



# FINRA Gateway

## FIRM SETTINGS GUIDE

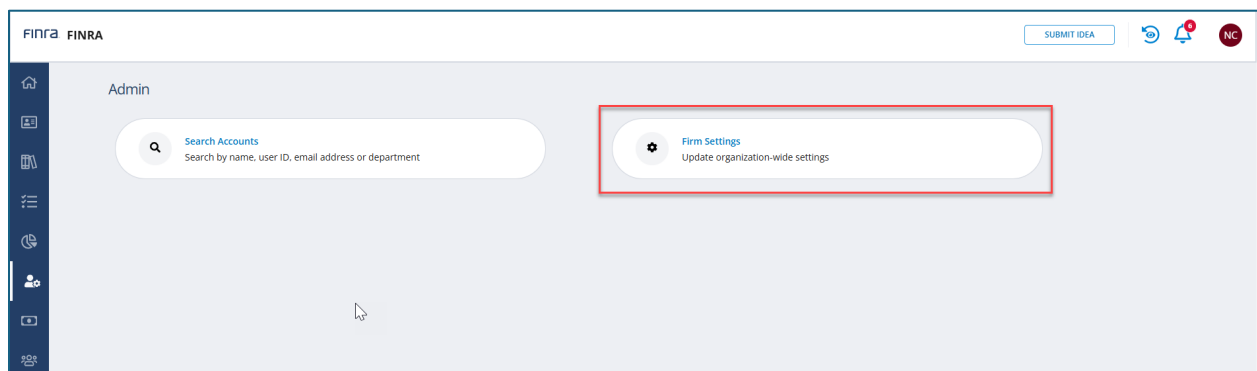
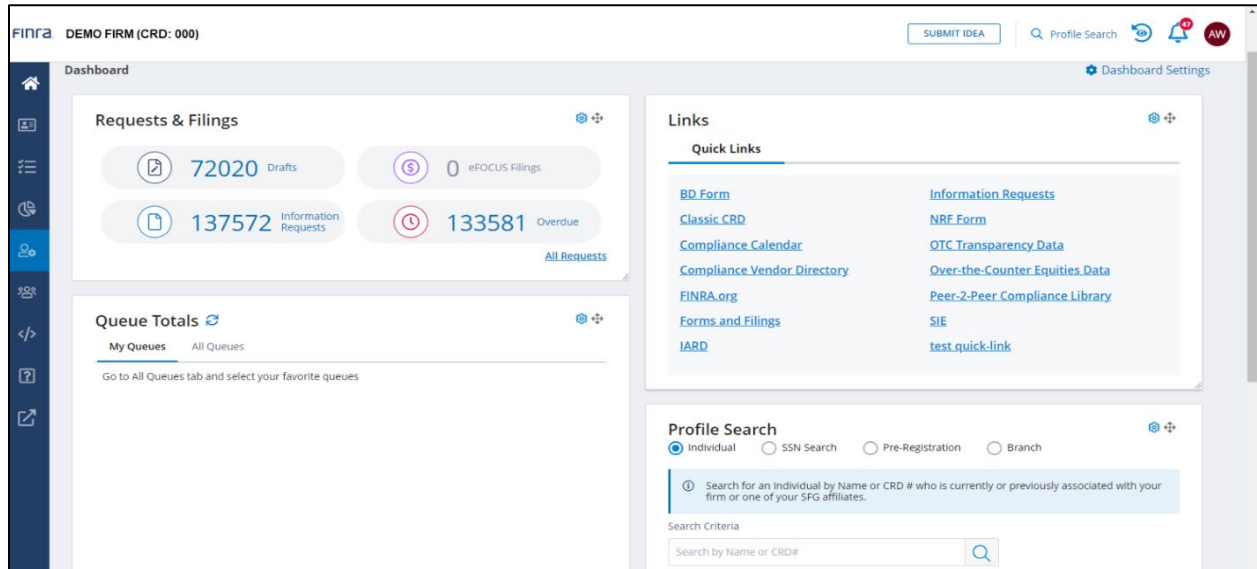
There are optional Financial Professional Gateway (FinPro Gateway™) features available to and controlled by firms through the Firm Setting screen in FINRA Gateway. Learn more about enabling and using these features in this guide.

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# Firm Settings

Entitled users will log in to FINRA Gateway, click on the **Admin** icon on the left-hand side, then select **Firm Settings**.



Within **Firm Settings**, users can enable the optional features by first choosing **Edit Settings**, selecting the appropriate **Employee and/or Contractor** checkboxes and clicking **Save**.

**FinPro Attestations** [View Change History](#) [Edit Settings](#)

Provides the capability to customize functionality such as enabling or disabling firm settings within the FINRA Gateway or Financial Professional Gateway (FinPro).

Attestations ⓘ Last Updated by automation automation on 01/05/2024  Employees  Contractors

**Continuing Education (CE) Notifications** [View Change History](#) [Edit Settings](#)

Provides the capability to set Firm CE due date and/or send email notifications to employees and contractors in various time increments.

**Reg Element CE Notification** ⓘ Last Updated by rampdi test on 05/05/2026  Opt-In

**Set Firm CE due date?** ⓘ

Yes  No

**Send CE due date reminder emails on the following date(s):** ⓘ

January 15  April 15  July 15  October 15  December 1  December 15

**Send CE status change emails on the following status:** ⓘ

CE Required  CE Inactive  CE 2 Year Termed  CE Satisfied

**Send a copy of the email to a firm contact?** ⓘ

Yes  No

Email: FirmContact@ABCfirm.com

**IAR CE Notifications** ⓘ Last Updated by rampdi test on 05/06/2026  Opt-In

**Set firm IAR CE due date** ⓘ

05/06/2026 ⓘ

**IAR CE due date reminder emails are sent on the following date(s)** ⓘ

August 30  September 30  November 30  December 15

**IAR CE status change emails are sent on the following statuses:** ⓘ

IARCE Inactive  IARCE FTR  IARCE Termed

**Send a copy of the email to a firm contact?** ⓘ

Yes  No

Email: FirmContact@ABCfirm.com

**FinPro Disclosure Review Notifications** [View Change History](#) [Edit Settings](#)

Sends notifications to associated persons when disclosure letters about those individuals are unresolved. Notifications do not include any information about the content of the unresolved letters.

**Disclosure Review Notifications** ⓘ Last Updated by automation automation on 03/17/2026  Opt-In

**Send notification after following no. of days:** ⓘ

30 days  15 days  10 days  7 days

**Add firm contact(s) to send a copy of the email.**

**NOTE:** In addition to sending copies of emails to the firm, email addresses entered here will appear as contact information on the associated FinPro task and notifications e-mail.

