

# Financial Professional Gateway (FinPro Gateway)

## COMPLETING FORM U4 IN FINPRO GATEWAY GUIDE

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 Gateway

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 Gateway™) 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 Gateway 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 task will appear on your **My Tasks** list with a link to the filing.

The screenshot shows the 'My Dashboard' interface. The 'My Tasks' section contains four items:

- Confirm that your email addresses are up to date: [View Details](#) [EDIT] [CONFIRM]
- You have a S7TO exam window effective 05/24/2025 - 09/21/2025. [View Details](#) [SCHEDULE EXAM]
- You have a pending U4 filing request from ALTERNATIVE ACCESS CAPITAL, LLC. [View Details](#) [OPEN FILING]**
- Review your U4 information from ALTERNATIVE ACCESS CAPITAL, LLC. [View Details](#) [START HERE]

The right sidebar includes 'Shortcuts' (Print U4, View U4, Print CE Transcript, Go to Legacy FinPro, Go to FINRA.org) and 'Continuing Education Program Status' (Reg Element CE: Not Required, MQP CE: Required, MQP: Enrolled, AG ESEP: Enrolled).

Select **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 **NEXT** and **PREVIOUS** 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 event history. In **Form View** you can compare the draft to the last submitted Form U4 on file (if there is one).

If your firm has requested that you E-Sign the form after you complete your edits, and if there are no outstanding edit check warnings. Select **CONFIRM EDITS AND SIGN**.

## Returning Form U4 to the Firm

Once you have completed your review, select **Return to Firm** on the bottom-right of the screen. A confirmation message will appear at the top of the page.

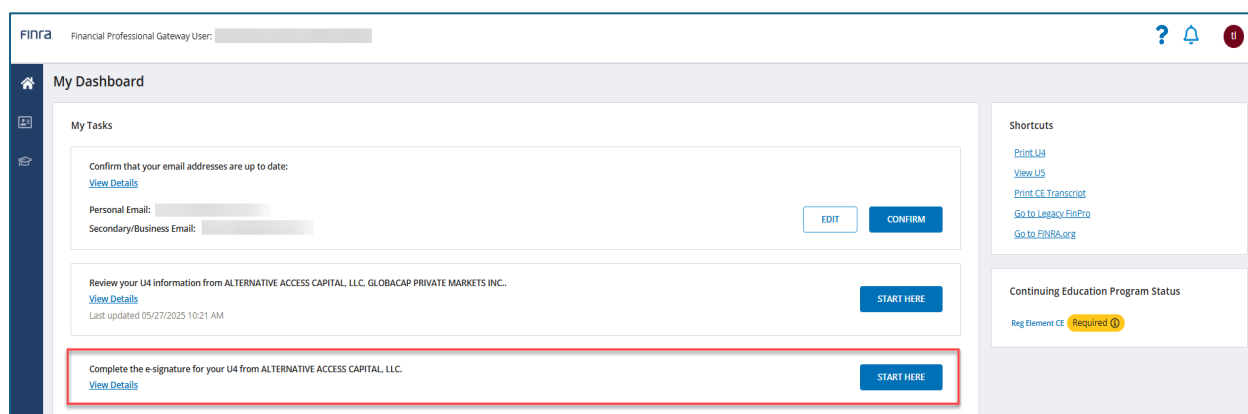
When your firm determines that the Form U4 is ready for submission, you may be required to sign (or re-sign) the form before it is filed. Please contact your firm with questions about signature requirements.

# E-Signature Functionality

Your firm can also send a final (read-only) version on the Form U4 to collect your E-Signature via FinPro Gateway. Follow the instructions below to sign and return the Form U4 to your firm, thereby eliminating the need to print, sign, scan and send draft forms back to your firm outside of the system.

## E-Signing Form U4

Once your firm initiates the E-Signature process, an e-signature task will appear on your FinPro Gateway **My Tasks** list.



The screenshot displays the FINRA Financial Professional Gateway User interface. The main content area is titled "My Dashboard" and contains a "My Tasks" section. The tasks listed are:

- Confirm that your email addresses are up to date: (Includes fields for Personal Email and Secondary/Business Email, and buttons for EDIT and CONFIRM)
- Review your U4 information from ALTERNATIVE ACCESS CAPITAL, LLC. GLOBACAP PRIVATE MARKETS INC. (Includes a START HERE button)
- Complete the e-signature for your U4 from ALTERNATIVE ACCESS CAPITAL, LLC. (This task is highlighted with a red border and includes a START HERE button)

The right sidebar contains "Shortcuts" (Print U4, View U4, Print CE Transcript, Go to Legacy FinPro, Go to FINRA.org) and "Continuing Education Program Status" (Reg Element CE Required).

Launch the E-Signature task by clicking **START HERE**.

