

## Trading Activity Fee (TAF) User's Guide

The Trading Activity Fee, (TAF) is one of the regulatory fees FINRA assesses to recover the costs of supervising and regulating firms. This includes costs associated with performing examinations, financial monitoring, and FINRA's policy, rulemaking, interpretive, and enforcement activities.

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**Questions on E-Bill? Call the FINRA Call Center at 301-590-6500**  
8 A.M. - 8 P.M., ET, Monday through Friday.

**Access TAF:**

- Access via Firm Gateway at: <https://firms.finra.org/>

After logging into Firm Gateway, the Home tab displays.

The screenshot shows the Home page of the Firm Gateway. At the top, there is a navigation bar with tabs: Home (highlighted with a red box), Forms & Filings, Web CRD, IARD, Firm Profile, E-Bill, and User Administration. Below the navigation bar, the page is divided into several sections:

- CRD Individual Search:** A search box for CRD#, SSN#, or Name with a 'Go' button and an 'Advanced Search' link.
- Flex-Funding Account Balance:** Shows a 'Sufficient' status and a balance of **-\$37,536.94** as of 09/22/2014.
- My Quicklinks:** A section for adding custom quick links.
- Alerts:** A yellow warning box stating: "The Annual Review of contacts is **Overdue** in the FINRA Contact System. You have 2 alert(s) in your contact list in the FINRA Contact System. Note: Changes may be reflected within one business day."
- Announcements:** A section for test announcements, with one example: "Test announcement 22 hours ago".
- Filing Reminders:** A section for reminders, with a note: "Note: Changes may be reflected within one business day." Below this is a table of reminders:
 

Next Due Date	Filing
<b>Overdue</b>	You have overdue Trading Activity Fee (TAF) Self-Reporting Form filings.
<b>Overdue</b>	You have overdue FOCUS filings.
11/10/2014	Trading Activity Fee (TAF) Self-Reporting Form <a href="#">Add to calendar</a>
- Resources:** A sidebar with links to various resources including FINRA Rules, Notices, Compliance Tools, and more.
- Do You Have a Question?:** A section for general technical support.

**Access TAF - Entitlement:**

There will be a new application entitlement for the TAF form. Each firm's Super Account Administrator (SAA) will be able to grant TAF entitlement to employees within the firm.

Application Entitlements		
User = The ability to use the functionality as defined by the privilege. Privilege Viewer = The ability to view the privilege assigned to your organization's users from the EWS Account Management Application. Administrator = The ability to assign the privilege to other users and view the privilege assigned to other users.		
Account Management:	User	
Edit Account Data:	User	
Manage Accounts:	User	
Change Password:	User	
E-Bill:	User	Administrator
Primary Account Admin:		Privilege Viewer
Invoices:	User	Administrator
FINRA Flex-Funding Account:	User	Administrator
Reallocation:	User	Administrator
Renewal Account:	User	Administrator
Trading Activity Fee:	User	Administrator
Submit:	User	Administrator

To locate the SAA for your firm, from Firm Gateway,

1. Click the **My Account** link.
2. Click the **Applications & Administrators** link.

The screenshot shows the FINRA Firm Gateway interface. At the top right, there are links for 'FINRA.org', 'My Account', 'Feedback', 'Contact Us', and 'Log Out'. The 'My Account' link is highlighted with a red box. Below this is a navigation bar with 'Firm Gateway' and several menu items: 'Home', 'Forms & Filings', 'Web CRD', 'IARD', 'Firm Profile', 'E-Bill', and 'User Administration'. On the left, a sidebar contains 'My Account' with sub-links: 'My Account Information', 'Change Password', 'Change Security Questions', and 'Applications & Administrators'. The 'Applications & Administrators' link is highlighted with a red box. The main content area is titled 'My Account: Applications & Administrators' and shows the SAA for the organization. Below this, it states: 'The following table lists all FINRA applications available to your organization:'. There are two legend items: a green checkmark indicating permissions and a red stop sign indicating no permissions. A note says: 'This view is sorted by application title. To sort by administrator name, please click here.' Another note says: 'please contact an Administrator if you wish to change your permission status for any of these applications.' At the bottom, there is a table header with columns: 'Application', 'Description', and 'Account Administrator - Phone (click for email)'. The table body is partially visible.

