



# FINRA Gateway

## FIRM SETTINGS GUIDE

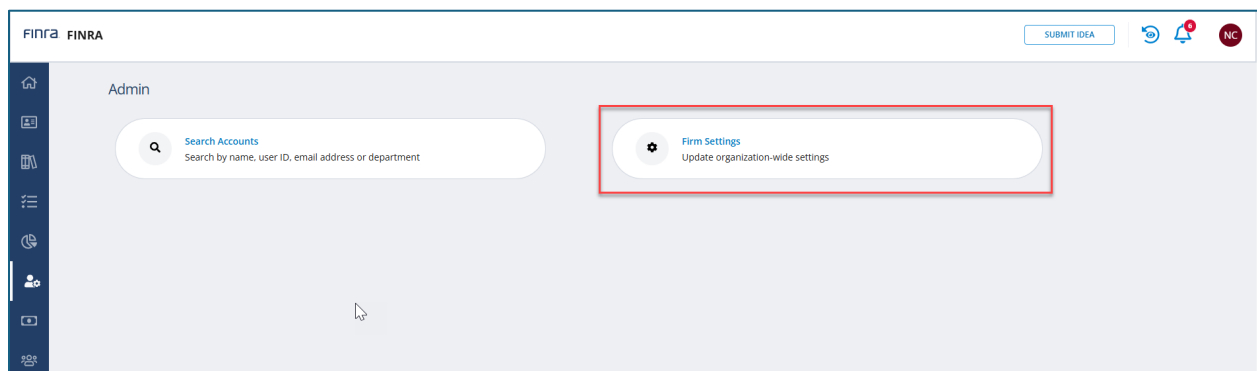
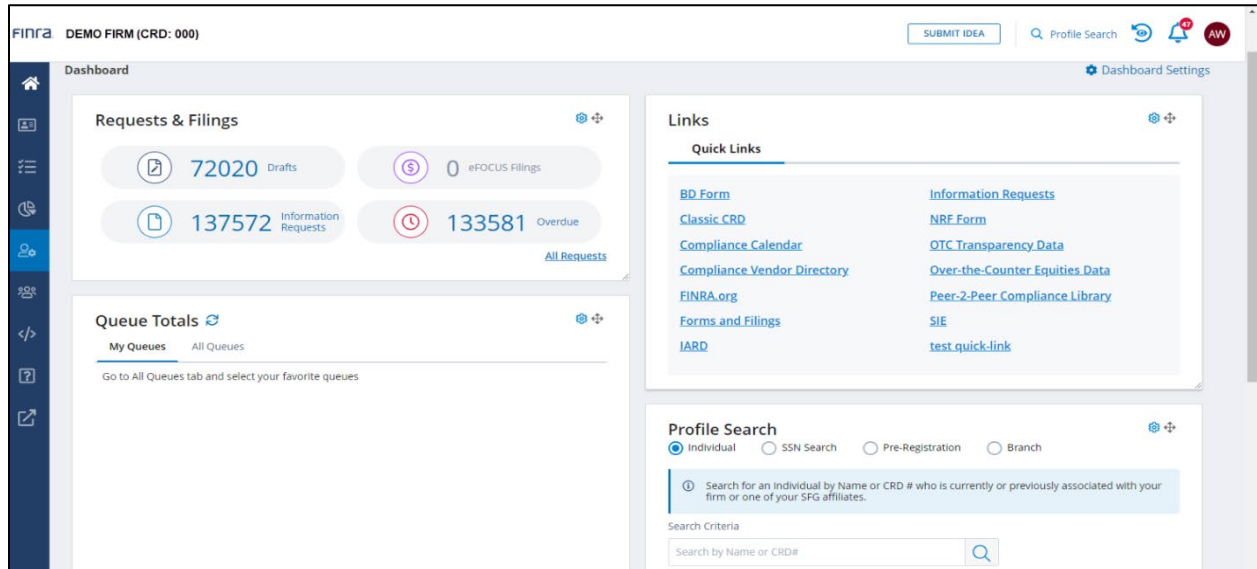
There are optional Financial Professional Gateway (FinPro Gateway™) features available to and controlled by firms through the Firm Setting screen in FINRA Gateway. Learn more about enabling and using these features in this guide.

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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 Test Test on 12/05/2022 ☒ 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.

CE Notifications ⓘ

Last Updated by John Doe on 11/25/2025 ☒ 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

FinPro Disclosure Review Notifications

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

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.

