁄/	Individual SSN Search Pre-Registration Branch	Browse forms, filings or other regulatory items you want to initiate or learn more.
細	Search for an Individual by Name or CRD# who is currently or previously associated with your firm or one of your SFG affiliates.	Search Criteria
()	Search Criteria	Search by Form Name or Rule Number
2 0	Search by Name or CRD# Q	Requests & Filings
:	Links 💿 💠	D Drafts O Due Soon
	Quick Links	
•	Compliance Calendar FINRA.org	U U Requests
>	IARD OTC Transparency Data	O Past Due

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.

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	Summary Investment Adviser CIK Number IA SEC #	801-516237		Filings Pending Filings O No Pending Filings
& % 	Main Address View IA Profile	1 MAIN ST, ROCKVILLE, MD 20850		Actions Firm Actions Form ADV Create ADV:N8 Form PF - Section 1-4 Form PF - Section 5 Form PF - Section 6
>				▲ Collapse All

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

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ଙ୍କ	Create a New	v Form PE Filing					
L I	What type of filing	do you want to make	?				
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₹≡	You are not a large hedge fund adviser or large liquidity fund adviser. Submit your first Form PF Annual Filing for the period ended	MM/DD/YYYY					
@	You are a large hedge fund adviser or large liquidity fund adviser. Submit your first Form PF Quarterly Filing for the period ended	MM/DD/YYYY			ė		
20	Please indicate which fiscal quarter you are reporting for-						: How ca
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Entering Fund Information

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

FINCA. DEMO	FIRM (ORG ID: 000000)	SUBMITIDEA Q Profile Search 🥘 📿 🕕
PF Firm:	Filing ID: 5030924 Created: 1/10/25 Username: Up	dated: 1/10/25 Filing Type: Quarterly - INITIAL Reporting Period: 12/31/24 DRAFT
PF Filing Instructions Section 1a - Information about you and your related persons Private Funds List Section 1b - Information about the Information about the Information	Instructions Form PF Reporting Form for Investment Advisers to Private Funds and Certain Comme OMB Number: 3235-0679 Estimated average burden hours per response	Additional Information/Guides
you advise Review and Submit Summary	Federal Information Law and Requir Section 204(b) of the <i>Advisers Act</i> [15 U.S.C. § 80b-4(b)] authorizes the <i>SEC</i>	ements for a Collection of Information
	Completeness Check 👌 Form View 🔞 Save	PREVIOUS

...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.

FINCA DEMO	O FIRM (ORG ID: 000000)	MIT IDEA Q Profile Search 🧐 🗳 🕕
E PF Firm:	Filing ID: 5030345 Created: 11/26/24 Username: Updated: 11/26/24 Filing T	ype: Annual - INITIAL Reporting Period: 10/31/24 DRAFT
PF Filing	 Not be included in this Form PF filing, Remain in the list of private funds that may be included in future filings of Form PF, and Any information previously filed for the private fund for the same reporting period on Form PF will be included. 	kept and reported as filed for the reporting period.
Section 1a - Information > about you and your related		Get Latest ADV Funds
persons	Search	
Private Funds List	Action Private Fund Name Private Fund ID Private Fund Type Adviser NFA	ID Commodity Pool Fund
Section 1b - Information > about the private funds	Not updated in the filing SDFSDF 805-1128115552 Other Private Fund	No @ 🗭 🗮
Review and Submit		ow can we he
Summary		12 <
	Completeness Check 👌 Form View 🔞 Save	PREVIOUS

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.

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E PF Firm:				Filing ID: 5030924	Created: 1/10/25	Username:	Updated: 1/10/25 Fi	ling Type: Quarterly	- INITIAL Reporting F	eriod: 1	12/31/24	DRAFT
PF Filing	>	ĺ	 Not be incl Remain in Any inform 	luded in this Form P the list of private fu nation previously fil	PF filing, nds that may be i ed for the private	ncluded in future fi fund for the same i	lings of Form PF, and reporting period on Form PF	will be kept and rej	ported as filed for the	reportir	ng period.	
Section 1a - Informatio	n >									Get	Latest ADV	Funds
related persons			Saarch									
Private Funds List			Search	Debate Cond House	Driveta Constal D	Delastic Freed Trace	14/10/0224	10115-010-000	Commendate David Frend			
Section 1b - Information	on ≻		Action	Private Puno Name	Private Fund IU	Private Fund Type	Adviser CRU#	ADV Fund Source	Commodity Pool Pund			
about the private fund you advise	ls		the filing	SDFSDF	805-4462428896	Other Private Fund	3021897(PFRDTHREEFOUR121) 7.8.(1)	No	۲	ď	Hov
Section 1c - Information about the hedge funds you advise	in > i		④ Add Priv	vate Fund								v can we help
Section 2 - Information about qualifying hedg funds that you advise.	•	+	_									? ~
Section 3 - Information about the liquidity fun that you advise	n > ds		Complete	eness Check 🛛 👌	Form View	Save			PREVIOUS		NEXT	

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.

FINCA. DEMO	FIRM (ORG ID: 000000)	SUBMITIDIA Q Profile Search 🧐 🧳 🕕
E PF Firm:	Filing ID: 5030924 Created: 1/10/25 Username: U	pdated: 1/10/25 Filing Type: Quarterly - INITIAL Reporting Period: 12/31/24 DRAFT
PF Filing Instructions	- Select Fund SDFSDF (OTHER - 805-4462428896)	Additional Information/Guides
Section 1a - Information > about you and your related persons Private Funds List	Select 50 SDFSDF (OTHER - 805-4462428896)	
Section 1b - Information \checkmark about the private funds you advise	5(a) Name of <u>reporting fund</u> *	How
Item A - Reporting fund identifying information	5(b) Private fund identification number of the <i>reporting fund</i> * 805-4462428896	can we hel
Item B - Assets, financing and investor concentration Item C - Reporting fund	5(c) NFA identification number of the <i>reporting fund</i> , if applicable	2 2
performance Section 1c - Information > about the hedge funds	Completeness Check 🖨 Form View 🔞 Save	CLEAR FUND PREVIOUS NEXT

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.

FINCA	DEMO FIRM (ORG ID: 000000)	SUBMITIDEA Q Profile Search 🐌 🗳 🕕
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1	Profile Search 🛛 🕲 🕀	Regulatory Task Catalog 💿 💠
₫⁄/	Individual SSN Search Pre-Registration Branch	Browse forms, filings or other regulatory items you want to initiate or learn more.
緸	Search for an Individual by Name or CRD# who is currently or previously associated with your firm or one of your SFG affiliates.	Search Criteria
٩	Search Criteria	Search by Form Name or Rule Number
20	Search by Name or CRD#	Requests & Filings
:	Links ® \oplus	D Drafts O Due Soon
	Quick Links	(S) O eFOCUS Filings (D) O Information Requests
>	IARD OTC Transparency Data	(S) O Past Due

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.

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