

# FINRA Gateway

## FIRM SETTINGS

There are optional Financial Professional Gateway (FinPro) features available to and controlled by firms through a FINRA Gateway tool called Firm Settings within the Admin section of the platform. Learn more about enabling and using these features in this guide.

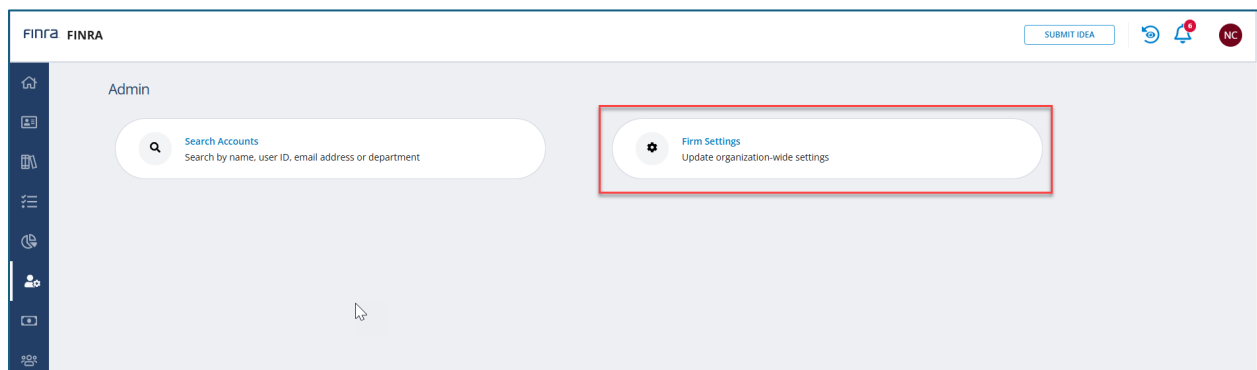
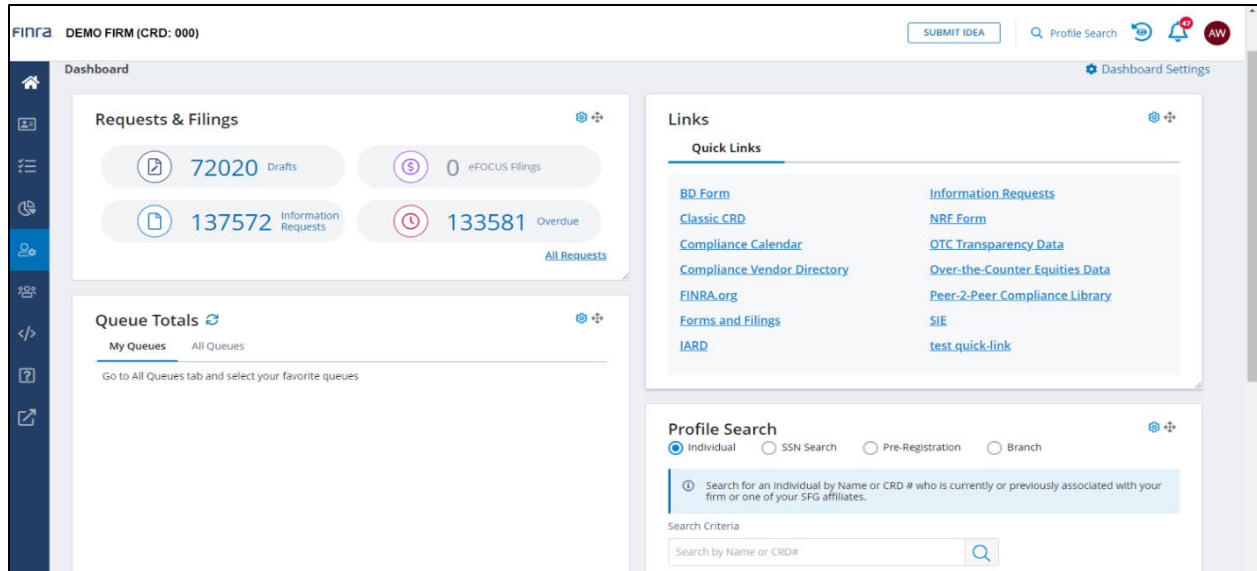


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## Firm Settings

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**.

