

FINra[®]

Classic U4 Retirement

February 4, 2021

- Enhanced U4 Recap
- Latest Features
- Classic U4 Retirement
- Key Dates
- Resources

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”

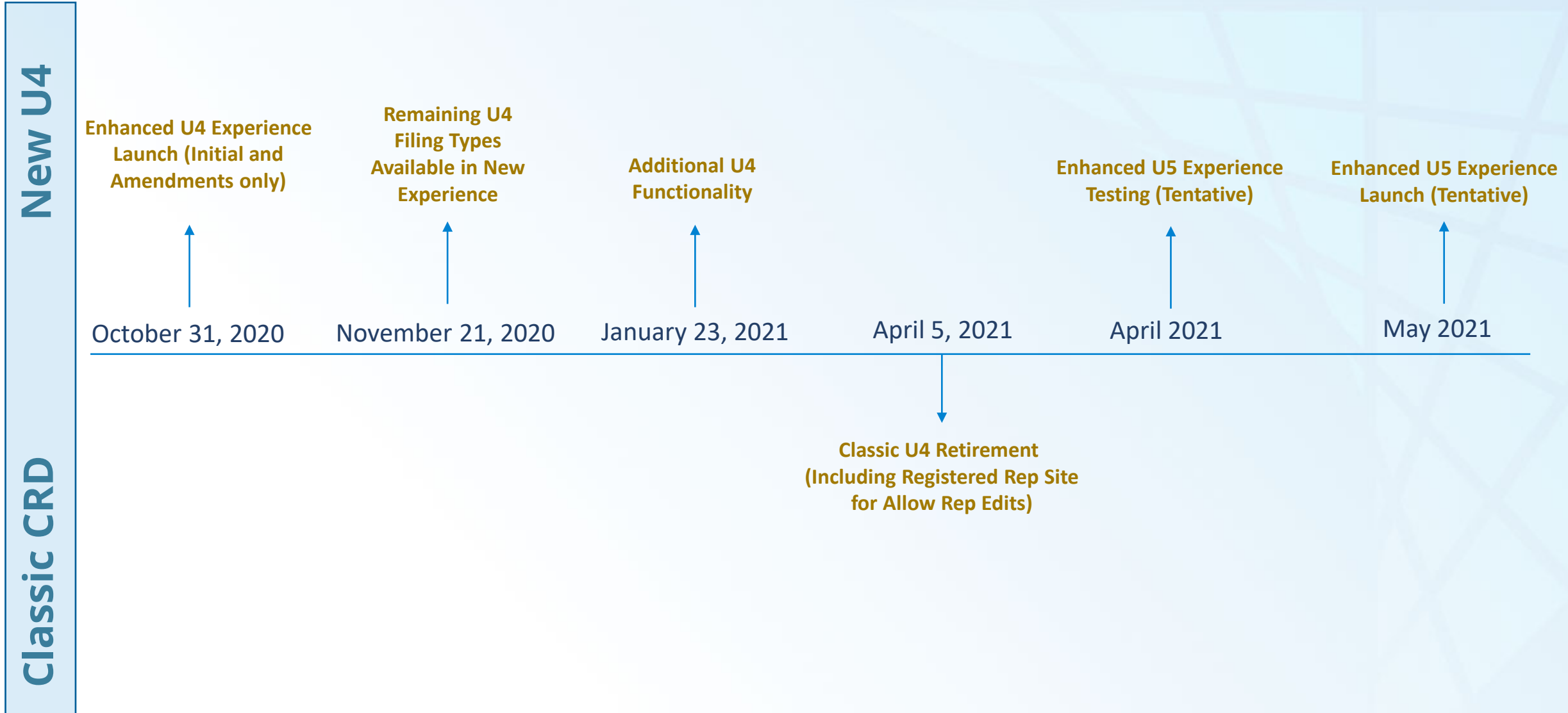
Demo



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



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