

# **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 note will appear on your **My Tasks** list with a link to the filing.

The screenshot shows the 'My Dashboard' interface of the Financial Professional Gateway. The 'My Tasks' section contains several items. The third item, 'You have a pending U4 filing request from ALTERNATIVE ACCESS CAPITAL, LLC.', is highlighted with a red rectangular box. This task includes a 'View Details' link and an 'OPEN FILING' button. Other tasks include confirming email addresses, scheduling an exam, and reviewing U4 information. The right sidebar shows shortcuts and continuing education program status.

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).

## 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.

After 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.

When your firm determines that 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.

## E-Signature Functionality

The E-Signature functionality allows you to electronically sign a Form U4 within FinPro Gateway, thereby eliminating the need to print, sign, scan and send draft forms back to your firm outside of the system. Once your firm initiates the E-Signature process an e-signature task will appear on your FinPro Gateway **My Tasks** list.

The screenshot shows the 'My Dashboard' interface of the Financial Professional Gateway. The 'My Tasks' section contains three tasks:

- Confirm that your email addresses are up to date:** Includes fields for 'Personal Email' and 'Secondary/Business Email', with 'EDIT' and 'CONFIRM' buttons.
- 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.

On the right side, there is a 'Shortcuts' section with links for 'Print U4', 'View U4', 'Print CE Transcript', 'Go to Legacy FinPro', and 'Go to FINBA.org'. Below that is a 'Continuing Education Program Status' section showing 'Reg Element CE' with a 'Required 0' indicator.

## E-Signing Form U4

Retrieve and review the Form U4 filing from the e-signature task described above. 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

Employment History / Other Business

Registration Requests with Firms

Registration with Unaffiliated Firms

Exam Requests

Professional Designations

Disclosures

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**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

AutoTestGCoFofoHQcec AutoTestFnEmnkqResB

Completeness Check Form View Rep Access Save

**NEXT**

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

U4 Rep Name: Smith, A

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This acknowledgment must be signed only if the applicant intends to apply for a Temporary Registration while the application for registration is under review.

I request a Temporary Registration in each jurisdiction and/or SRO requested on this Form U4, while my registration with the jurisdiction(s) and/or SRO(s) requested is under review;

I am requesting a Temporary Registration with the firm filing on my behalf for the jurisdiction(s) and/or SRO(s) noted in Section 4 (SRO REGISTRATION) and/or Section 5 (JURISDICTION REGISTRATION) of this Form U4;

I understand that I may request a Temporary Registration only in those jurisdiction(s) and/or SRO(s) in which I have been registered with my prior firm within the previous 30 days;

I understand that I may not engage in any securities activities requiring registration in a jurisdiction and/or SRO until I have received notice from the CRD or IARD that I have been granted a Temporary Registration in that jurisdiction and/or SRO;

I agree that until the Temporary Registration has been replaced by a registration, any jurisdiction and/or SRO in which I have applied for registration may withdraw the Temporary Registration;

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.

Signature of Applicant:

**Sign Form**

FINRA E-Signature Solution

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

Signature of Applicant:

**Sign Form**

FINRA E-Signature Solution

Completeness Check Form View Rep Access Save

**PREVIOUS** **REVIEW FORM**

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 e-signature.

U4 Rep Name: Sm

**Data Entry**

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**Review and Submit**

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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.

Signature of Applicant:

☒ Sign For

FINRA E-Signature Solution

**Signature of Applicant**

Date \* 09/15/2021 Full Name \* Alex Joe Smith

**PREVIEW**

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

FINRA E-Signature Solution

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.

**FIRM/APPROVAL**

Signature of

☒ Complete

FINRA DE

**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](#).

**Signature of Applicant**

Date \* 10/17/2025 Full Name \* Angie Sue Sayler

**PREVIEW**

Date: 2025-10-17 Signature of Applicant: Angie Sue Sayler

FINRA E-Signature Solution

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.

Your firm has provided you with the predispute arbitration information required under FINRA Rule 2263. You can read the information [here](#).

After selecting the CONFIRM button, review the Form U4 in **Form View** by selecting **REVIEW FORM**.

**U4** Rep Name: Smith

**Data Entry**

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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

Once your review is complete, 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

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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:




FINRA E-Signature Solution Delete

AMENDMENT INDIVIDUAL/APPLICANT'S ACKNOWLEDGEMENT AND CONSENT

Date:

2021-09-15

Signature of Applicant:



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

## 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.