Classic U4 Retirement

February 4, 2021
Enhanced U4 Recap

- An enhanced data collection experience for the U4 was deployed to FINRA Gateway last year
  - October 31, 2020 – Initial and Amendment filing types available
  - November 21, 2020 – All other filing types available
  - Announcements and FAQs: https://www.finra.org/registration-exams-ce/classic-crd/registration-filing-finra-gateway

- The FINRA Gateway experience offers numerous usability enhancements
  - Improved on-screen data layout that groups similar sections together
  - Better lookups, logic and validations to ensure more accurate data
  - Integrated interpretive guidance from FINRA.org
  - Streamlined rep collaboration using FinPro

- Enhanced U4 experience initially available alongside Classic CRD U4 experience
  - Firms currently have the option to create filings in FINRA Gateway or Classic CRD
  - Location of draft filings and rep edits flow differ according to the experience selected

- No impacts to Web EFT
Latest Features

- In response to user feedback, additional features were added to the FINRA Gateway U4 experience on January 23, 2021
  - Ability to print-by-section
  - Ability to highlight changes from the previous filing
  - Improved branch lookup design
  - More intuitive flow for individuals to let the firm know they have finished their edits in FinPro
  - Other bug fixes

- Keep up with changes by viewing the FINRA Gateway release notes
  - https://www.finra.org/filing-reporting/finra-gateway/release-notes

- Access tutorials within FINRA Gateway
  - Click the “How can we help?” tab in the lower-right and search for “U4”
Classic U4 Retirement

- The Classic CRD U4 experience will be retired on April 5, 2021
  - Users will no longer be able to create, resume or submit U4 filings in CRD after this date
  - The separate registered rep site that utilizes the reference number will also be retired
  - All other Classic CRD functionality will remain available

- All pending U4 filings in Classic CRD must be submitted prior to April 5
  - Any U4 filings still pending in Classic CRD on April 5 will be deleted and cannot be recovered
  - U4 drafts in FINRA Gateway are not impacted

- Beginning April 5, all online U4 filings must use the enhanced U4 experience
  - Users must create, resume and submit all online U4 filings within FINRA Gateway
  - All rep collaboration must utilize FinPro

- Automated U4 uploads via Web EFT will remain available
Registration Filing Milestones

**New U4**
- Enhanced U4 Experience Launch (Initial and Amendments only) - October 31, 2020
- Remaining U4 Filing Types Available in New Experience - November 21, 2020
- Additional U4 Functionality - January 23, 2021
- Enhanced U5 Experience Testing (Tentative) - April 5, 2021
- Enhanced U5 Experience Launch (Tentative) - April 2021

**Classic CRD**
- Classic U4 Retirement (Including Registered Rep Site for Allow Rep Edits)
- May 2021
# Resources

**Webinar recordings: finra.org/webinars**
- FINRA Gateway
- Registration Systems
- FinPro

**FINRA Gateway rollout: finra.org/finra-gateway**
- Key Dates
- FAQs
- Release Notes
- User Research

**Registration and Testing email list: tools.finra.org/email_subscriptions**
- Invitations to future webinars
- CRD program announcements
- Feedback opportunities
Please submit questions to feedbackfinragateway@finra.org