**NOTE:** If you do not have access to Firm Gateway, Contact the Call Center at (301) 590-6500 for your SAA information.

**TAF Filing Reminders:**

On the first day of each month, a TAF form is published for each FINRA Member Clearing Firm so that the previous month's activity can be reported. When a TAF Form is published, a reminder displays on the Firm Gateway Home page, indicating that the form is available.

Reminders are displayed below the Announcements, in the Filing Reminders section. If the TAF form is not submitted by the 10th business day of the month in which it is published, the Due Date displays the status in red as Overdue.

The screenshot shows the FINRA Firm Gateway Home page. At the top, there is a navigation bar with links: Home, Forms & Filings, Web CRD, IARD, Firm Profile, E-Bill, and User Administration. On the left side, there are sections for 'CRD Individual Search' (with a search box and 'Go' button), 'Flex-Funding Account Balance' (showing 'Sufficient' and '-\$37,536.94 as of 09/22/2014'), and 'My Quicklinks' (with an 'Add your custom quick links' box and an 'Edit' link).

The main content area features a yellow alert box at the top stating: 'The Annual Review of contacts is **Overdue** in the FINRA Contact System. You have 2 alert(s) in your contact list in the FINRA Contact System. Note: Changes may be reflected within one business day.' Below this is an 'Announcements' section with a 'Test announcement' from 22 hours ago. The 'Filing Reminders' section is highlighted with a red box and contains the following text: 'For FOCUS, 4530 Disclosure and Complaints -- Rule 4530(a,b,d), Short Filings, Reg-T, 3012 Claim for Exception, FCS Review, 2711 Certification, and Information Requests. Note: Changes may be reflected within one business day.' Below this, there are two tabs: 'My Filings' and 'Firm Filings'. A table lists the reminders:

Next Due Date	Filing
<b>Overdue</b>	You have overdue Trading Activity Fee (TAF) Self-Reporting Form filings.
<b>Overdue</b>	You have overdue FOCUS filings.
11/10/2014	Trading Activity Fee (TAF) Self-Reporting Form <a href="#">Add to calendar</a>

On the right side, there is a 'Resources' section with links to: FINRA Rules, Notices, Compliance Tools, Compliance Resource Providers, Industry Issues, FINRA BrokerCheck, Arbitration Awards Online, Apply to be an Arbitrator, Education, New Member Information, Continuing Member Application, and 2014 FINRA Annual Conference Exhibitors. At the bottom right, there is a 'Do You Have a Question?' section with a link to 'General Technical Support'.

## Setting TAF Filing Reminders:

A feature is available to add a TAF Filing reminder to your calendar. To include a filing reminder on your calendar:

1. Click the **Add to Calendar** button.

The screenshot shows the FINRA user interface with a navigation bar at the top containing links for Home, Forms & Filings, Web CRD, IARD, Firm Profile, E-Bill, and User Administration. On the left, there are sections for 'CRD Individual Search' and 'Flex-Funding Account Balance' (showing a sufficient balance of -\$37,536.94 as of 09/22/2014). The main content area features a yellow warning banner about overdue annual reviews, followed by 'Announcements' and 'Filing Reminders'. The 'Filing Reminders' section lists two overdue items: 'Trading Activity Fee (TAF) Self-Reporting Form' and 'FOCUS filings'. The 'Trading Activity Fee (TAF) Self-Reporting Form' entry has a date of 11/10/2014 and an 'Add to calendar' button highlighted with a red box. A 'Resources' sidebar on the right lists various links like 'FINRA Rules', 'Compliance Tools', and '2014 FINRA Annual Conference Exhibitors'. At the bottom right, there is a 'Do You Have a Question?' section with a link to 'General Technical Support'.

A pop-up message displays.