Firm Settings

FinPro Attestations

View Change History

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

Attestations

☐ Employees
 ☐ Contractors

Continuing Education (CE) Notifications

View Change History

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

CE Notifications

Last Updated by System Update on 01/02/2025

☒ Employees and Contractors

Set Firm CE due date?

☒ Yes
 ☐ No

09/30/2025

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

Would you like to send a copy of the email to a firm contact?

☒ Yes
 ☐ No

Email:

E-Signature

View Change History

Provides the capability to enable or disable the E-Signature on U4 Filings.

Allow FINRA E-Signature and Firm Signatory Solution on U4 Filings.

Last Updated by on 10/05/2022

☒ Employees and Contractors

IAR CE Reg Element/Product and Practices (PP) Fee

View Change History

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 07/22/2022

☐ Opt Out
 ☒ Opt In

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

# Attestation

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

FINRA

Financial Professional Gateway User:

?

ft

My Dashboard

My Tasks

Confirm that your email addresses are up to date:

View Details

Personal Email:

EDIT

CONFIRM

Review your U4 information from MML INVESTORS SERVICES, LLC.

View Details

Last updated

START HERE

Annual Regulatory Element CE

Required

Due on 12/31/2025

View Program Details

Shortcuts

[Print U4](#)
[View U4](#)
[Print CE Transcript](#)
[Take Firm Element CE](#)
[Go to Legacy FinPro](#)
[Go to FINRA.org](#)

