FINCA.

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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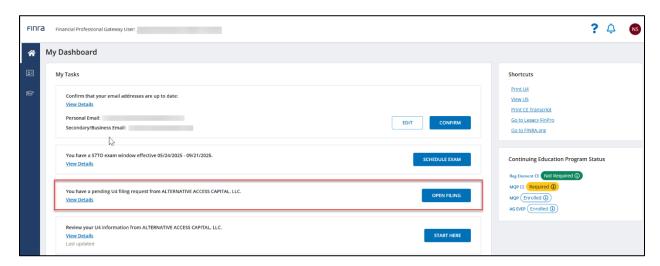


Form U4 in FinPro Gateway

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 GatewayTM) 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.



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

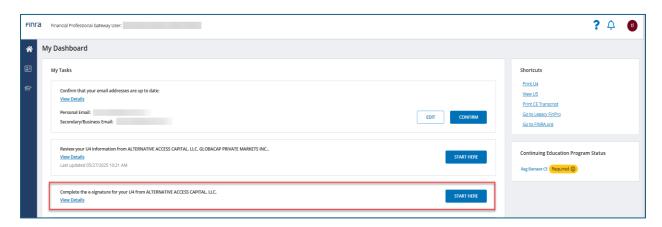
Once you have completed your review, select **Return to Firm** on the bottom-right of the screen. A confirmation message will appear at the top of the page.

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.

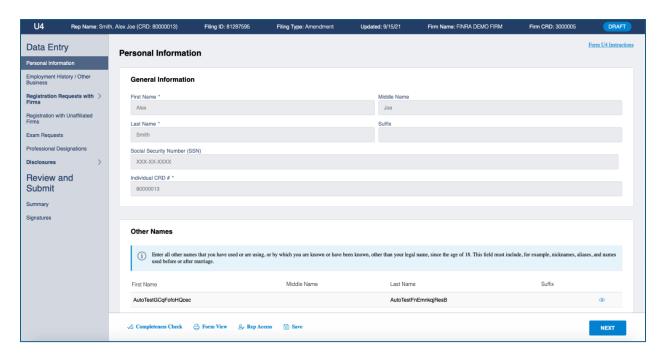


E-Signing Form U4

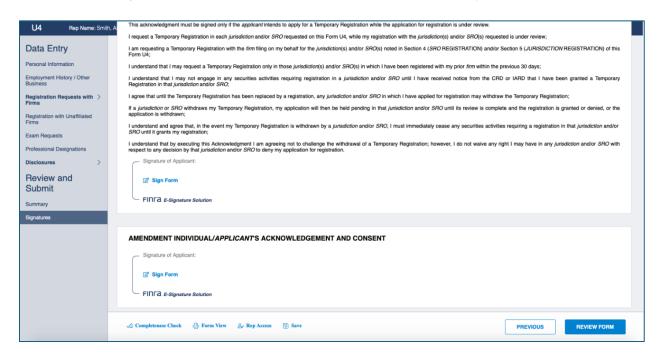
Retrieve and review the Form U4 filing from the e-signature task described above. If any edits are needed, contact your firm. Only the firm can stop the signature process and enable editing. Once your review is complete, select the **Signatures** option on the left of the screen under Review and Submit.

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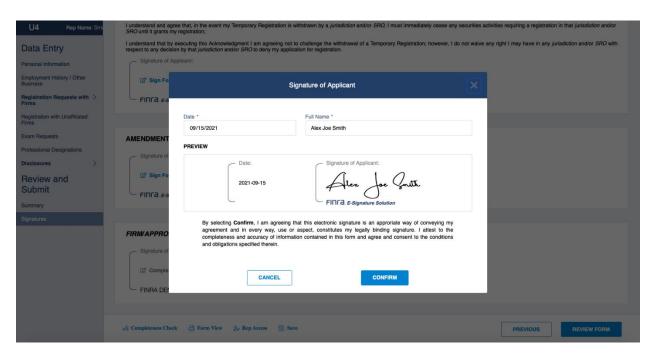


Then select the **Sign Form** links (for section 15A and section 15C when required).