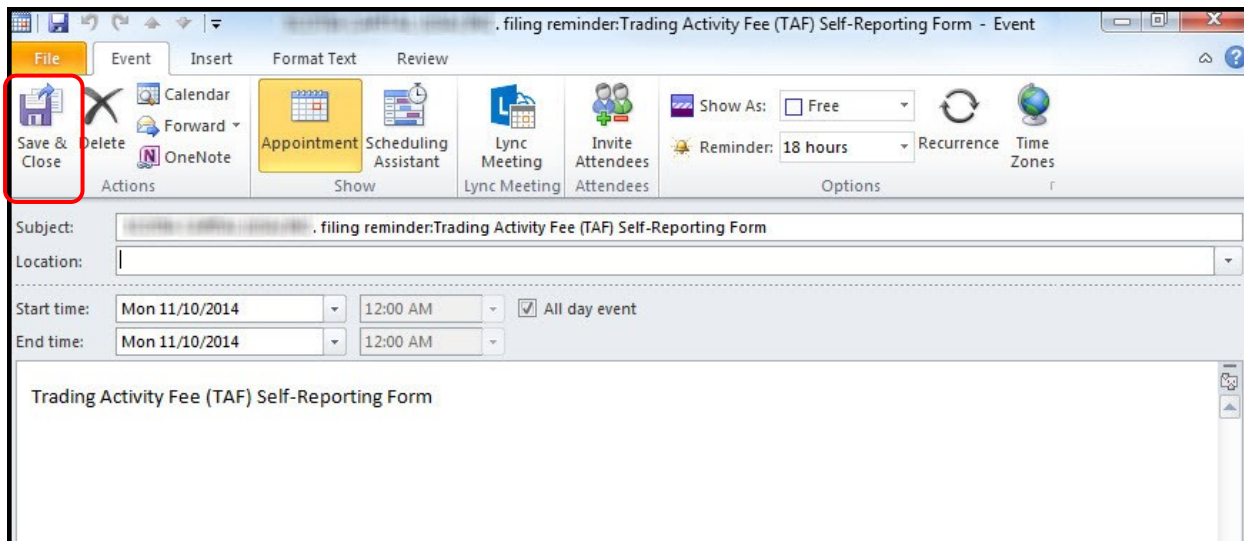
2. Click the **Open** button.

The screenshot shows a file dialog box with the text: "Do you want to open or save filingEvent.ics from firms1.qa.finra.org?". On the right side, there are three buttons: "Open", "Save" (with a dropdown arrow), and "Cancel". A small "X" icon is located to the right of the "Cancel" button.

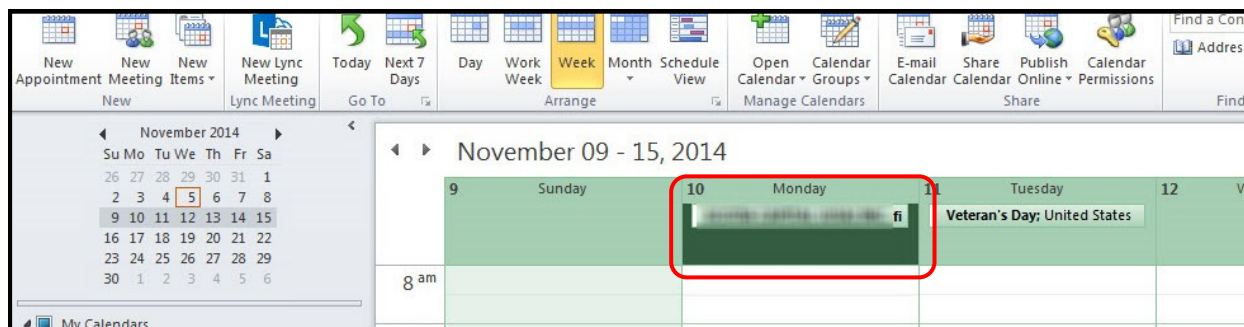
**NOTE:** Clicking the **Save** button downloads and stores the event file on your computer.

The Filing Reminder event displays in the Microsoft Outlook calendar.