Continuing Education Program Status

Reg Element CE

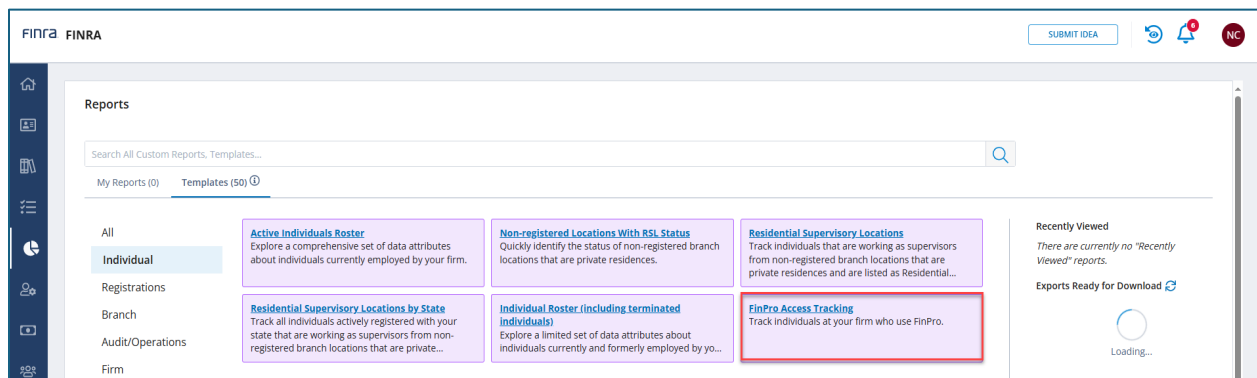
Required

U4 CE

Required

## Tracking Attestations

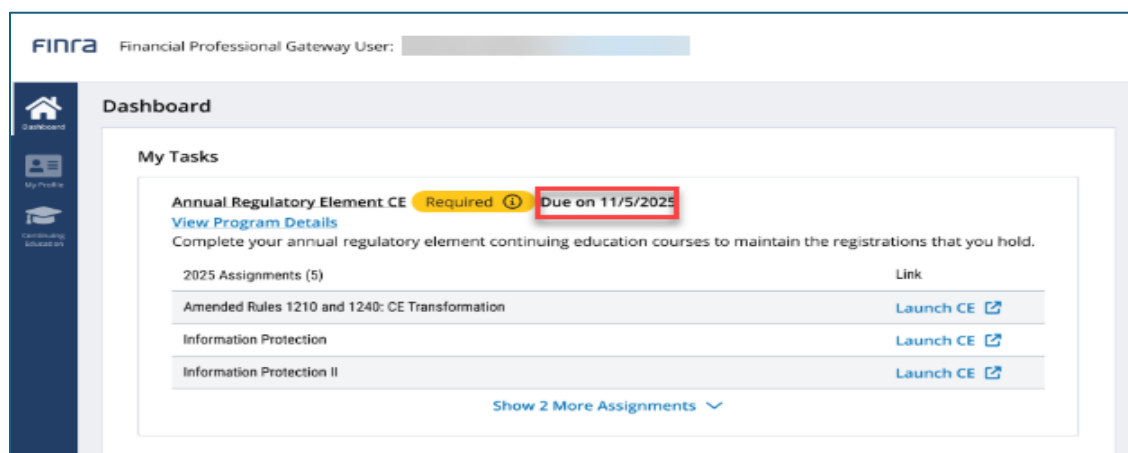
Firms can use the FinPro Access Tracking report template in FINRA Gateway Reports to track details about FinPro account activity for registered securities professionals at the firm, including attestation information. [SEE THE TRACKING FINPRO ATTESTATIONS PAGE](#)



## Continuing Education (CE) Notifications

### Setting Firm CE Due Dates

Firms have the option to set an earlier completion deadline than Dec. 31 for associated persons to complete their Regulatory Element courses. To do so, firms need to select **Yes** and set the specific date in the **Set Firm CE due date** section. Associated persons will see the firm CE due date displayed on their FinPro dashboard.



Both the firm CE due date and the SRO Regulatory Element CE due date of Dec. 31 will display in the Regulatory Element Continuing Education detail section of the Continuing Education page.

## Sending CE Due Date Reminder Emails

Firms also have the option to send CE due date reminder emails. They can choose one or more of the following options: January 15, April 15, July 15, October 15, December 1, December 15. If firms have specified a firm CE due date, both the firm CE due date and the regulatory 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 **Would you like to 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.

Notification Tracking (2)						
<div>Columns Filter Group Save Export</div>						
Filters: <span>Sent Date X</span>						
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	dxtntfcon-test-su...	FCS: TEST, TEST - Missing secondary email	2022-03-10 22:58	Yes	2022-03-11 06:58

## E-Signature

FINRA's E-Signature capability is an optional feature that allows firms to collect electronic signatures on Form U4 filings from registered securities professionals. The E-Signature capability 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.

FINRA is not currently able to act as a record retention location for Form U4 filings that require a registered person's signature (see the [SEC's 2008 no action letter](#)). As such, firms should ensure that their procedures and practices include printing (to hardcopy or PDF) the filing after submission and storing it in a compliant record retention location. FINRA hopes to obtain no action relief for these filing types in the future.

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 a rep that doesn't have a FinPro account. Firms should confirm if an individual has a FinPro account before sending to FinPro; FinPro usage information is available in FINRA Gateway at the top of each individual's profile and in the [FinPro Access Tracking](#) report. Please have reps visit the [Completing Form U4 in FinPro](#) guide for assistance with creating, retrieving and logging in with their credentials.

## Sending a Form U4 to the Rep 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 rep to sign. When a Form U4 filing is ready to be signed, a firm user can send the filing to the rep to electronically sign via FinPro 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 registered securities professional while collaborating on the Form U4 filing. Auto-generated email notifications will be developed in the future, but they are not currently part of the E-Signature process.

