

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™).

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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.

ID	Date	Type	Source	Redline Mode
84180033	10/16/2025	U4 Amendment	ABC FINANCIAL SERVICES, INC. (1234)	View
60434512	12/19/2022	U4 Amendment	ABC FINANCIAL SERVICES, INC. (1234)	View
58036939	01/14/2022	U5 Amendment	ABC FINANCIAL SERVICES, INC. (1234)	View
49240799	06/27/2018	U5 Amendment	ABC FINANCIAL SERVICES, INC. (1234)	View

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.

FINRA FinPro Gateway™ User: John Doe (CRD# 123456) ? JD

John Doe
CRD# 123456

Summary
Registrations
Disclosures
Disclosure Questions
Qualifications
Employment
Event History

Disclosure Questions

Qualifications

Employment

Event History

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

Arizona	☐	☐	Iowa	☐	☐	Nevada	☐	☐	South Carolina	☐	☐
Arkansas	☐	☐	Kansas	☐	☐	New Hampshire	☐	☐	South Dakota	☒	☐
California	☐	☐	Kentucky	☐	☐	New Jersey	☐	☐	Tennessee	☐	☐
Colorado	☐	☐	Louisiana	☐	☐	New Mexico	☐	☐	Texas	☐	☐
Connecticut	☐	☐	Maine	☐	☐	New York	☐	☐	Utah	☐	☐
Delaware	☐	☐	Maryland	☐	☐	North Carolina	☐	☐	Vermont	☐	☐
District of Columbia	☐	☐	Massachusetts	☐	☐	North Dakota	☐	☐	Virgin Islands	☐	☐
Florida	☐	☐	Michigan	☐	☐	Ohio	☐	☐	Virginia	☐	☐
Georgia	☐	☐	Minnesota	☐	☐	Oklahoma	☐	☐	Washington	☐	☐
Hawaii	☐	☐	Mississippi	☐	☐	Oregon	☐	☐	West Virginia	☐	☐
Idaho	☐	☐	Missouri	☐	☐	Pennsylvania	☐	☐	Wisconsin	☐	☐
									Wyoming	☐	☐

AGENT OF THE ISSUER REGISTRATION (AI) ☐ Indicate 2 letter jurisdiction code(s): _____

6. Registration Requests with Affiliated Firms

Will applicant maintain registration with firm(s) under common ownership or control with the filing firm?
If "yes", fill in the details to indicate a request for registration with additional firm(s).

☒ Yes ☐ No

Registration Requests for Affiliate CRD# 0

If the individual seeks registration with firm(s) affiliated with the filing firm, complete the following to make a request for registration with the additional affiliated firm(s) other than the filing firm.

Affiliated Firm CRD #
149018
0

Affiliated Firm Name
ABC FINANCIAL SERVICES-ADVISORS, INC.

Employment Date
(MM/DD/YYYY):
04/28/2012

Affiliated Firm Billing Code:
6PF

Office of Employment Address:

Do you have an independent contractor relationship with the above named firm?:
☒ Yes ☐ No

☐ Check here to request the same SRO and jurisdiction registrations for this affiliated firm that are requested on this application for the filing firm.
☐ Check here to request different SRO and jurisdiction registrations than requested on this application for your filing firm.