Email: FirmContact@ABCfirm.com

**U4 Settings** [View Change History](#) [Edit Settings](#)

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**Allow Rep Edit Notifications** Last Updated by automation automation on 03/17/2026  Opt-In

Send a copy of the email to a firm contact? [?](#)

Yes  No

Email: FirmContact@ABCfirm.com

---

**Form U4 Amendment Delivery to Associated Persons via FinPro Gateway** Last Updated by automation automation on 03/17/2026  Opt-In

Send a copy of the email to a firm contact? [?](#)

Yes  No

Email: FirmContact@ABCfirm.com

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**Allow FINRA E Signature and Firm Signatory Solution on U4 Filings** Last Updated by automation automation on 03/17/2026  Opt-In

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**Predispute Arbitration Information Delivery via FinPro Gateway (FINRA Member Firms Only)** Last Updated by rampdi test on 02/18/2026  Opt-In

Send a copy of the email to a firm contact? [?](#)

Yes  No

Email: FirmContact@ABCfirm.com

**US Settings** [View Change History](#) [Edit Settings](#)

---

**Initial and Amended Full Form U5 Delivery via FinPro Gateway** Last Updated by automation automation on 03/17/2026  Opt-In

Send a copy of the email to a firm contact? [?](#)

Yes  No

Email: FirmContact@ABCfirm.com

**IAR CE Reg Element/Product and Practices (PP) Fee** [View Change History](#) [Edit Settings](#)

Provides the capability for firms to opt in to pay \$18 per representative from their Flex Funding account for completed Regulatory Element, which may be applied to fulfill the 6 credits of the IAR CE Product and Practices (PP) requirement for dually registered representatives. Opting in may have an impact on the firm's Flex Funding account.

---

**IAR CE Product and Practices Fee** Last Updated by on 09/21/2023  Opt-In

**FLEX - Financial Learning Experience Notifications** [View Change History](#) [Edit Settings](#)

Provides the capability to send email notifications to users in various time increments.

---

**FLEX Notifications**  Opt-In

Send due date reminder emails on the following schedule:

2 weeks before  1 day before  past due

Send status change emails on the following status:

Course Assigned  Course Completed

**QUEST Notifications** [View Change History](#) [Edit Settings](#)

Settings to control the users who will receive QUEST notifications

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**QUEST Notifications** Last Updated by automation automation on 03/17/2026

Send a copy of the email to a firm contact? [?](#)

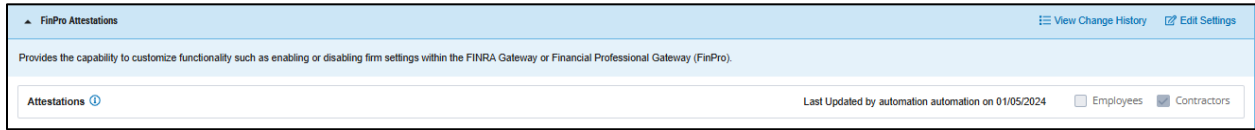
Yes  No

Email: FirmContact@ABCfirm.com

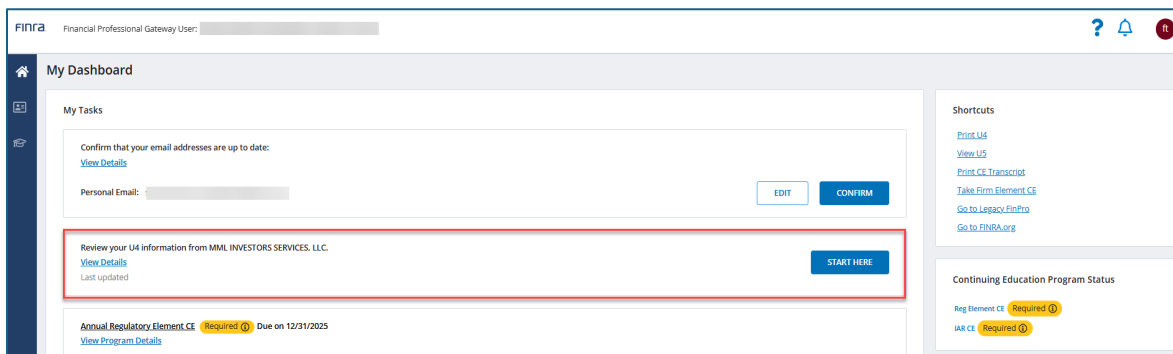
More information about using and managing each optional feature is provided in each of the dedicated sections below.

# Attestation

Enable or disable the registration information **Attestation** feature for associated employees and/or contractors. Note: To "re-run" attestation, firms must disable and then re-enable the Attestation firm setting.

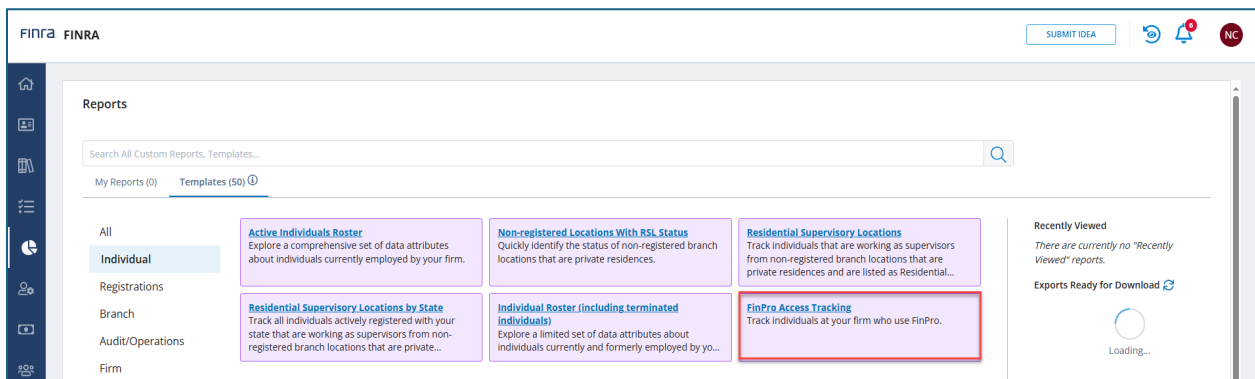


After the firm has enabled Attestation in FINRA Gateway, FinPro Gateway users will see a task to **Review your U4 information from your firm** displayed on their dashboard **My Tasks** list.



# Tracking Attestations

Firms can use the FinPro Access Tracking report template in FINRA Gateway Reports to track details about FinPro Gateway account activity for associated persons at the firm, including attestation information. Refer to the [Tracking FinPro Gateway Attestations page](#) for more information.



# Continuing Education (CE) Notifications

## Setting Firm CE Due Dates

Firms have the option to set an earlier internal completion deadline than Dec. 31 for registered individuals to complete their Regulatory Element and Investment Adviser Representative Continuing Education (IAR CE) courses. To do so, firms must select **Yes** then set the specific date in the **Set Firm CE due date** section. For IAR CE, firms must set the specific date in the **Set Firm IAR CE due date** section.

Continuing Education (CE) Notifications
View Change History Edit Settings

Provides the capability to set Firm CE due date and/or send email notifications to employees and contractors in various time increments.

