

Financial Professional Gateway

COMPLETING FORM U4 IN FINPRO

Representatives of broker-dealers, investment advisers or issuers of securities must be registered with the appropriate jurisdictions and/or self-regulatory organizations (SROs). The Form U4 (Uniform Application for Securities Industry Registration or Transfer) is used to establish that registration.

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Form U4 in FinPro

You and your firm can work simultaneously on a pending Form U4 thanks to the enhanced Form U4 filing experience in the Financial Professional Gateway (FinPro) and FINRA Gateway using the Allow Rep Edits feature. Your firm must grant you access by enabling the feature within a draft Form U4. FinPro and the Allow Rep Edits feature do not allow you to initiate or submit a filing to regulators. Follow the detailed instructions below to retrieve, update, review and return a draft Form U4.

Retrieving Form U4

If a firm has enabled the Allow Rep Edits feature within a draft Form U4, a note will appear on your dashboard **My Tasks** list with a link to the filing.

The screenshot displays the FINRA Financial Professional Gateway User Dashboard. The top navigation bar includes the FINRA logo, a user login field, and icons for help, notifications, and a user profile. The main content area is titled 'My Dashboard' and features a 'My Tasks' section on the left. This section contains four task cards. The third card, 'You have a pending U4 filing request from ALTERNATIVE ACCESS CAPITAL, LLC.', is highlighted with a red rectangular box and includes an 'OPEN FILING' button. Other tasks include confirming email addresses, scheduling an S7TO exam, and reviewing U4 information. To the right of the tasks is a 'Shortcuts' section with links to Print U4, View U5, Print CE Transcript, Go to Legacy FinPro, and Go to FINRA.org. Below that is a 'Continuing Education Program Status' section showing the status of various programs (Reg Element CE, MQP CE, MQP, AG EVER) with indicators for 'Not Required', 'Required', 'Enrolled', or 'Enrolled'.

Click on **Open Filing**, to see the draft Form U4 in **Data Entry View** within a new tab or window. You can view and update the form according to the access granted by the firm.

Editing Form U4

The **Data Entry View** streamlines form edits: the section names and information order differ slightly from the official Form U4 layout and flow, which you will review in the **Form View**. Use the links on the left-hand side of the screen, as well as the **Save**, **Next** and **Back** buttons at the bottom-right, to navigate and edit the form.

Reviewing Form U4

Once edits are complete, select **Summary** on the left-hand side, then, select **Review Form** to perform a final review in **Form View**. The section names and information order in **Form View** align

with the official format of the form as it will appear upon submission to regulators and in your filing history.

In **Form View**, you can print or save a pdf copy of the form as well as compare the draft to the last submitted Form U4 on file (if there is one).

Returning Form U4 to the Firm

Once you have completed your review, comparison, and draft print, select **Return to Firm** in the bottom-right. A confirmation message will appear at the top of the page.

Once the form is returned to the firm, you will still have access to edit the form until the Allow Rep Edits feature is disabled, or the form is submitted to the regulator.

Once your firm determines the Form U4 is ready for submission, you may be required to sign the form before it is filed. Please contact your firm with questions about signature requirements.

Electronic Signature

The Electronic Signature (E-Signature) feature allows you to electronically sign a draft Form U4 within FinPro, thereby eliminating the need to print, sign, scan and send draft forms back to your firm outside of the system. Your firm must grant you access by enabling this feature. FinPro and the E-Signature feature do not allow you to initiate or submit a filing to regulators.

Note: FinPro users are no longer able to type their names in the signature fields with the Allow Rep Edits feature. Firms must now enable the E-Signature feature to grant FinPro users access to the signature page. The E-signature task will appear on your FinPro dashboard **My Tasks** list.

FINRA Financial Professional Gateway User: [REDACTED]

My Dashboard

My Tasks

Confirm that your email addresses are up to date:
[View Details](#) [EDIT] [CONFIRM]

Review your U4 information from ALTERNATIVE ACCESS CAPITAL, LLC.
[View Details](#) [START HERE]

Complete the e-signature for your U4 from ALTERNATIVE ACCESS CAPITAL, LLC.
[View Details](#) [START HERE]

Shortcuts

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

Continuing Education Program Status

Reg Element CE [Required 0]

Once the U4 is signed, FinPro notifies the firm that the draft is ready for review and submission to regulators.

E-Signing Form U4

Retrieve and review Form U4 using **Data Entry View**. If any edits are needed, contact your firm. Only the firm can stop the signature process and enable editing.

Once your review is complete, select the **Signatures** option on the left of the screen under Review and Submit.

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 [DRAFT]

Data Entry

Personal Information

General Information

First Name * Alex Middle Name Joe
 Last Name * Smith Suffix
 Social Security Number (SSN) XXX-XX-XXXX
 Individual CRD # * 80000013

Other Names

Enter all other names that you have used or are using, or by which you are known or have been known, other than your legal name, since the age of 18. This field must include, for example, nicknames, aliases, and names used before or after marriage.

