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# Financial Professional Gateway (FinPro Gateway)

# Viewing Form Filing Event History in FinPro Gateway Guide

This guide will walk you through navigation to view your filing history in the Financial Professional Gateway (FinPro Gateway<sup>TM</sup>).

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# **U4 and U5 Form Filing Event History**

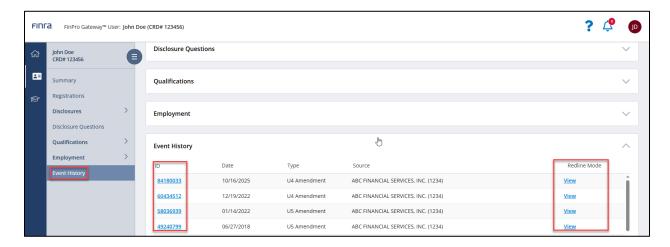
Your U4 and U5 filing event history is where you can find filings that your firm(s) have filed to your CRD record.

The Form U4 is used to request and maintain your registrations with the appropriate jurisdictions and/or self-regulatory organizations (SROs), while the Form U5 is used to terminate those registrations.

The information included on Form U4 and Form U5 includes information about you and your background, including any regulatory events and other disclosures. It's important to ensure that the information provided on these form filings is accurate and timely.

## **View Form Filing Event History**

You can access your filing event history via your FinPro Gateway **My Profile** page. From the left hand navigation pane, select the **My Profile** icon. Then select **Event History** to expand this section on the page.



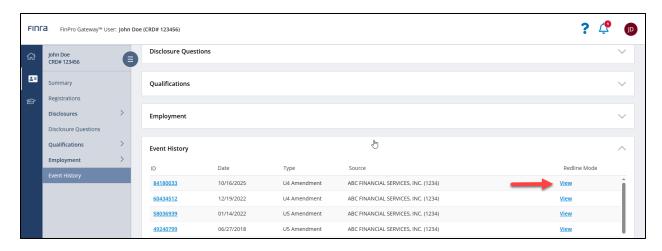
You will see the history of filings listed chronologically, descending from the most recent filing. Clicking on a filing **ID** will open the filing in another browser window.

You may receive an email when certain Form U4 and Form U5 filings are submitted by firms that you are associated with. Those emails include a filing ID, and you can use that ID to find the filing referenced in the form filing event history.

### **Viewing Redline Changes**

To see the specific information that was updated by your firm in a specific filing, click the **View** link under the Redline Mode for the filing.

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#### The redline filing will open in a new window. Changes will be identified in red.