3. Edit/confirm the Filing Reminder settings.
4. Click the **Save & Close** button.



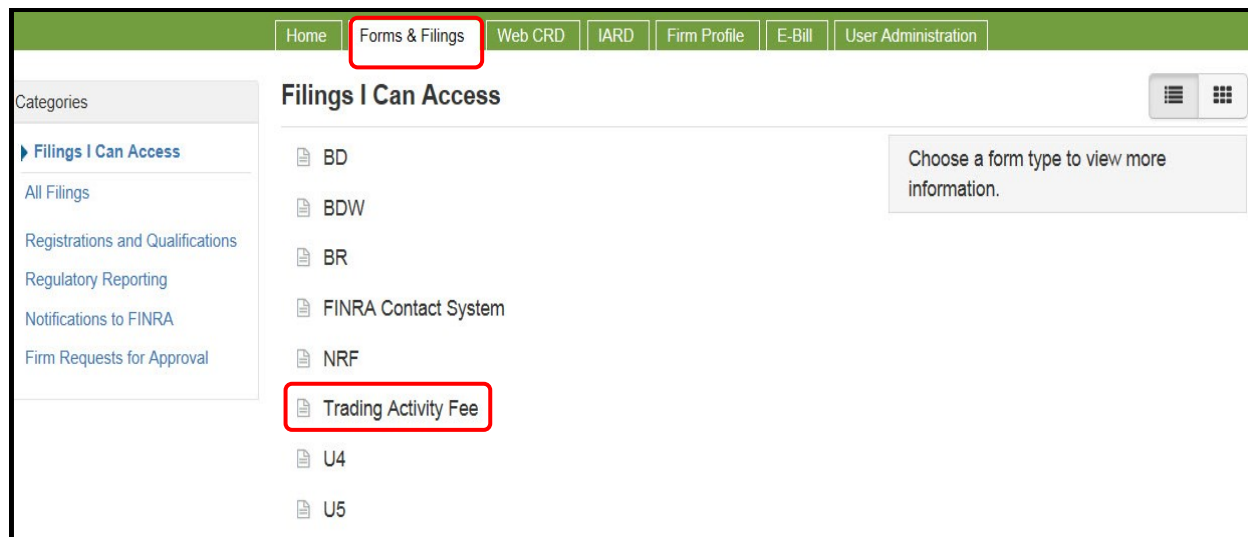
The event is added to your calendar as shown below.



## Complete a TAF Filing:

The TAF Filing can be accessed on the Forms & Filings tab under Filings I Can Access .

1. Click the **Forms & Filings** tab.
2. Click **Trading Activity Fee** link.

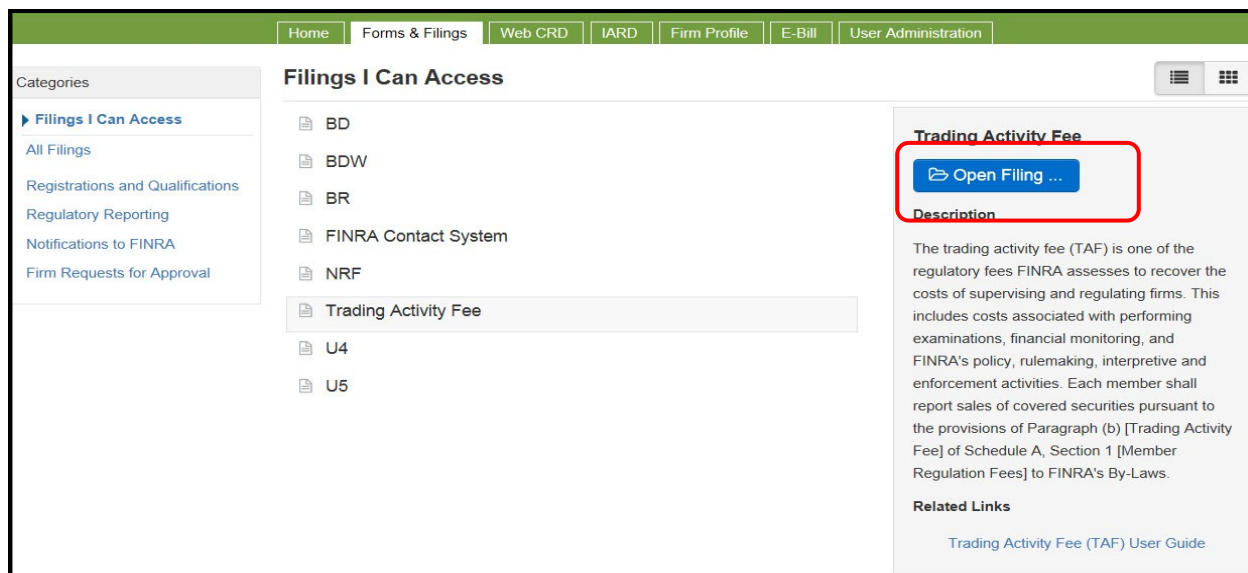


**NOTE:** This screen offers two display options: List view and Grid view. List view is displayed by default. Click the respective icons to toggle the views.



The Trading Activity Fee panel displays.

3. Click the **Open Filing** button.



The Filing History for the Trading Activity Fee displays. This screen displays both current and historical filings, enables users to complete and submit a TAF Filing, and to edit a TAF filing that has been saved, but not yet submitted.