---

**Reg Element CE Notification** Last Updated by rampdi test on 05/05/2026  Opt-In

**Set Firm CE due date?**

Yes  No

---

**Send CE due date reminder emails on the following date(s):**

January 15  April 15  July 15  October 15  December 1  December 15

**Send CE status change emails on the following status:**

CE Required  CE Inactive  CE 2 Year Termed  CE Satisfied

---

**Send a copy of the email to a firm contact?**

Yes  No

Email: FirmContact@ABCfirm.com

---

**IAR CE Notifications** Last Updated by rampdi test on 05/06/2026  Opt-In

**Set firm IAR CE due date**

05/06/2026

---

**IAR CE due dates reminder emails are sent on the following date(s):**

August 30  September 30  November 30  December 15

**IAR CE status change emails are sent on the following statuses:**

IARCE Inactive  IARCE FTR  IARCE Termed

---

**Send a copy of the email to a firm contact?**

Yes  No

Email: FirmContact@ABCfirm.com

Registered Individuals will see the internal firm CE due date displayed on their FinPro Gateway dashboard and Continuing Education page of their FinPro accounts.

FINRA Financial Professional Gateway User: [Redacted]

**Dashboard**

**My Tasks**

**Annual Regulatory Element CE** Required ⏴ **Due on 11/5/2025**

[View Program Details](#)

Complete your annual regulatory element continuing education courses to maintain the registrations that you hold.

2025 Assignments (5) Link

Amended Rules 1210 and 1240: CE Transformation	<a href="#">Launch CE</a>
Information Protection	<a href="#">Launch CE</a>
Information Protection II	<a href="#">Launch CE</a>

[Show 2 More Assignments](#) ▾

Both the internal firm CE due date and the program CE due date of Dec. 31 will display in the Regulatory Element and Investment Adviser Representative CE detail sections of the Continuing Education page.

**Investment Adviser Representative CE (IAR CE)**

0.0 out of 6.0 EPR credits complete | 0.0 out of 6.0 PP credits complete | **Incomplete**

Complete the annual IAR Continuing Education requirements with a [NASAA-approved provider](#) to maintain your IAR registration and eligibility for IAR EVER. The annual IAR CE requirement consists of 6 Ethics and Professional Responsibility credits and 6 Products and Practice credits. For more information and [FAQs](#), please visit the [NASAA website](#).

**Firm CE Due Date** 05/21/2026  
**Program Due Date** 12/31/2026

[VIEW PROGRAM DETAILS](#)

2026 Courses	Course Provider	Course ID	Completion Date	# of credits	Credit Type
No courses to display					

## Sending CE Due Date Reminder Emails

Firms have the option to send CE due date reminder emails for Reg Element CE coursework. They can choose one or more of the following options: January 15, April 15, July 15, October 15, December 1, December 15. Reminder email dates for Investment Adviser Representative CE coursework are preset and cannot be changed.

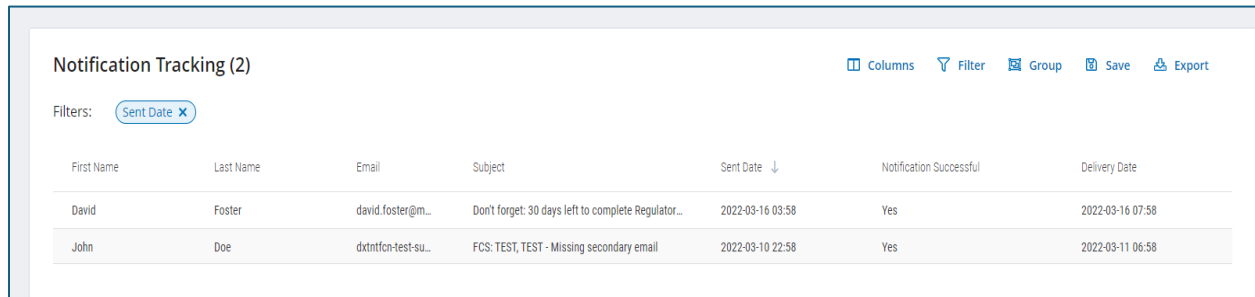
If firms have specified an internal firm CE due date, both the firm CE due date and the program due date of Dec. 31 will be included in the reminder emails.

Additionally, firms have the option to send a copy of the CE due date reminder email to a firm contact. To do so, they need to select **Yes** and provide the firm contact email address(es) in the **Send a copy of the email to a firm contact** section.

Firms should note the auto-generated CE emails are supported by [FINRA's modernized system notification functionality](#).

## Tracking CE Notifications

Firms can track CE notifications with the Notifications Tracking Report in FINRA Gateway. The report includes many data points requested by firms, including email addresses, email subject, date sent, and the date an email was opened. Learn more about FINRA Gateway Reports on the [Tracking CE Obligations](#) page.



First Name	Last Name	Email	Subject	Sent Date ↓	Notification Successful	Delivery Date
David	Foster	david.foster@m...	Don't forget: 30 days left to complete Regulator...	2022-03-16 03:58	Yes	2022-03-16 07:58
John	Doe	dxtntfon-test-su...	FCS: TEST, TEST - Missing secondary email	2022-03-10 22:58	Yes	2022-03-11 06:58

## Disclosure Review Notifications

Disclosure Review Notifications is an optional feature that allows firms to alert associated persons that they have an outstanding Disclosure Letter and to contact the firm to resolve the matter.



FinPro Disclosure Review Notifications

Provides the capability to determine the timing of the disclosure review letter notification for the employees and contractors. If no selection is made, notification is sent after 30 days.

View Change History | Edit Settings

Last Updated by Jane Doe on 11/25/2025 | Opt-In

Send notification after following no. of days:

30 days
  15 days
  10 days
  7 days

Add firm contact(s) to send a copy of the email:

Email: FirmContact@ABCFirm.com

Firms have the option to send Disclosure Letter reminder emails. They can choose one or more of the following options: 30 days, 15 days, 10 days, 7 days.

Additionally, firms have the option to send a copy of the email notification to a firm contact. This firm contact email address will also appear on the FinPro task for the associated person so they know who to contact at the firm. To do so, firms need to select **Yes** and provide the firm contact email address(es) in the **Send a copy of the email to a firm contact** section.

FinPro users will see the Disclosure Letter task displayed on their FinPro Gateway dashboard with the firm contact email information, when they click on **view firm contacts**.

FINRA FinPro Gateway™ User: John Doe (CRD# 123456)

**My Dashboard**

**My Tasks**

A disclosure letter was received by ABC FINANCIAL SERVICES INC. on 11/26/2025.  
[View Details](#) **VIEW FIRM CONTACTS**

The task status will remain unchanged until your firm has completed its review of the disclosure letter.

**Firm Assigned CE (FLEX) Required**  
[View Program Details](#) **GO TO MY PLAN**

FINRA member firms must maintain continuing education programs for registered persons to enhance their securities knowledge, skills, and professionalism. Registered persons must participate as required.

