

# FINRA API Platform Create Individual and U4 Submission

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September 2026

# Agenda

## Section

Introduction of Features

Create Individual and U4 Submission Demo using Postman

# Create Individual and U4 Submission

- **Create Individual:** Allows FINRA member firms to create an initial registration record for an individual, including the generation of a CRD Number.
  - Not required for U4 submission and is only needed if the individual does not possess a CRD Number.
  - **Synchronous call and available operations for Create Individual are**
    - POST
    - GET
- **Form U4:** FINRA member firms can utilize this feature to transmit U4 filings to FINRA
  - U4 filings can be sent in either draft or submitted mode.
    - Draft filing can be updated and submitted for processing via FINRA Gateway UI.
    - Enable ability for the rep to edit the draft and provide e-signature in FinPro.
    - Filings sent in submitted mode is directly sent for processing.
  - [Individual Pre-Registration Search v2](#) Query API to prefill U4 for submission
  - Supports ability to do U4 amendment using complete filing or just with delta changes
  - **Asynchronous call and available operations for U4 are**
    - POST
    - PATCH
    - PUT
    - GET

# Create Individual and U4 Submission Postman Demo

- Create Individual (POST)
- Initial U4 Submission (POST in submitted mode)
- U4 Amendment
  - Updating lastName using operation (POST in submitted mode)
  - Updating address using unique id (POST in draft mode)
- U4 Submission with Rep Edit and Rep Signature Capabilities (POST in draft mode)