Disclosure Review ⓘ

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

E-Signature

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

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 John Doe on 07/14/2021 ☒ Employees and Contractors

U4 Settings

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

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

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

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

☒ Yes ☐ No

Email: FirmContact@ABCfirm.com

U5 Settings

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

Initial and Amended Full Form U5 Delivery via FinPro Gateway ⓘ

Last Updated by John Doe on 11/25/2025 ☒ Opt-In

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

Copyright FINRA.

December 2025

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

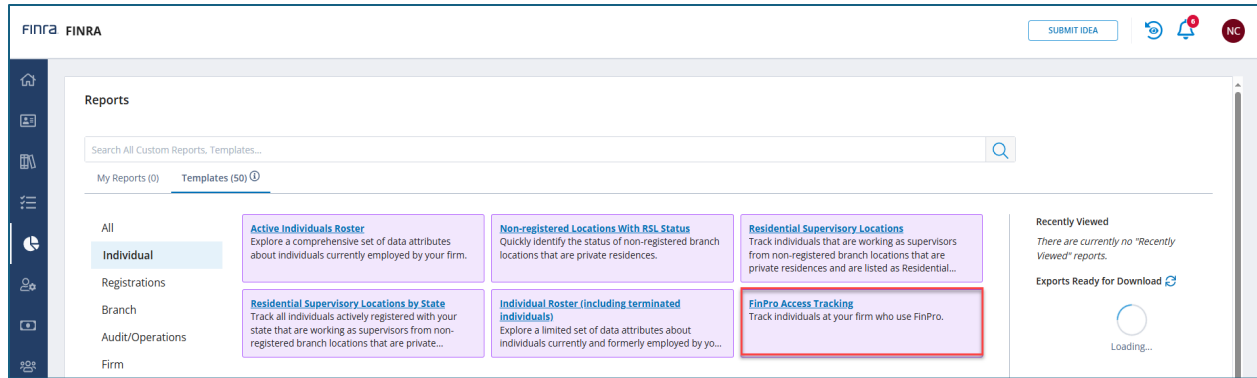
## Attestation

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 completion deadline than Dec. 31 for registered individuals 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.

Continuing Education (CE) Notifications

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

CE Notifications

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:

Required Field

Add another email

Opt-In

Registered Individuals will see the firm CE due date displayed on their FinPro Gateway dashboard.

FINRA Financial Professional Gateway User: [User Name]

**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

Assignment	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 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 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) Columns Filter Group Save Export

Filters: Sent Date X

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.

The screenshot shows the 'FinPro Disclosure Review Notifications' configuration page. At the top, it states: '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.' Below this, there's a 'Disclosure Review' section with a 'Send notification after following no. of days:' label. Four radio buttons are available: '30 days' (selected), '15 days', '10 days', and '7 days'. To the right, it says 'Last Updated by Jane Doe on 11/25/2025' and has an 'Opt-in' checkbox. Below the radio buttons, there's a section 'Add firm contact(s) to send a copy of the email.' with an email field containing '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 **Would you like to 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**. If the firm has not provided a contact email address, the individual will be instructed to contact the firm's registration and compliance department.

The screenshot shows the 'My Dashboard' in the FinPro Gateway. The user is 'John Doe (CRD# 123456)'. Under 'My Tasks', there's a task titled 'A disclosure letter was received by ABC FINANCIAL SERVICES INC. on 11/26/2025.' with a 'VIEW DETAILS' link and a 'VIEW FIRM CONTACTS' button. Below this, there's a section for 'Firm Assigned CE (FLEX)' marked as 'Required' with a 'GO TO MY PLAN' button. On the right, there's a 'Shortcuts' section with links for 'Print U4', 'View U5', and 'Go to FINRA.org'. At the bottom right, there's a 'Continuing Education Program Status' section showing 'Reg Element CE' as 'Satisfied', 'Firm Assigned CE (FLEX)' as 'Required', and 'IAR CE' as 'Satisfied'.

## 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.

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

**U4** Rep Name: Smith, Alex gene (CRD: 80000013) Filing ID: 81287369 Filing Type: Amendment Updated: 9/14/21 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

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.

Signature of Applicant:

☒ Complete Signature

FINRA DEMO FIRM

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

Signature of Applicant:

☒ Complete Signature

FINRA DEMO FIRM

**FIRM/APPROPRIATE SIGNATORY AMENDMENT REPRESENTATIONS**

Signature of Firm Representative:

☒ Complete Signature

☒ Completeness Check ☐ Form View ☐ Allow Rep Edits ☐ Save

PREVIOUS REVIEW FORM SEND TO REP FOR E-SIGNATURE

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

**U4** Rep Name: Smith, Alex gene (CRD: 80000013) Filing ID: 81287369 Filing Type: Amendment Updated: 9/14/21 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

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.