**Continuing Education Program Status**

Reg Element CE **Satisfied**  
Firm Assigned CE (FLEX) **Required**  
IAR CE **Satisfied**

**Shortcuts**

[Print U4](#)  
[View U4](#)  
[Go to FINRA.org](#)

## E-Signature

FINRA's E-Signature functionality is an optional feature that allows firms to collect electronic signatures on Form U4 filings from associated persons. The E-Signature functionality will only be available for Form U4 filings created after the feature has been enabled. It cannot be used for filings that were initiated or submitted before the feature is enabled.

Firm users can request e-signatures regardless of whether or not a signature is required pursuant to [FINRA Rule 1010](#). This provides firms the flexibility to determine when collecting electronic signatures using FINRA's capability is appropriate and desirable—even when signatures are not required by rule. This also supports scenarios where a firm opts to collect a required signature using an alternative method (e.g., manual signature, an alternative e-signature tool) and where the firm is not able to obtain a signature or written acknowledgement (see [FINRA Rule 1010](#), Supplementary Material .03).

The system will not prevent a firm user from sending a filing to an associated person that doesn't have a FinPro Gateway account. Firms should confirm if an individual has a FinPro Gateway account before sending a filing to FinPro Gateway. FinPro Gateway usage information is available in FINRA Gateway at the top of each individual's profile and in the [FinPro Gateway Access Tracking](#) report. Please have associated persons visit the [Creating a FinPro Gateway Account Guide \(PDF\)](#) for assistance with creating, retrieving and logging in with their credentials.

## Sending a Form U4 to the Associated Person for E-Signature

As a best practice, the firm user responsible for processing the Form U4 filing should ensure that the filing is final prior to sending it to the associated person to sign. When a Form U4 filing is ready to be signed, a firm user can send the filing to the associated person to electronically sign via FinPro Gateway by clicking the **Send to Rep for E-Signature** button and **Confirm** that the filing is complete.

Firms should consider how they will communicate with the associated person while collaborating on the Form U4 filing. Note, for firms that opt in to Predispute Arbitration Information Delivery via FinPro Gateway, FINRA will send an email notification to the individual at the time the signature is requested. Additional auto-generated email notifications will be developed in the future.

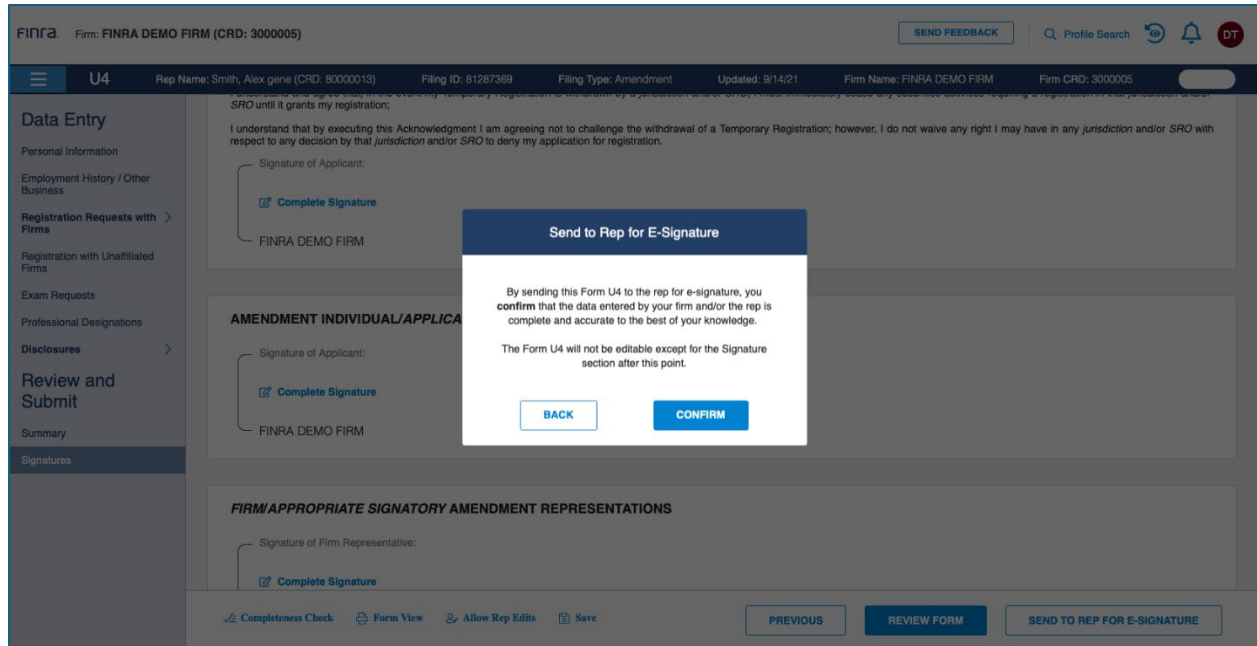
**Note:** If the firm needs to edit the form, the E-Signature process will stop and signatures already completed will be deleted (see the [Re-Editing the Form](#) section of this guide). This is done to ensure that the associated person signs the final version of the filing.

The screenshot displays the FINRA U4 filing interface for a firm named "FINRA DEMO FIRM (CRD: 3000005)". The interface includes a top navigation bar with a "SEND FEEDBACK" button, a search bar for "Profile Search", and notification icons. Below this is a header bar showing the filing details: "U4", "Rep Name: Smith, Alex gene (CRD: 80000013)", "Filing ID: 81287369", "Filing Type: Amendment", "Updated: 9/14/21", "Firm Name: FINRA DEMO FIRM", and "Firm CRD: 3000005".

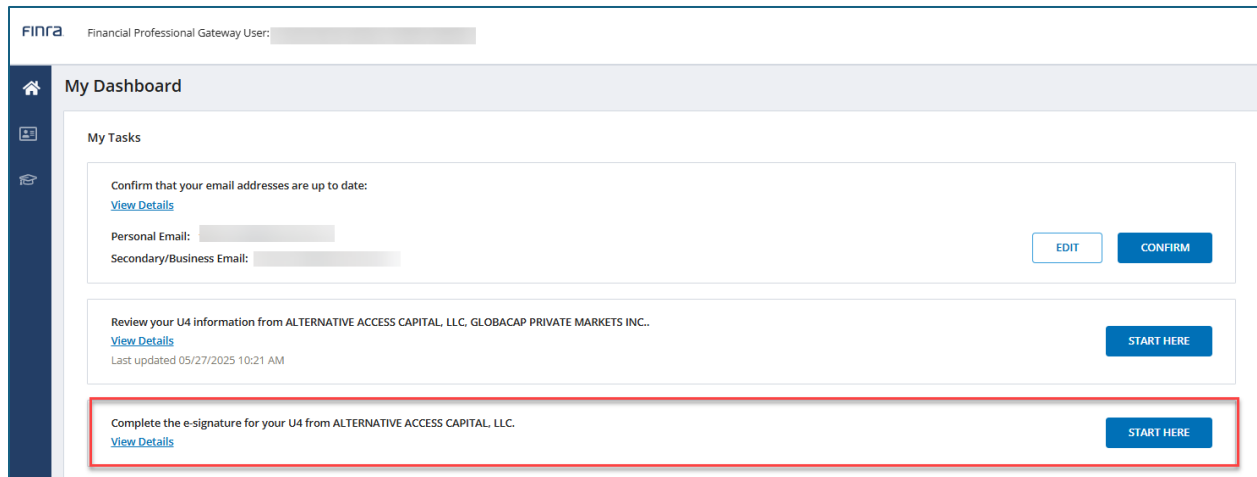
The main content area is divided into three sections, each with a signature line and a "Complete Signature" button:

- Data Entry**: The first section contains a statement: "I understand that by executing this Acknowledgment I am agreeing not to challenge the withdrawal of a Temporary Registration; however, I do not waive any right I may have in any jurisdiction and/or SRO with respect to any decision by that jurisdiction and/or SRO to deny my application for registration." Below this is a signature line for "Signature of Applicant:" and a "Complete Signature" button.
- AMENDMENT INDIVIDUAL/APPLICANT'S ACKNOWLEDGEMENT AND CONSENT**: The second section contains a signature line for "Signature of Applicant:" and a "Complete Signature" button.
- FIRM APPROPRIATE SIGNATORY AMENDMENT REPRESENTATIONS**: The third section contains a signature line for "Signature of Firm Representative:" and a "Complete Signature" button.

At the bottom of the interface, there are several utility buttons: "Completeness Check", "Form View", "Allow Rep Edits", "Save", "PREVIOUS", "REVIEW FORM", and "SEND TO REP FOR E-SIGNATURE".

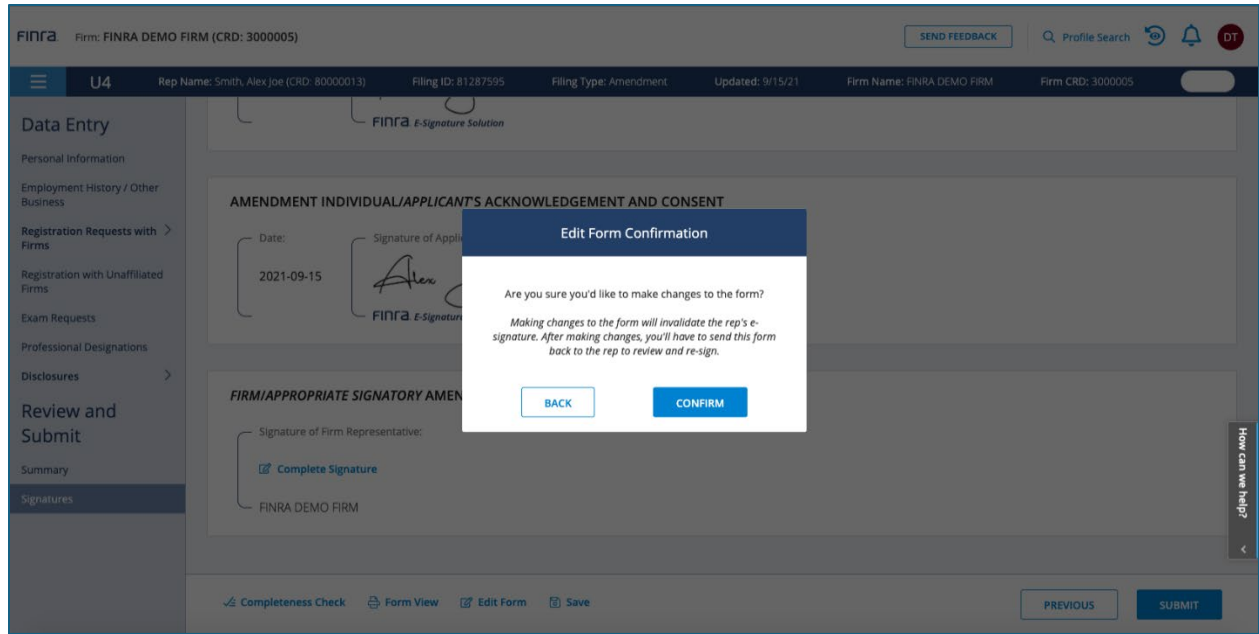


After clicking **Confirm**, the Form U4 will become available in FinPro Gateway for the associated person to sign electronically. See the E-Signature section of the [Completing Form U4 in FinPro Gateway Guide \(PDF\)](#) for more information about the FinPro Gateway E-Signature process.



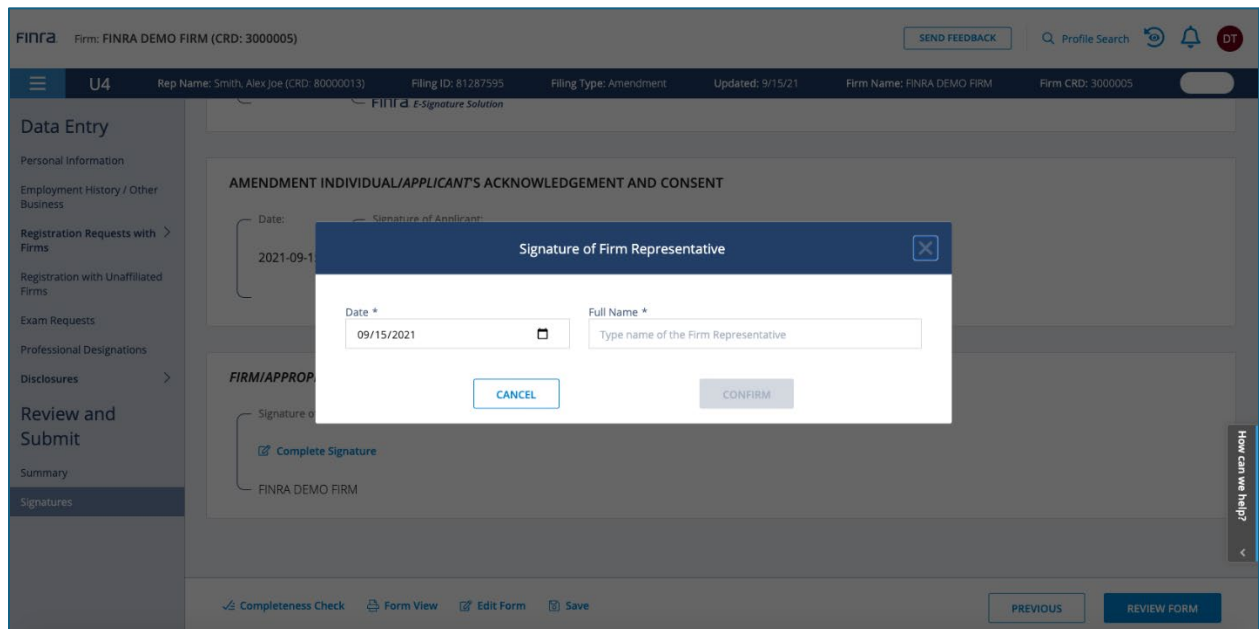
## Re-Editing the Form

The firm user has the sole ability to stop the E-Signature process at any point so they can edit the filing. Doing so will delete all completed signatures. If a firm user does this before the signature is completed by the associated person, it will remove the ability for the associated person to electronically sign the filing, and the form must be re-sent to the associated person for signature.