1. Click the **Filing ID** link.

The Trading Activity Fee form displays.



Identifying data, Contact information, and the Mailing Address for the firm are pre-populated and display at the top of the form.

**NOTE:** The **No Change** button is active by default. If the information has changed, use the process to update.

To edit Contact or Mailing Address information:

1. Click the **Edit** radio button.
2. Enter the updated text.

**NOTE:** The form may be saved as a draft; however, the TAF form cannot be submitted without the Volume information. The text changes will be saved at that time.

Please indicate any changes to the Contact Information and/or Mailing Address by selecting the Edit Button and editing the data below. If the Edit button is selected, all data in these fields will be saved when the form is submitted.

No Change
  Edit

<p><b>Contact Information</b></p> <p>Contact Name * <input type="text" value="Mark Major"/></p> <p>Contact Telephone * <input type="text" value="(202) 555-2121"/></p> <p>Contact Email Address * <input type="text" value="Mark.Major@MajorBank.com"/></p> <p><i>The Contact section should provide information about the person at the firm who will be able to answer financial questions about the filing.</i></p>	<p><b>Mailing Address</b></p> <p>Address Line 1 * <input type="text" value="919 Services Drive"/></p> <p>Address Line 2 <input type="text" value="Suite 200"/></p> <p>Address Line 3 <input type="text"/></p> <p>City * <input type="text" value="New York"/></p> <p>State/Province * <input type="text" value="New York"/></p> <p>Zip/Postal Code <input type="text" value="10250"/></p> <p>Country * <input type="text" value="United States"/></p>
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The reporting period displayed is the applicable reporting month. This is a system-generated value and cannot be edited.

To complete the TAF form:

1. Enter the value for each aggregate volume.

**NOTE:** Each field must have a value, otherwise, a system error displays.

Reporting Period: 10/2014

	Transaction Type	Aggregate Volume	Rate (\$)	Assessment Amount
1	Covered Equity Securities (under maximum) # of Shares	5,000.000000	0.00011900	\$0.60
2	Covered Equity Securities (at maximum) # of Trades	2,000.000000	5.95000000	\$11,900.00
3	Covered Option Contracts (# of Contracts)	0.000000	0.00200000	\$0.00
4	Covered Security Futures (above minimum) (# of Contracts Traded on a Round Turn Basis)	0.000000	0.00008000	\$0.00
5	Covered Security Futures (at minimum) (# of Transactions)	0.000000	0.01000000	\$0.00
6	Covered Municipal and TRACE Securities (except ABSs) (at maximum) # of Trades	<input type="text" value=""/>	0.75000000	\$0.00
7	Covered TRACE Asset-Backed Securities (under maximum) Value of Trades	1,000.000000	0.00000075	\$0.00
8	Covered TRACE Asset-Backed Securities (at maximum) # of Trades	1,000.000000	0.75000000	\$750.00
9	NEWPSTRT DESCR	0.000000	3.00000000	\$0.00
<b>Total Assessment Amount</b>				<b>\$12,650.60</b>

Invoice

Select "Invoice" if you wish to be invoiced and pay later through E-Bill. Otherwise, you will be prompted to pay now upon submission.

**NOTE:** When no fees are associated with the filing, no payment is required:

**Total Assessment Amount** **\$0.00**

2. Click the **Submit** button.

**NOTE:** Two options for payment are available at the time of submittal: Pay Now - by clicking the Submit button; or Be Invoiced. The invoice feature is set when the Invoice checkbox is clicked. When this option is chosen, the fees are paid via E-Bill. In this scenario, the Pay now option is presented.

The TAF Payment Page displays.

1. Select a **Payment Type**.
2. Enter the **Credit Card or Bank Account Information**.
3. Complete the **Billing information**.
4. Click the **Submit Payment Information** button.