**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 rep signs the final version of the filing.

The screenshot displays the FINRA Gateway interface for a Form U4 filing. The top navigation bar includes the FINRA logo, firm name (FINRA DEMO FIRM), and various utility buttons like 'SEND FEEDBACK', 'Profile Search', and a notification bell. The main header shows 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: 3000006'. A left sidebar contains a menu with options like 'Data Entry', 'Registration Requests with Firms', 'Exam Requests', 'Professional Designations', 'Disclosures', 'Review and Submit', 'Summary', and 'Signatures' (which is currently selected). The main content area is divided into three sections, each with a signature line and a 'Complete Signature' button: 1. '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.' 2. 'AMENDMENT INDIVIDUAL/APPLICANT'S ACKNOWLEDGEMENT AND CONSENT'. 3. 'FIRM/APPROPRIATE SIGNATORY AMENDMENT REPRESENTATIONS'. At the bottom, there are buttons for 'PREVIOUS', 'REVIEW FORM', and 'SEND TO REP FOR E-SIGNATURE', along with a status bar showing 'Completeness Check', 'Form View', 'Allow Rep Edits', and 'Save'.



The screenshot shows the FINRA U4 form completion interface. The top navigation bar includes the FINRA logo, firm name 'FINRA DEMO FIRM (CRD: 3000005)', and a 'SEND FEEDBACK' button. The main header displays 'U4' and various form details: 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. A left sidebar lists navigation options: Data Entry, Personal Information, Employment History / Other Business, Registration Requests with Firms, Registration with Unaffiliated Firms, Exam Requests, Professional Designations, Disclosures, Review and Submit, Summary, and Signatures. The main content area shows the 'AMENDMENT INDIVIDUAL/APPLICANT' section with a 'Signature of Applicant' field and a 'Complete Signature' button. A modal dialog titled 'Send to Rep for E-Signature' is open, containing the text: 'By sending this Form U4 to the rep for e-signature, you confirm that the data entered by your firm and/or the rep is complete and accurate to the best of your knowledge. The Form U4 will not be editable except for the Signature section after this point.' The modal has 'BACK' and 'CONFIRM' buttons. Below the modal, the 'FIRM/APPROPRIATE SIGNATORY AMENDMENT REPRESENTATIONS' section is visible with a 'Signature of Firm Representative' field and a 'Complete Signature' button. At the bottom, there are buttons for '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 for the registered securities professional to sign electronically. See the E-Signature section of the [Completing Form U4 in FinPro](#) guide for more information about the FinPro E-Signature process.

The screenshot shows the 'My Dashboard' for a Financial Professional Gateway User. The dashboard lists three tasks: 1. 'Confirm that your email addresses are up to date:' with a 'View Details' link, 'Personal Email' and 'Secondary/Business Email' input fields, and 'EDIT' and 'CONFIRM' buttons. 2. 'Review your U4 information from ALTERNATIVE ACCESS CAPITAL, LLC, GLOBACAP PRIVATE MARKETS INC..' with a 'View Details' link, 'Last updated 05/27/2025 10:21 AM', and a 'START HERE' button. 3. 'Complete the e-signature for your U4 from ALTERNATIVE ACCESS CAPITAL, LLC.' with a 'View Details' link and a 'START HERE' button. The third task is highlighted with a red border.

## 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 rep, it will remove the ability for the rep to electronically sign the filing, and the form must be re-sent to the rep for signature.