## Submitting the Filing

The firm user must complete the signature block for the firm signatory prior to submitting the filing. The firm user can do this by clicking on the **Complete Signature** link on the **Signatures** screen from the **Data Entry View** of the filing.



Once the Firm Signatory signature block is completed, the firm user must review the statutory form (**Form View**) by clicking **Review Form** prior to submitting the filing.

The system captures and displays the user ID of the firm user who completed the firm signatory's signature block. FINRA does not currently support any workflow to track and audit a review workflow with a firm signatory, assuming the firm signatory is not the same person who completes the firm signatory's signature block.

The screenshot displays the FINRA Form U4 filing interface. The top navigation bar includes the FINRA logo, the firm name "FINRA DEMO FIRM (CRD: 3000005)", and utility buttons like "SEND FEEDBACK", "Profile Search", and "DT". Below this, a header bar shows the form type "U4" and key details: "Rep Name: Smith, Alex Joe (CRD: 80000013)", "Filing ID: 81287595", "Filing Type: Amendment", "Updated: 9/15/21", "Firm Name: FINRA DEMO FIRM", and "Firm CRD: 3000005".

The main content area is divided into two sections:

- AMENDMENT INDIVIDUAL/APPLICANT'S ACKNOWLEDGEMENT AND CONSENT:** This section shows a signature block for the applicant. The date is "2021-09-15" and the signature is "Alex Joe Smith". The signature is generated using the "FINRA E-Signature Solution".
- FIRM/APPROPRIATE SIGNATORY AMENDMENT REPRESENTATIONS:** This section shows a signature block for the firm representative. The date is "2021-09-15" and the signature is "Lloyd Webber". Below the signature, the text "demo3000005 (FINRA DEMO FIRM)" is displayed with a "Delete" link.

At the bottom of the interface, there are utility buttons: "Completeness Check", "Form View", "Edit Form", and "Save". On the right side, there are "PREVIOUS" and "REVIEW FORM" buttons. A vertical "How can we help?" button is also visible on the right edge.

After reviewing the **Form View** of the Form U4 filing, the firm user can return to the **Data Entry View** to submit the filing by clicking on the **Back to Data Entry** button.

FINRA Firm: FINRA DEMO FIRM (CRD: 3000005) SEND FEEDBACK Profile Search DT

**U4** Rep Name: Smith, Alex Joe (CRD: 8000013) Filing ID: 81287595 Filing Type: Amendment Updated: 9/15/21 Firm Name: FINRA DEMO FIRM Firm CRD: 3000005

**Form View**

**FORM U4**  
UNIFORM APPLICATION FOR SECURITIES INDUSTRY REGISTRATION OR TRANSFER

Firm Name	Firm CRD#	Version	
FINRA DEMO FIRM	3000005	Rev. Form U4 - 05/2009	

Individual Name	Individual CRD #	Type of Filing	Filing ID
Smith, Alex	80000013	U4 Amendment	81287595

**1. General Information**

First Name	Middle Name	Last Name	Suffix
Alex	Joe	Smith	
Firm CRD#	Firm Name	Employment Date (MM/DD/YYYY)	
3000005	FINRA DEMO FIRM	08/03/2015	
Firm Billing Code	Individual CRD #	Social Security Number (SSN)	
34560	80000013	XXX-XX-XXXX <a href="#">View Social Security Number (SSN)</a>	

Do you have an independent contractor relationship with the above named firm? \*

Compare With Previous Filing [Print Form](#) BACK TO DATA ENTRY


Click **Submit** to formally submit the filing to the appropriate regulator(s) for review.

FINRA Firm: FINRA DEMO FIRM (CRD: 3000005) SEND FEEDBACK Profile Search DT

**U4** Rep Name: Smith, Alex Joe (CRD: 8000013) Filing ID: 81287595 Filing Type: Amendment Updated: 9/15/21 Firm Name: FINRA DEMO FIRM Firm CRD: 3000005

**Data Entry**

**AMENDMENT INDIVIDUAL/APPLICANT'S ACKNOWLEDGEMENT AND CONSENT**

Date: 2021-09-15 Signature of Applicant:  FINRA E-Signature Solution

**FIRM/APPROPRIATE SIGNATORY AMENDMENT REPRESENTATIONS**

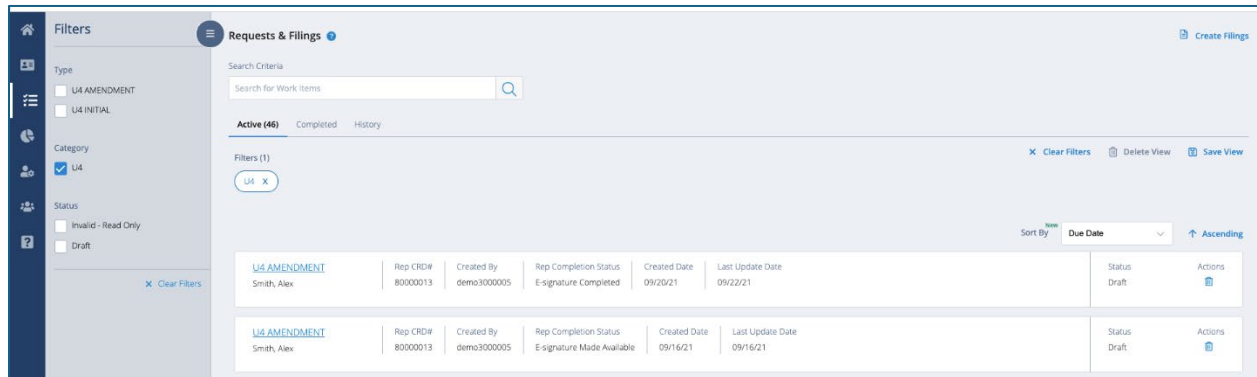
Date: 2021-09-15 Signature of Firm Representative: Lloyd Webber  
demo3000005 (FINRA DEMO FIRM) [Delete](#)