Signature of Applicant:

☒ Complete Signature

FINRA DEMO FIRM

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

Signature of Applicant:

☒ Complete Signature

FINRA DEMO FIRM

**FIRM/APPROPRIATE SIGNATORY AMENDMENT REPRESENTATIONS**

Signature of Firm Representative:

☒ Complete Signature

☒ Completeness Check ☐ Form View ☐ Allow Rep Edits ☐ Save

PREVIOUS REVIEW FORM SEND TO REP FOR E-SIGNATURE

**Send to Rep for E-Signature**

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.

BACK CONFIRM

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.

FINRA Financial Professional Gateway User: [Redacted]

### My Dashboard

#### My Tasks

- Confirm that your email addresses are up to date:  
[View Details](#)  
 Personal Email: [Redacted]  
 Secondary/Business Email: [Redacted]  
 [EDIT] [CONFIRM]
- Review your U4 information from ALTERNATIVE ACCESS CAPITAL, LLC, GLOBACAP PRIVATE MARKETS INC..  
[View Details](#)  
 Last updated 05/27/2025 10:21 AM  
 [START HERE]
- Complete the e-signature for your U4 from ALTERNATIVE ACCESS CAPITAL, LLC.  
[View Details](#)  
 [START HERE]

## 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.

FINRA Firm: FINRA DEMO FIRM (CRD: 3000005)

SEND FEEDBACK Profile Search [Icons]

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 [Signature]  
 FINRA E-Signature Solution

#### Edit Form Confirmation

Are you sure you'd like to make changes to the form?

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.

[BACK] [CONFIRM]

#### FIRM/APPROPRIATE SIGNATORY AMENDMENT

Signature of Firm Representative: [Redacted]  
 [Complete Signature]  
 FINRA DEMO FIRM

How can we help?

Completeness Check Form View Edit Form Save [PREVIOUS] [SUBMIT]

## 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 E-Signature Solution interface. The top navigation bar includes the FINRA logo, firm name (FINRA DEMO FIRM), and various status indicators. The left sidebar shows the 'Data Entry' menu with options like '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'S ACKNOWLEDGEMENT AND CONSENT' form. A modal form titled 'Signature of Firm Representative' is open, requiring a 'Date \*' (09/15/2021) and a 'Full Name \*' (Type name of the Firm Representative). The modal has 'CANCEL' and 'CONFIRM' buttons. The background form shows a 'Date' field with '2021-09-15' and a 'Signature of Applicant' field. The bottom of the interface includes a 'Completeness Check' button, 'Form View', 'Edit Form', and 'Save' options, along with '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)

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)

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.

**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

Completeness Check Form View Edit Form Save PREVIOUS SUBMIT

How can we help?

## 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**.

**Filters** **Requests & Filings** Create Filings

Type: ☐ U4 AMENDMENT ☐ U4 INITIAL

Category: ☒ U4

Status: ☐ Invalid - Read Only ☐ Draft

Clear Filters

Search Criteria:  Search for Work Items

**Active (46)** Completed History

Filters (1): U4 X Clear Filters Delete View Save View

Sort By: Due Date Ascending

U4 AMENDMENT	Rep CRD#	Created By	Rep Completion Status	Created Date	Last Update Date	Status	Actions
U4 AMENDMENT Smith, Alex	80000013	demo3000005	E-signature Completed	09/20/21	09/22/21	Draft	<span>Print</span>
U4 AMENDMENT Smith, Alex	80000013	demo3000005	E-signature Made Available	09/16/21	09/16/21	Draft	<span>Print</span>

## 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).

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

U4 Rep Name: Smith, Alex gene (CRD: 80000013) Filing ID: 81287579 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  
DRPs  
All Sections

If a jurisdiction or SRO withdraws my temporary registration, my application will then be held pending in that jurisdiction and/or SRO until its review is complete and the registration is granted or denied, or the application is withdrawn;  
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

**15D. AMENDMENT INDIVIDUAL/APPLICANT'S ACKNOWLEDGEMENT AND CONSENT**

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

**15E. FIRM APPROPRIATE SIGNATORY AMENDMENT REPRESENTATIONS**

Date: 2021-09-15 Signature of Firm Representative: James Parks  
demo3000005 (FINRA DEMO FIRM)