Trading Activity Fee (TAF) - Payment Page

Covered Equity Securities - # of Shares	\$22.40
Covered Equity Securities - # of Trades	\$0
Covered Option Contracts - # of Contracts	\$0
Covered Security Futures - # of Contracts	\$0
Covered Security Futures - # of Transactions	\$0
Covered Municipal/TRACE Securities - # of Bonds	\$6.60
Covered Municipal/TRACE Securities - # of Trades	\$0
Covered TRACE Asset-Backed Securities - Value of Trades	\$0
Covered TRACE Asset-Backed Securities - # of Trades	\$0
<b>Total</b>	<b>\$29</b>

**Payment Type**

Credit/Debit Card

Bank Account

**Credit/Debit Card Information**

\* Denotes required field

\* Card Type:

\* Card #:

\* Card Security Code:

The Card Security Code can be found as the last three digits in the signature panel on the back of your VISA, MasterCard, Discover card, or the four digits printed on the front of your American Express card above the embossed number.

\* Expiration Date: Month:  Year:

**Billing Information**

\* Full Name (as it appears on credit card):

\* Street Address Line 1:

Street Address Line 2:

\* City:

\* State:

Province/Region:

\* Zip Code:

Postal Code:

\* Country:

A confirmation page displays and an email confirmation is sent.

**NOTE:** If the firm should decide to cancel the payment, the opportunity to pay the filing fee is available, but only for a limited time after the initial transaction attempt. After the payment window expires, The next attempt to pay, as well as status updates, are managed on the **Filing History** screen.

The Filing History is updated after a payment attempt has been made. Payment status for each filing is displayed here.

**NOTE:** If the firm elects to pay the TAF fees at the time of the filing and does not pay immediately, a Reminder email is sent two hours after the form submittal.

To pay for the filing at this point,

1. Select the filing from the **Filing History** screen.
2. Click the **Make Payment** button.

**Filing History for the Trading Activity Fee (TAF) Self-Reporting Form**

This page displays a list of your past forms that were submitted online, as well as new forms that are available to be completed and submitted. A new form will be in "Draft" status and will change to "submitted" once you have submitted it to FINRA.

If you do not see a form for the period that you are trying to report or need to add new clearing firms, please contact the FINRA Gateway Call Center at (301) 590-6500. For additional information about the Form Filing Cabinet in the context of the TAF form, please refer to the [Trading Activity Fee \(TAF\) User Guide](#).

MAKE PAYMENT

FILING ID	CLEARING NUMBER	REPORTING PERIOD	FILING LAST UPDATED	FILING STATUS	PAYMENT STATUS
1281006		11/2014	12/01/2014 04:02 PM	Submitted	Pending

**NOTE:** If the payment is not made within 12 hours of the form submission, the Payment Status changes to "Invoice" and the Make Payment button becomes inactive. Thereafter, Online payments can be submitted through E-Bill, after the invoice is generated and available.

**Filing History for the Trading Activity Fee (TAF) Self-Reporting Form**

This page displays a list of your past forms that were submitted online, as well as new forms that are available to be completed and submitted. A new form will be in "Draft" status and will change to "submitted" once you have submitted it to FINRA.

If you do not see a form for the period that you are trying to report or need to add new clearing firms, please contact the FINRA Gateway Call Center at (301) 590-6500. For additional information about the Form Filing Cabinet in the context of the TAF form, please refer to the [Trading Activity Fee \(TAF\) User Guide](#).

MAKE PAYMENT

FILING ID	CLEARING NUMBER	REPORTING PERIOD	FILING LAST UPDATED	FILING STATUS	PAYMENT STATUS
1343509	0000	04/2014	01/20/2015 04:20 PM	Submitted	Invoice

## Pay a TAF Invoice by Credit Card or ACH via E-Bill

1. Click the E-Bill tab.
2. Click the **Open Invoices / Accounts** tab.
3. Click the **TAF Invoice** you want to pay and edit the **Payment Amount**, if necessary.

**NOTE:** The information that is displayed is dependent on your user entitlement privileges. Based on your entitlement privileges, you may see FINRA Accounts and/or Open Invoices sections of the screen. The user in this scenario has access to both.

A user may choose to make an invoice payment along with funding the account but if the FINRA Flex-Funding Account is selected, ACH will be the only available payment option.

The Invoice Type filter can be used to display all open invoices or a specific type (i.e. MTRCS, GASBE, MREGN, TRACE, TAFBI, ADVRG, or CMABI).

**NOTE:** Only the specific invoices for your firm are displayed.

Multiple invoices can be paid at the same time.

For information funding your FINRA Account, refer to the E-Bill User Guide.