[Completeness Check](#) [Form View](#) [Edit Form](#) [Save](#) PREVIOUS SUBMIT

## Tracking Pending Associated Persons' Signatures

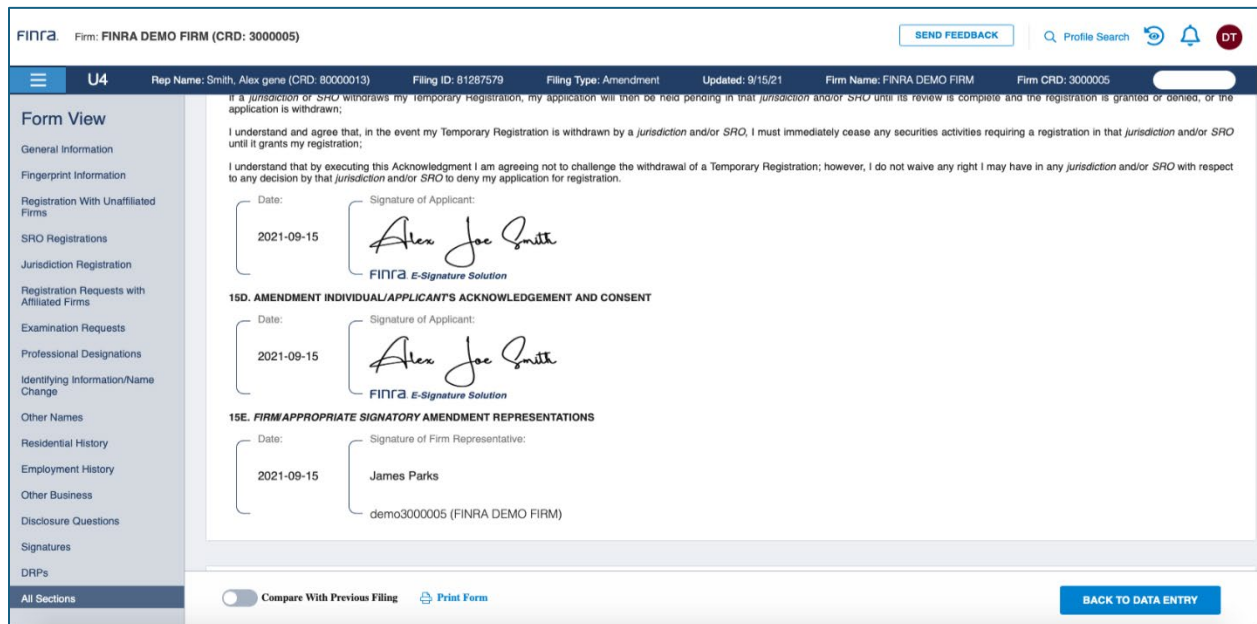
Form U4 filing status, including e-signature steps, can be tracked via FINRA Gateway's Requests & Filings feature. The filing's **Rep Completion Status** will be updated to **E-Signature Made Available**

while the e-signature is pending. When the associated person completes and submits their e-signature, the filing's **Rep Completion Status** will change to **E-Signature Completed**.



## Accessing a Signed Submitted Filing

When the filing has been signed and submitted, the signed filing can be accessed by firm users via FINRA Gateway's Requests & Filings feature. The signed filing can be printed (as a hardcopy or PDF file) from the **Form View** so it can be retained by the firm (required).



## Reviewing the Audit Trail

Entitled firm users will have access to an E-Signature Rep Tracking report through [FINRA Gateway Reports](#). The report:

- includes the audit trail of E-Signature workflows if necessary to prove the authenticity of electronic signatures captured using this new capability,
- helps firms monitor and test procedures related to capturing signatures from their associated persons, and
- helps firms understand E-Signature processes relative to any SLA targets the firm has established.

FINRA Firm: ABC FIRM LLC (CRD: 123123) SEND FEEDBACK Profile Search MM

[Home](#) [Profiles](#) [Requests](#) [Reports](#) [Support](#)

[Back](#)

**E-Sign Rep Tracking** Columns Save Export

Filters: [First Name](#) + [Add Filter](#)

Groups: [Add Group](#)

Filing ID ↓	Individual CRD#	First Name	Last Name	Form Type	Signature/ Acknowledgement Required	Event	Event Time
5000010	<a href="#">123456</a>	Robert	Ricketts	U4	Yes	E-sign Made Available	2/18/2021 - 3:10 PM (ET)
5000010	<a href="#">123456</a>	Robert	Ricketts	U4	Yes	Rep E-signed	2/20/2021 - 12:00 PM (ET)
5000010	<a href="#">123456</a>	Robert	Ricketts	U4	Yes	Form Submitted	2/24/2021 - 5:30 PM (ET)
5000009	<a href="#">234567</a>	Tim	Purdy	U4	Yes	E-sign Made Available	2/18/2021 - 3:30 PM (ET)
5000008	<a href="#">345678</a>	Sam	Renninger	U4	Yes	E-sign Made Available	2/21/2021 - 9:30 AM (ET)
5000008	<a href="#">345678</a>	Sam	Renninger	U4	Yes	Rep E-signed	2/22/2021 - 12:15 PM (ET)
5000007	<a href="#">456789</a>	Sarah	Vatterott	U4	Yes	E-sign Made Available	2/24/2021 - 10:25 AM (ET)
5000007	<a href="#">456789</a>	Sarah	Vatterott	U4	Yes	Rep E-signed	2/27/2021 - 4:40 PM (ET)
5000007	<a href="#">456789</a>	Sarah	Vatterott	U4	Yes	Form Submitted	2/27/2021 - 5:10 PM (ET)
5000006	<a href="#">567890</a>	Jay	Shles	U4	Yes	E-sign Made Available	2/26/2021 - 1:30 PM (ET)
5000006	<a href="#">567890</a>	Jay	Shles	U4	Yes	Rep E-signed	2/26/2021 - 2:55 PM (ET)
5000005	<a href="#">678901</a>	Bob	Janson	U4	No	E-sign Made Available	2/18/2021 - 10:10 AM (ET)

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## U4 Settings

### Predispute Arbitration Information Delivery via FinPro Gateway (FINRA Member Firms Only)

This option is only visible and available to firms with an active FINRA registration.

FINRA members may opt in to use FinPro Gateway to provide predispute arbitration information to associated persons pursuant to [FINRA Rule 2263](#), when they are asked to electronically sign a Form U4 filing in FinPro Gateway using FINRA's E-Signature functionality. As such, firms must opt in to

FINRA's E-Signature functionality in order to use this function. To rely on this function, firms must satisfy the conditions set forth in [Regulatory Notice 25-09](#).

FINRA will automatically send email notifications to associated persons who have a FinPro Gateway account, if the firm has opted in to this function, when the firm requests an E-Signature.

Note: The predispute arbitration information will not be provided to associated persons who only have, or are only seeking, IA registration(s).

Additionally, firms have the option to send a copy of the notification email to a firm contact. To do so, they need to select **Yes** and provide the firm contact email address(es) in the **Would you like to send a copy of the email to a firm contact** section.

## Form U4 Amendment Delivery to Associated Persons via FinPro Gateway

Opt in to use FinPro Gateway to provide Form U4 amendments to associated persons pursuant to [FINRA Rule 1010\(c\)](#). FINRA will automatically send email notifications to those associated persons who have a FinPro Gateway account when a Form U4 amendment is filed to their CRD record. The emails that are sent to associated persons will include a deep link that will drop the user directly on the filing event history screen of the FinPro Gateway. Additionally, individuals will be able to view a redlined version of filings so they can quickly identify the changes that were made. See the [Viewing Form Filing Event History in FinPro Gateway Guide \(PDF\)](#) for more information.