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

Home

Profiles

Requests

Reports

Support

< Back

E-Sign Rep Tracking

Columns Save Export

Filters: First Name X Add Filter

Groups: Add Group

Filing ID ↓	Individual CRD#	First Name	Last Name	Form Type	Signature/ Acknowledgement Required	Event	Event Time
5000010	123456	Robert	Ricketts	U4	Yes	E-sign Made Available	2/18/2021 - 3:10 PM (ET)
5000010	123456	Robert	Ricketts	U4	Yes	Rep E-signed	2/20/2021 - 12:00 PM (ET)
5000010	123456	Robert	Ricketts	U4	Yes	Form Submitted	2/24/2021 - 5:30 PM (ET)
5000009	234567	Tim	Purdy	U4	Yes	E-sign Made Available	2/18/2021 - 3:30 PM (ET)
5000008	345678	Sam	Renninger	U4	Yes	E-sign Made Available	2/21/2021 - 9:30 AM (ET)
5000008	345678	Sam	Renninger	U4	Yes	Rep E-signed	2/22/2021 - 12:15 PM (ET)
5000007	456789	Sarah	Vatterott	U4	Yes	E-sign Made Available	2/24/2021 - 10:25 AM (ET)
5000007	456789	Sarah	Vatterott	U4	Yes	Rep E-signed	2/27/2021 - 4:40 PM (ET)
5000007	456789	Sarah	Vatterott	U4	Yes	Form Submitted	2/27/2021 - 5:10 PM (ET)
5000006	567890	Jay	Shles	U4	Yes	E-sign Made Available	2/26/2021 - 1:30 PM (ET)
5000006	567890	Jay	Shles	U4	Yes	Rep E-signed	2/26/2021 - 2:55 PM (ET)
5000005	678901	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](#).

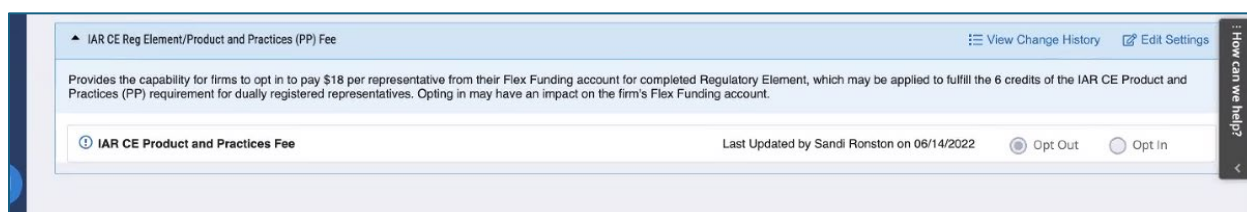
See the [Viewing Form Filing Event History in FinPro Gateway Guide \(PDF\)](#) for more information about how an individual can access and view Form U5 filings.

# 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.

The screenshot shows the 'FLEX - Financial Learning Experience Notifications' settings page. It includes a header with 'View Change History' and 'Edit Settings' links. Below the header, there's a description: 'Provides the capability to send email notifications to users in various time increments.' The main section is titled 'FLEX Notifications' and has an 'Opt-in' checkbox. Under 'Send due date reminder emails on the following schedule:', there are three options: '2 weeks before' (checked), '1 day before' (unchecked), and 'past due' (unchecked). Under 'Send status change emails on the following status:', there are two options: 'Course Assigned' (checked) and 'Course Completed' (unchecked).

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 screenshot shows the FinPro Gateway dashboard for a user named John Doe (CRD# 123456). The dashboard has a sidebar with 'My Dashboard' and 'My Tasks' sections. The 'My Tasks' section displays a task titled 'Firm Assigned CE (FLEX)' with a 'Required' status and a 'GO TO MY PLAN' button. The task description states: 'A disclosure letter was received by ABC FINANCIAL SERVICES INC. on 11/26/2025. The task status will remain unchanged until your firm has completed its review of the disclosure letter.' There are also links for 'View Details' and 'View Program Details'. The 'Continuing Education Program Status' section shows 'Reg Element CE' as 'Satisfied' and 'Firm Assigned CE (FLEX)' as 'Required'. The 'IAR CE' status is also 'Satisfied'.

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

Home

Account

Education

### My Continuing Education

PRINT CE TRANSCRIPT

Continuing Education Status

Reg Element CE

Required ⓘ by 12/31/2025

Firm Assigned CE (FLEX)

Required ⓘ

Continuing Education Details

Current CE | CE History | CE Inactive History ⓘ

Collapse All | Expand All

Annual Regulatory Element CE

0 out of 5 complete

Incomplete

▼

Firm Assigned CE (FLEX)

Required ⓘ

View Program Details

GO TO MY PLAN | GO TO MY COMPLETED LEARNING

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.

2025 Assignments (1)	Firm	Due Date	Status	Completion Date	Action
CRYPTO-002	RAYMOND JAMES & ASSOCIATES, IN...	12/31/2025	Completed	11/05/2025	-