The screenshot displays the FINRA Gateway interface for a firm user. The top navigation bar includes the FINRA logo, firm name (FINRA DEMO FIRM), and various utility buttons like 'SEND FEEDBACK', 'Profile Search', and a notification bell. The main content area is titled 'U4' and shows the 'AMENDMENT INDIVIDUAL/APPLICANT'S ACKNOWLEDGEMENT AND CONSENT' section. A modal dialog box titled 'Edit Form Confirmation' is overlaid on the form, asking the user: 'Are you sure you'd like to make changes to the form?'. Below this question, a warning states: 'Making changes to the form will invalidate the rep's e-signature. After making changes, you'll have to send this form back to the rep to review and re-sign.' The dialog has two buttons: 'BACK' and 'CONFIRM'. The background form shows fields for 'Date' (2021-09-15), 'Signature of Applicant' (with a signature), and 'Signature of Firm Representative' (with a 'Complete Signature' link). The bottom of the interface has a footer with 'Completeness Check', 'Form View', 'Edit Form', and 'Save' buttons, along with 'PREVIOUS' and 'SUBMIT' buttons.

## 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.

The screenshot displays the FINRA Gateway interface for a firm named 'FINRA DEMO FIRM (CRD: 3000005)'. The top navigation bar includes a 'SEND FEEDBACK' button, a 'Profile Search' icon, and a user profile icon labeled 'DT'. The main header shows the firm's name and CRD number. The left sidebar contains a 'Data Entry' section with a list of menu items: Personal Information, Employment History / Other Business, Registration Requests with Firms, Registration with Unaffiliated Firms, Exam Requests, Professional Designations, Disclosures, Review and Submit, Summary, and Signatures. The main content area is titled 'AMENDMENT INDIVIDUAL/APPLICANT'S ACKNOWLEDGEMENT AND CONSENT'. A modal dialog box titled 'Signature of Firm Representative' is open, featuring a 'Date \*' field with the value '09/15/2021' and a 'Full Name \*' field with the placeholder text 'Type name of the Firm Representative'. The dialog box has 'CANCEL' and 'CONFIRM' buttons. The background form shows a 'Date' field with the value '2021-09-15' and a 'Signature of Applicant' field. The bottom of the interface includes a 'Completeness Check' button, a 'Form View' button, an 'Edit Form' button, a 'Save' button, and 'PREVIOUS' and 'REVIEW FORM' buttons.

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.

FINRA Firm: FINRA DEMO FIRM (CRD: 3000005)

SEND FEEDBACK Profile Search DT

U4 Rep Name: Smith, Alex Joe (CRD: 80000013) Filing ID: 81287595 Filing Type: Amendment Updated: 9/15/21 Firm Name: FINRA DEMO FIRM Firm CRD: 3000005

**Data Entry**

Personal Information  
Employment History / Other Business  
Registration Requests with Firms  
Registration with Unaffiliated Firms  
Exam Requests  
Professional Designations  
Disclosures  
**Review and Submit**  
Summary  
Signatures

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

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

**FIRM/APPROPRIATE SIGNATORY AMENDMENT REPRESENTATIONS**

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

How can we help?

Completeness Check Form View Edit Form Save PREVIOUS REVIEW FORM

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: 80000013) Filing ID: 81287595 Filing Type: Amendment Updated: 9/15/21 Firm Name: FINRA DEMO FIRM Firm CRD: 3000005

**Form View**

General Information  
Fingerprint Information  
Registration With Unaffiliated Firms  
SRO Registrations  
Jurisdiction Registration  
Registration Requests with Affiliated Firms  
Examination Requests  
Professional Designations  
Identifying Information/Name Change  
Other Names  
Residential History  
Employment History  
Other Business  
Disclosure Questions  
Signatures

**FORM U4**

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

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

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

**1. General Information**

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

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

Compare With Previous Filing Print Form BACK TO DATA ENTRY

How can we help?

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

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

Date: 2021-09-15

Signature of Applicant: Alex Joe Smith

**FIRM/APPROPRIATE SIGNATORY AMENDMENT REPRESENTATIONS**

Date: 2021-09-15

Signature of Firm Representative: Lloyd Webber

demo3000005 (FINRA DEMO FIRM) [Delete](#)

[PREVIOUS](#) [SUBMIT](#)

## Tracking Pending Rep 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 rep completes and submits their e-signature, the filing's **Rep Completion Status** will change to **E-Signature Completed**.