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: [REDACTED]

**Data Entry**

Personal Information

Employment History / Other Business

Registration Requests with Firms

Registration with Unaffiliated Firms

Examination Requests

Professional Designations

Disclosures

**Review and Submit**

Summary

Signatures

- 15B FIRM/APPROPRIATE SIGNATORY REPRESENTATIONS  
This section must be completed on all Initial or Temporary Registration form filings.
- 15C TEMPORARY REGISTRATION ACKNOWLEDGMENT  
This section must be completed on Temporary Registration form filings to be able to receive Temporary Registration.
- 15D INDIVIDUAL/APPLICANT'S AMENDMENT ACKNOWLEDGMENT AND CONSENT  
This section must be completed on any amendment filing that amends any information in Disclosures section or any Disclosure Reporting Page (DRP).
- 15E FIRM/APPROPRIATE SIGNATORY AMENDMENT REPRESENTATIONS  
This section must be completed on all amendment form filings.
- 15F FIRM/APPROPRIATE SIGNATORY CONCURRENCE  
This section must be completed to concur with a U4 filing made by another firm (IA/BD) on behalf of an individual that is also registered with that other firm (IA/BD).

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

Signature of Applicant:

Sign Form

FINRA E-Signature Solution

**FIRM/APPROPRIATE SIGNATORY AMENDMENT REPRESENTATIONS**

Signature of Firm Representative:

Complete Signature

UBS FINANCIAL SERVICES INC.

Completeness Check

Form View

Rep Access

Save

[PREVIOUS](#)

[REVIEW FORM](#)

[CONFIRM EDITS AND SIGN](#)

Review the Form U4 in **Form View** by selecting **REVIEW FORM**.

U4
Rep Name: DOE, JANE D (CRD: 1234567)
Filing ID: 84451612
Filing Type: Amendment
Updated: 3/23/26
Firm Name: ABC Firm
Firm CRD: 1234
DRAFT

**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 ABC Firm	Firm CRD# 1234	Version Rev. Form U4 - 05/2009	Submission Date
Individual Name DOE, JANE	Individual CRD # 1234567	Type of Filing U4 Amendment	Filing ID 11122233

**1. General Information**

First Name Jane	Middle Name D	Last Name DOE	Suffix III
Firm CRD# 1234	Firm Name ABC Firm	Employment Date (MM/DD/YYYY) 07/15/1994	
Firm Billing Code AX0	Individual CRD # 1234567	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	Residential Supervisory Location *	Type of Office	Start Date	End Date
88748	D50	D50	123 Main Street 1200 ABERNATHY ROAD SUITE 1850 ATLANTA, GA, USA, 30328	No		Located At	02/08/2021	

Compare With Previous Filing

[Print Form](#)

[BACK TO DATA ENTRY](#)

Once your review in Form View is complete, select **BACK TO DATA ENTRY**

Then select the **Sign Form**.

The signature field will prepopulate with the date and your full name (first name, middle name, last name, and suffix) from the filing.

**Note:** If your firm has opted in to deliver predispute arbitration information via FinPro Gateway, you may receive that information to review on this screen. You can review the information provided via this window [here](#).

Select **SUBMIT E-SIGNATURE** to complete your e-signature.

After selecting **SUBMIT E-SIGNATURE**, a message displays suggesting the user print the form. The form is immediately returned to the firm.

Filing ID:
Filing Type: Amendment
Updated: 2/18/26
Firm Name: AUTOTESTSYDBMFDDZXT

✔ You may click on Form View and Print Form to print or save as a PDF file. This is your opportunity to print the form with your signature.
✕

Please Read Carefully

All signatures required on this Form U4 filing must be made in this section.

A "signature" includes a manual signature or an electronically transmitted equivalent. For purposes of an electronic form filing, a signature is effected by typing a name in the designated signature field and represents that the entry constitutes in every way, use, or aspect, his or her legally binding signature.

- 15A INDIVIDUAL/APPLICANT'S ACKNOWLEDGMENT AND CONSENT  
This section must be completed on all initial or Temporary Registration form filings.
- 15B FIRM/APPROPRIATE SIGNATORY REPRESENTATIONS  
This section must be completed on all Initial or Temporary Registration form filings.
- 15C TEMPORARY REGISTRATION ACKNOWLEDGMENT  
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This section must be completed on any amendment filing that amends any information in Disclosures section or any Disclosure Reporting Page (DRP).
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This section must be completed on all amendment form filings.
- 15F FIRM/APPROPRIATE SIGNATORY CONCURRENCE  
This section must be completed to concur with a U4 filing made by another firm (IA/BD) on behalf of an individual that is also registered with that other firm (IA/BD).

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

Date:

2026-02-18

Signature of Applicant:

*Bobby Broker*

FINRA E-Signature Solution

## After Filing

Once your firm has filed your Form U4, the data is automatically updated in FinPro Gateway 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.

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.