To rely on this function, you must satisfy the conditions set forth in [Regulatory Notice 25-09](#).

Additionally, firms have the option to send a copy of the notification email to a firm contact. To do so, they need to select **Yes** and provide the firm contact email address(es) in the **Would you like to send a copy of the email to a firm contact** section.

## U5 Settings

### Initial and Amended Full Form U5 Delivery via FinPro Gateway

Opt in to use FinPro Gateway to provide initial and amended full Form U5 filings to associated persons pursuant to [Article V, Section 3 of FINRA's By-Laws](#). FINRA will automatically send an email notification to associated persons who have a FinPro Gateway account when an initial or amended full Form U5 is filed to their CRD record. To rely on this function, you must satisfy the conditions set forth in [Regulatory Notice 25-09](#).

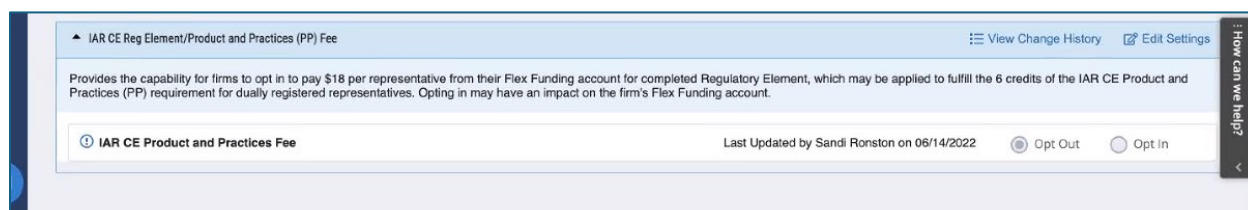
See the [Viewing Form Filing Event History in FinPro Gateway Guide \(PDF\)](#) for more information about how an individual can access and view Form U5 filings.

# IAR CE Reporting Fee for Regulatory Element

## Applying CE Regulatory Element to IAR CE

The IAR CE Reg Element/Products and Practice (PP) Fee firm setting allows broker-dealer firms to pay the \$18 reporting fee to apply Regulatory Element to the IAR CE requirement from the Flex-Funding Account each time Regulatory Element is completed. Firms can opt in to pay the fee for all individuals registered with that broker-dealer who have an IAR CE requirement.

### Learn more about IAR CE



If a firm does not opt in, each eligible individual would be responsible to choose between the following options to satisfy the six credits of Products and Practice CE:

- use [FinPro Gateway](#) to pay the fee themselves to apply the Regulatory Element to this part of their IAR CE requirement, or
- take six credits of Products and Practice CE with another [course provider](#). The course provider will submit the course completions to FINRA.

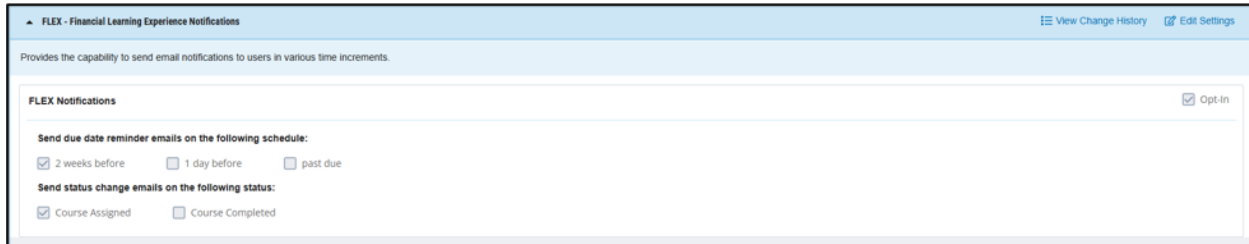
## Additional Considerations

Firms should be aware of the following before deciding to use this feature:

- This functionality is not available to investment adviser-only firms.
- This is an all-or-none functionality. There is no ability to select to pay for only certain individuals. **If the firm does not want to pay the \$18 fee for all in-scope individuals, the firm should not opt in.**
- The IAR CE Products and Practice requirement may be imposed due to an IAR registration that an individual holds with your firm, an affiliate firm, an unaffiliated firm, and even if the individual was previously IAR-registered in a state with the IAR CE requirement.
- Individuals who completed Regulatory Element at another firm prior to becoming registered with the firm opting in must pay through FinPro Gateway if they wish to apply the credits for the current year.

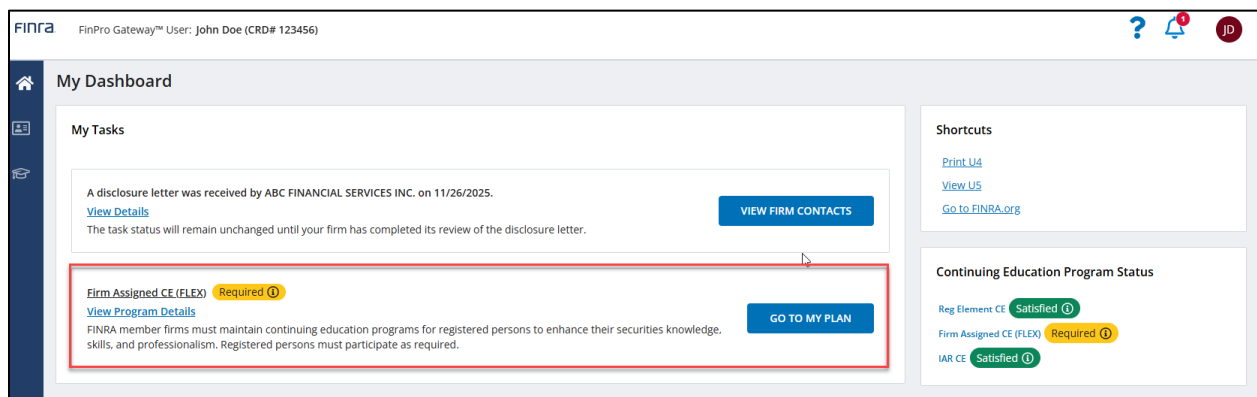
# FLEX – Financial Learning Experience Notifications

FLEX Notifications are an optional feature that allows firms who have elected to leverage the FLEX platform to alert associated persons that they have firm assigned continuing education.



Firms have the option to send assignment and due date reminder emails. They can choose one or more of the following due date reminder options: 2 weeks before, 1 day before, past due. They can also choose notifications be sent when a course is assigned, completed, or both.

FinPro users will see the FLEX firm assigned CE task displayed on their FinPro Gateway dashboard.



The details of the assigned CE will display on the CE page.

# Quest Notifications

The SAA can choose to send a copy of the notification they receive to additional firm contacts.