**Requests & Filings**

Search Criteria: Search for Work Items

**Active (46)** Completed History

Filters (1): U4 X

Sort By: Due Date Ascending

U4 AMENDMENT	Rep CRD#	Created By	Rep Completion Status	Created Date	Last Update Date	Status	Actions
U4 AMENDMENT	80000013	demo3000005	E-signature Completed	09/20/21	09/22/21	Draft	<a href="#">Actions</a>
U4 AMENDMENT	80000013	demo3000005	E-signature Made Available	09/16/21	09/16/21	Draft	<a href="#">Actions</a>

## 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).

The screenshot displays the 'Form View' interface for a signed filing. The top header shows the firm name 'FINRA DEMO FIRM (CRD: 3000005)' and a 'SEND FEEDBACK' button. Below this, a navigation bar includes a menu icon, 'U4', and various filing details: 'Rep Name: Smith, Alex gene (CRD: 80000013)', 'Filing ID: 81287579', 'Filing Type: Amendment', 'Updated: 9/15/21', 'Firm Name: FINRA DEMO FIRM', and 'Firm CRD: 3000005'. A search bar and notification icons are also present.

The left sidebar lists various sections: 'Form View', 'General Information', 'Fingerprint Information', 'Registration With Unaffiliated Firms', 'SRO Registrations', 'Jurisdiction Registration', 'Registration Requests with Affiliated Firms', 'Examination Requests', 'Professional Designations', 'Identifying Information/Name Change', 'Other Names', 'Residential History', 'Employment History', 'Other Business', 'Disclosure Questions', 'Signatures', 'DRPs', and 'All Sections'.

The main content area shows the 'Form View' for a signed filing. It includes a 'Date' field with the value '2021-09-15' and a 'Signature of Applicant' field with a handwritten signature 'Alex Joe Smith' and the text 'FINRA E-Signature Solution'. Below this, there are two sections: '15D. AMENDMENT INDIVIDUAL/APPLICANT'S ACKNOWLEDGEMENT AND CONSENT' and '15E. FIRM APPROPRIATE SIGNATORY AMENDMENT REPRESENTATIONS'. Each section has a 'Date' field with the value '2021-09-15' and a 'Signature of Firm Representative' field with the text 'James Parks' and 'demo3000005 (FINRA DEMO FIRM)'. At the bottom, there are buttons for 'Compare With Previous Filing', 'Print Form', and 'BACK TO DATA ENTRY'.

## Reviewing the Audit Trail

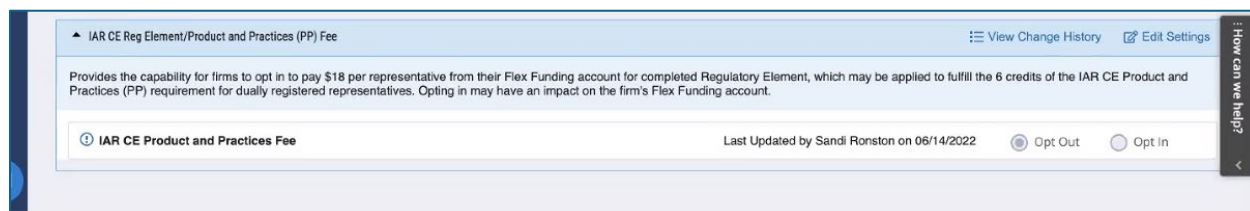
Entitled firm users will have access to an E-Signature Rep Tracking report through [FINRA Gateway Reports](#). The report:

- 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 registered securities professionals, and
- Helps firms understand E-Signature processes relative to any SLA targets the firm has established.

## IAR CE Reporting Fee for Regulatory Element

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.

Copyright FINRA.



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](#) 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 if they wish to apply the credits for the current year.