

# Financial Professional Gateway

## ACCESSING FORM U5 IN FINPRO

FINRA, other Self-Regulatory Organizations (SROs), and jurisdictions use Form U5 (Uniform Termination Notice for Securities Industry Registration) to terminate registration and, if relevant, detail the reason employment ended.

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# Form U5 in FinPro

## Types of U5 Filings

There are three types of U5 filings:

### Full Form

A full Form U5 is used when your employment with the firm ends. Your registrations with all SROs and jurisdictions will be terminated. It is also used if you are still employed with the firm but have moved to a non-registered role.

### Partial Form

A partial Form U5 is used when you are still employed with the firm but have terminated registrations with selected SROs and jurisdictions. A termination reason and disclosures are not included in partial Form U5 filings. Residential addresses can be updated; however, branch office addresses cannot be updated.

### Amendment Form

An amendment Form U5 is used to update or amend your disclosures, date of termination, reason for termination and residential information for a previous termination.

## Form U5 Filing

Your firm will file Form U5 electronically on your behalf within 30 days of your employment end date and disclose the reason your employment ended in addition to certain other events.

Firms are under a continuing obligation to amend and update Section 7 (Disclosure Questions) of the Form U5 until final disposition, including reportable matters that occur and become known after initial submission of the form.

## Form U5 Retention

As stated in [FINRA Rule 1010](#) and the instructions to the Form U5, the filing firm is obligated to retain and make available a copy of the initial Form U5, and amendments to Disclosure Reporting Pages, for inspection upon regulatory request.

## Sample Form U5

[View PDF](#)

Rev. Form U5 (05/2009)					
UNIFORM TERMINATION NOTICE FOR SECURITIES INDUSTRY REGISTRATION					
INDIVIDUAL NAME:		INDIVIDUAL CRD #:			
FIRM NAME:		FIRM CRD #:			
<b>NOTICE TO THE INDIVIDUAL WHO IS THE SUBJECT OF THIS FILING</b> Even if you are no longer registered you continue to be subject to the jurisdiction of regulators for at least two years after your registration is terminated and may have to provide information about your activities while associated with this firm. Therefore, you must forward any residential address changes for two years following your termination date or last Form U5 amendment to: CRD Address Changes, P.O. Box 9495, Gaithersburg, MD 20898-9495.					
<b>1. GENERAL INFORMATION</b>					
FIRST NAME:	MIDDLE NAME:	LAST NAME:		SUFFIX:	
FIRM CRD #:	FIRM NAME:			FIRM NFA#:	
INDIVIDUAL CRD #:	INDIVIDUAL SSN:	INDIVIDUAL NFA#:	FIRM Billing Code:		
Office of Employment Address:					
<input type="radio"/> Registered	CRD BRANCH #:	NYSE BRANCH CODE#:	FIRM BILLING CODE:	<input type="radio"/> Located At	START DATE: END DATE:
<input type="radio"/> Non-Registered				<input type="radio"/> Supervised From	
OFFICE OF EMPLOYMENT ADDRESS STREET 1:		CITY:		STATE:	
OFFICE OF EMPLOYMENT ADDRESS STREET 2:		COUNTRY:		POSTAL CODE:	
Private Residence Check Box: If the Office of Employment address is a private residence, check this box. <input type="checkbox"/>					
<input type="radio"/> Registered	CRD BRANCH #:	NYSE BRANCH CODE#:	FIRM BILLING CODE:	<input type="radio"/> Located At	START DATE: END DATE:
<input type="radio"/> Non-Registered				<input type="radio"/> Supervised From	
OFFICE OF EMPLOYMENT ADDRESS STREET 1:		CITY:		STATE:	
OFFICE OF EMPLOYMENT ADDRESS STREET 2:		COUNTRY:		POSTAL CODE:	
Private Residence Check Box: If the Office of Employment address is a private residence, check this box. <input type="checkbox"/>					
<input type="radio"/> Registered	CRD BRANCH #:	NYSE BRANCH CODE#:	FIRM BILLING CODE:	<input type="radio"/> Located At	START DATE: END DATE:
<input type="radio"/> Non-Registered				<input type="radio"/> Supervised From	
OFFICE OF EMPLOYMENT ADDRESS STREET 1:		CITY:		STATE:	
OFFICE OF EMPLOYMENT ADDRESS STREET 2:		COUNTRY:		POSTAL CODE:	
Private Residence Check Box: If the Office of Employment address is a private residence, check this box. <input type="checkbox"/>					
<b>2. CURRENT RESIDENTIAL ADDRESS</b>					
NOTICE TO THE FIRM: This is the last reported residential address. If this is not current, please enter the current residential address.		FROM (MM/YYYY):		TO (MM/YYYY):	
ADDRESS STREET 1:		CITY:		STATE:	
ADDRESS STREET 2:		COUNTRY:		POSTAL CODE:	
<b>3. FULL TERMINATION</b>					
Is this a FULL TERMINATION? <input type="radio"/> Yes <input type="radio"/> No					
Note: A "Yes" response will terminate ALL registrations with all SROs and all jurisdictions.					

# Access Your Form U5

Firms are required to provide you with a copy of your Form U5 within 30 days. This copy is available electronically in FinPro through the Shortcuts feature. Log in to your account, then **click View U5 on the right side of your dashboard to go to Registrations on your profile page** where you can select the specific Form U5 you wish to access.

The screenshot shows the 'My Dashboard' page. On the right side, under the 'Shortcuts' section, the 'View U5' link is highlighted with a red box. Other links include 'Print U4', 'Print CE Transcript', 'Take Firm Element CE', 'Go to Legacy FinPro', and 'Go to FINRA.org'. Below this, the 'Continuing Education Program Status' section shows 'Reg Element CE' and 'IAR CE' both as 'Required' with a clock icon. The main dashboard area contains 'My Tasks' with sections for email confirmation, U4 information review, and annual regulatory element CE due on 12/31/2025. It also lists assignments with links to launch CE for various topics like Rule 3240, Reg BI, and Customer Screening.

The screenshot shows the 'My Profile' page. On the left, a sidebar menu lists 'Summary', 'Registrations', 'Disclosures', 'Disclosure Questions', 'Qualifications', and 'Employment'. The main content area is divided into 'Summary' and 'Registrations'. The 'Registrations' section lists two entries: 'MML INVESTORS SERVICES, LLC (CRD#10409)' and 'LENOX ADVISORS, INC. (CRD#119386)'. The 'LENOX ADVISORS, INC.' entry is highlighted with a red box, and a 'View U5' link is visible next to it. The 'Summary' section includes fields for 'Rep Identifiers', 'Contact Information', 'Rep Status', and 'Residential Supervisory Location (RSL) Status'.

## Your Obligations After Termination

You continue to be subject to the jurisdiction of the regulators with which you were registered for at least two years after registration is terminated.

During that time, you may have to provide information about your activities while associated with the firm. Therefore, you must [report any residential address changes](#) in your FinPro account for two years following your termination date or last Form U5 amendment.

Read the [Manage Your Career Guide](#) for more information about registration termination.