First Name Middle Name Last Name Suffix
 AutoTestGCqFofHqCec AutoTestFnEmnkq/ResB

[Completeness Check] [Form View] [Rep Access] [Save] [NEXT]

Then click the **Sign Form** links (for section 15A and section 15C when required).

The screenshot shows the FINRA U4 form interface. On the left is a navigation menu with sections: 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 displays the 'U4' form with a 'Rep Name: Smith, A.' header. It contains several paragraphs of text regarding the acknowledgment of registration. A 'Sign Form' button is visible next to the 'Signature of Applicant' field. Below this, there is a section titled 'AMENDMENT INDIVIDUAL/APPLICANT'S ACKNOWLEDGEMENT AND CONSENT' with another 'Sign Form' button. At the bottom, there are links for 'Completeness Check', 'Form View', 'Rep Access', and 'Save', along with 'PREVIOUS' and 'REVIEW FORM' buttons.

The signature field will prepopulate with the date and your full name (first name, middle name, last name, and suffix from the filing). Select **Confirm** to complete your electronic signature.

This screenshot shows the same FINRA U4 form as above, but with a 'Signature of Applicant' dialog box open. The dialog box has a title bar 'Signature of Applicant' and a close button. It contains two input fields: 'Date *' with the value '09/15/2021' and 'Full Name *' with the value 'Alex Joe Smith'. Below these is a 'PREVIEW' section showing a sample signature 'Alex Joe Smith' and the date '2021-09-15'. At the bottom of the dialog, there is a paragraph of text: 'By selecting Confirm, I am agreeing that this electronic signature is an appropriate way of conveying my agreement and in every way, use or aspect, constitutes my legally binding signature. I attest to the completeness and accuracy of information contained in this form and agree and consent to the conditions and obligations specified therein.' There are two buttons: 'CANCEL' and 'CONFIRM'.

Review the statutory form U4 in **Form View** by clicking **Review Form**.

U4 Rep Name: Smith

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

I understand and agree that, in the event my Temporary Registration is withdrawn by a jurisdiction and/or SRO, I must immediately cease any securities activities requiring a registration in that jurisdiction and/or SRO until it grants my registration;

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.

Date: 2021-09-15

Signature of Applicant: Alex Joe Smith

FINRA E-Signature Solution Delete

AMENDMENT INDIVIDUAL/APPLICANT'S ACKNOWLEDGEMENT AND CONSENT

Date: 2021-09-15

Signature of Applicant: Alex Joe Smith

FINRA E-Signature Solution Delete

FIRM/APPROPRIATE SIGNATORY AMENDMENT REPRESENTATIONS

Signature of Firm Representative:

☒ Complete Signature

FINRA DEMO FIRM

[Completeness Check](#)
[Form View](#)
[Rep Access](#)
[Save](#)

[PREVIOUS](#)
[REVIEW FORM](#)

From the **Form View**, print or save the form for your records. Select **Back to Data Entry** to return to the **Data Entry View**

U4 Rep Name: Smith

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

All Sections

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: 81267595

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

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

☐ Yes ☒ No

Office of Employment Addresses

CRD Branch #	NYSE Branch Code #	Firm Billing Code	Address	Private Residence	Type of Office	Start Date	End Date
BD Main			1234 IMAGINARY LANE RESTON, VA, UNITED STATES, 20190	No	Located At	08/03/2015	

☐ Compare With Previous Filing
 [Print Form](#)

[BACK TO DATA ENTRY](#)

From the **Data Entry View**, select **Submit E-Signature** to send your signature(s) to the firm.

U4 Rep Name: Smith

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

I understand and agree that, in the event my Temporary Registration is withdrawn by a jurisdiction and/or SRO, I must immediately cease any securities activities requiring a registration in that jurisdiction and/or SRO until it grants my registration;

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.

Date: 2021-09-15

Signature of Applicant: Alex Joe Smith

FINRA E-Signature Solution Delete

AMENDMENT INDIVIDUAL/APPLICANT'S ACKNOWLEDGEMENT AND CONSENT

Date: 2021-09-15

Signature of Applicant: Alex Joe Smith

FINRA E-Signature Solution Delete

FIRM/APPROPRIATE SIGNATORY AMENDMENT REPRESENTATIONS

Signature of Firm Representative:

☒ Complete Signature

FINRA DEMO FIRM

[Completeness Check](#) [Form View](#) [Rep Access](#) [Save](#)

[PREVIOUS](#) [SUBMIT E-SIGNATURE](#)

The firm will be notified when your signed Form U4 submission is available for filing.

After Filing

Once your firm has filed your Form U4, the data is automatically updated in FinPro within 5-10 minutes, and you may need to refresh your browser to see this information. Certain Form U4 information will also be reported through [BrokerCheck](#) and/or IAPD; however, changes will not occur until you have at least one approved registration.

As an onboarding, current or former registered professional, it is important to know [when a Form U4 must be updated](#). Registered individuals are under a continued obligation to update changes to information required by Form U4 within a specified amount of time by filing an appropriate amendment, as prescribed in [Article V, Section 2](#) of the FINRA By-Laws.