

FinPro Email Templates

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Initial Form U4 – Allow Rep Edits

Congratulations on recently accepting an offer to join <insert broker-dealer name here>. In order to complete the registration process, you must provide information on Form U4, the uniform application for securities industry registration or transfer. We have initiated a draft form that you can complete through the [Financial Professional Gateway \(FinPro\)](#), a secure application that allows you to review your industry record, receive email notifications and complete administrative compliance tasks.

Please create an account and submit your Form U4 information through the FinPro system no later than <insert date here>.

If you have any questions or require assistance, please contact the FinPro Gateway Support team (Monday through Friday, 8 a.m. to 8 p.m., Eastern Time (ET)):

Phone: (240) 386-4040

Email: FinproFeedback@finra.org

Annual Attestation – Option 1

It's that time of year again - when we ask you to make sure your records are accurate and up-to-date. This year, we would like you to use FINRA's [Financial Professional Gateway \(FinPro\)](#) system to complete your attestation. You can create a FinPro account to confirm that your record is up-to-date. If any changes are required, let us know by <insert contact instructions here>.

Please create a FinPro account and review your record by <insert deadline information here>.

If you have any questions or require technical support, please contact FINRA's FinPro Gateway Support team (Monday through Friday, 8 a.m. to 8 p.m., Eastern Time (ET)):

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Annual Attestation – Option 2

We are incorporating FINRA's [Financial Professional Gateway \(FinPro\)](#) system into the attestation process. Please log into FinPro to review your record. If any changes are required, let your branch manager know by <insert deadline date here>.

If you have never logged into FinPro before, you can follow along with the [FinPro Account Creation Guide](#) or [FinPro Video Tutorial](#) while registering. Did you ever enroll in an exam on your own or with a voucher? You can use those same credentials to begin the FinPro Account creation process.

Please review your record by <insert deadline information here>.

If you have any questions or require assistance, please contact FINRA's FinPro Gateway Support team (Monday through Friday, 8 a.m. to 8 p.m., Eastern Time (ET)):

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Email to Established RRs

We are incorporating FINRA's Financial Professional Gateway (FinPro) into our firm's compliance program, and we encourage you to create an account (if you haven't already). FinPro is a secure system for registered representatives that offers real-time, 24/7 access to your industry record, various administrative tasks, and email notifications. What's more, FINRA is encouraging industry feedback to help them develop new features to fit your needs.

Information and resources, including the [FinPro Account Creation Guide](#) and a [FinPro Video Tutorial](#), are available on FINRA's [Financial Professional Gateway \(FinPro\)](#) page.

Questions?

If you have any questions or require technical support, please contact the FinPro Gateway Support team (Monday through Friday, 8 a.m. to 8 p.m., Eastern Time (ET)):

Phone: (240) 386-4040

Email: FinproFeedback@finra.org

Email to Terminating RRs – Form U5 Notifications

As your registration ends with our firm, <insert broker-dealer name here> encourages you to sign up for an account with FINRA's Financial Professional Gateway (FinPro) system. FinPro offers real-time, 24/7 access to your industry record. Registered FinPro users can also perform various administrative tasks and receive email notifications that will help you remain eligible to conduct securities business with a registered broker-dealer:

- FinPro will send you an email notification when a new Form U5 filing is available for review and download from FinPro.
- You can update your residential address in FinPro while not registered with a firm.

FinPro allows you to confirm exam validity dates, review disclosure, and keep track of other information that may require updating after we file your Form U5. FINRA continues to develop features for the system; you can learn more about current and future functionality on the [Financial Professional Gateway \(FinPro\)](#) page.

Already have an account?

If you have already created a FinPro account, we encourage you to confirm the personal email address associated with your account is accurate so you don't miss any important notifications from FINRA about your industry status.

Contact FinPro support. If you have any questions or require technical support, please contact the FinPro Gateway Support team (Monday through Friday, 8 a.m. to 8 p.m., Eastern Time (ET)):

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Email: FinproFeedback@finra.org

Email to Branch Managers

<insert name of broker-dealer> is beginning to onboard all securities professionals onto the [Financial Professional Gateway \(FinPro\)](#), FINRA's secure system for industry professionals. FinPro offers real-time, 24/7 access to your personal industry record; streamlined access to various administrative tasks; and email notifications, including Form U5 filing FYIs.

We are asking all branch managers and supervisors for their help ensuring their staff register for a FinPro account by <insert date here>.

FINRA's FinPro support team is available Monday through Friday, 8 a.m. to 8 p.m., Eastern Time (ET), to help you and FinPro users with the following:

- **Creating and Updating Accounts:** The FinPro support team can help users create and validate their new accounts.
- **System Navigation:** The FinPro support team can help users register, navigate, and troubleshoot. They are also educated in basic general compliance requirements.
- **Managing FinPro Use:** The FinPro support team can help you with any questions you have about modifying and monitoring FinPro system access through [the new CRD system](#).
- **Inform Your Reps:** FINRA has drafted several [FinPro Email Templates](#) that you can use to educate your staff about the new system.

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Regulatory Element CE

The deadline to complete your CE Regulatory Element is MM DD YYYY. You can access your CE session from the [Financial Professional Gateway \(FinPro\)](#), a secure system of growing compliance tools for industry professionals. In addition to completing your CE, you can also review your industry record and perform various administrative tasks. FinPro will also begin sending timely email notifications about events and requirements relevant to your industry record.

If this is your first time logging in to FinPro, you can follow along with the [FinPro Account Creation Guide](#) or [FinPro Video Tutorial](#) while setting up your credentials. Have you previously enrolled in an exam on your own or with a voucher? You can use those same credentials to begin the FinPro account creation process.

Failure to complete CE in a timely fashion will result in an inability to conduct business, a halt in compensation and possibly termination; so we strongly encourage you to log in and complete your CE session at your earliest convenience. If you have any questions about creating or accessing your FinPro account, please contact FINRA:

Email: Finprofeedback@finra.org

Phone: (240) 386-4040