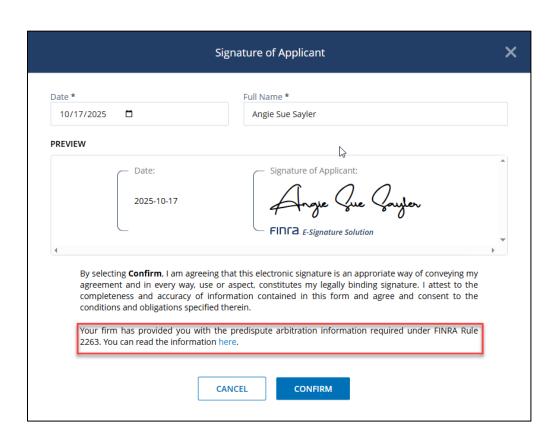


The signature field will prepopulate with the date and your full name (first name, middle name, last name, and suffix) from the filing. Select **CONFIRM** to complete your e-signature.



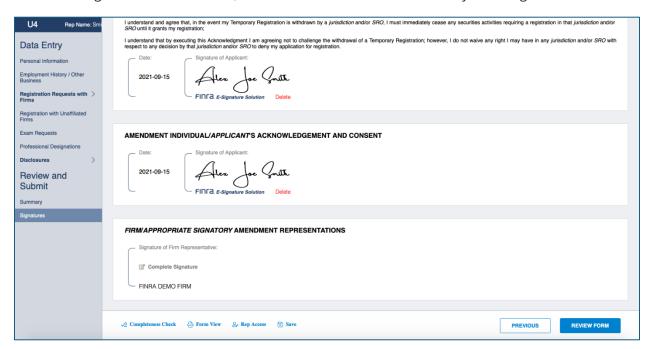


Note: If your firm has opted in to deliver predispute arbitration information via FinPro Gateway, you may receive that information to review on this screen. You can review the information provided via this window here.

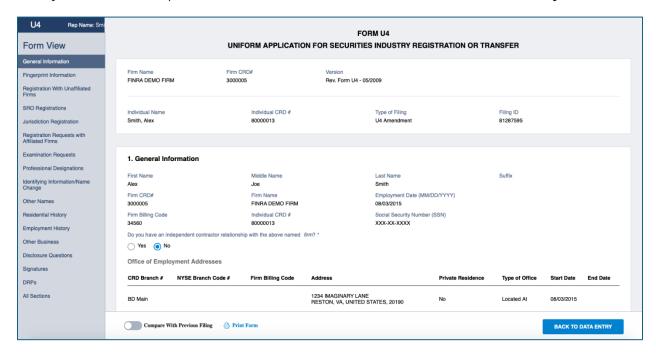




After selecting the CONFIRM button, review the Form U4 in Form View by selecting REVIEW FORM.

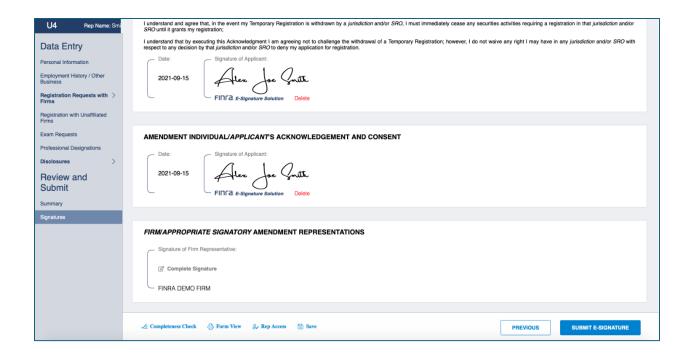


Once your review is complete, select BACK TO DATA ENTRY to return to the Data Entry View



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





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.