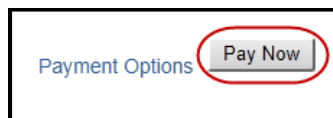
The screenshot displays the 'Open Invoices / Accounts' section of the FINRA Gateway. It includes a navigation bar with tabs for Transaction Activity, Invoice History, Alerts, and Settings. A yellow alert box at the top provides information about E-Bill alerts and contact details for the FINRA Gateway Call Center. Below this, there are sections for 'FINRA Flex-Funding Account' and 'FINRA Renewal Account'. The 'FINRA Flex-Funding Account' section shows a table with columns for Account, Balance, As Of, and Payment Amount. The 'FINRA Renewal Account' section indicates that the renewal statement is not currently available. The 'Open Invoices' section features a table with columns for Invoice Type, Cust. ID, Invoice, Details, Invoice Date, Due Date, Invoice Amount, Invoice Balance, and Payment Amount. A red box highlights the first row of the 'Open Invoices' table, which is for a TAFBI invoice with a payment amount of 898.45.

Account	Balance	As Of	Payment Amount
<input type="checkbox"/> FINRA Flex-Funding Account (CRDRG)	-\$14,111.65 Sufficient	9/30/2014 9:44:33 AM	

Invoice Type	Cust. ID	Invoice	Details	Invoice Date	Due Date	Invoice Amount	Invoice Balance	Payment Amount
<input checked="" type="checkbox"/> TAFBI	2739-0096	TAF2739-0096		09/18/2014	09/18/2014	\$898.45	\$898.45	898.45
<input type="checkbox"/> TRACE	1899	TRC0199720		07/11/2014	08/10/2014	\$3,892.16	\$3,892.16	

3. Click the **Pay Now** button located at the bottom of the screen.



Payment Information displays at the top of the screen.

Under the **Payment Type** section, you can choose either **New Credit/Debit Card**, **New Bank Account**, or **Previously Used Card or Bank Account**.

4. If you select **New Credit/Debit Card**, enter the required **Credit/Debit Card Information** and required **Billing Information**.


**NOTE:** The system defaults is **Previously Used Card or Bank Account**.


Open Invoices / Accounts	Transaction Activity	Invoice History	Alerts	Settings	User Guide	FAQ	Help
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**Payment Information**  
 You are about to submit online payment for the following

Invoice Type	Invoice	Amount
TAFBI	TAF2739-00961	\$898.45
<b>Total Payment Amount</b>		\$898.45

**Payment Type**  
 When funding FINRA Accounts through E-Bill, the only valid payment option is ACH or reallocation from FINRA Flex-Funding Account. Credit Card payments are not accepted.

New Credit/Debit Card 

New Bank Account 

Previously Used Card Or Bank Account

Transfer funds from FINRA Flex-Funding Account

**Credit/Debit Card Information**  
 \* Denotes required field

\* Card Type:

\* Card #:

\* Card Security Code:

**Billing Information**

\* Full Name (as it appears on credit card):

\* Street Address Line 1:

Street Address Line 2:

\* City:

\* State:

Province/Region:

\* Zip Code:

Postal Code:

\* Country:

Remember this Credit Card [Learn More](#)

5. If you select **New Bank Account**, enter the required **Bank Account Information**.

The image shows a 'Bank Account Information' form and a check image. The form has the following fields:

- \* Account Type: (Dropdown menu with 'Checking' selected)
- \* ABA Routing #: (Text input field)
- \* Bank Account #: (Text input field)
- \* Name on the Account: (Text input field)
- Remember this Bank Account (checkbox)
- [Learn More](#) (link)

The check image shows the following information:

- Your Name: 1234 Tree St, Sometown, USA
- 101 (top right)
- Date: 19-2/1250
- Pay to the Order of: \_\_\_\_\_ \$ \_\_\_\_\_ Dollars
- Bank Name: 1234 Bank Rd, Sometown, USA
- ACH R/T 123456789
- For: \_\_\_\_\_
- ABA Check Routing Number: 23467890
- Account Number: 000 23467890
- Check Number: 101
- ACH Routing Number: 123456789

Red arrows point from the callout boxes below to the corresponding fields on the check image.

You may choose to save the account information using the **Remember this Bank Account** checkbox. After the account information is saved, the account is displayed as an option for subsequent payments.

- If you select **Previously Used Card Or Bank Account**, select the appropriate radio button next to the account that you want to use.

To delete a previously used card or bank account, click the **Remove** button next to the account.

Open Invoices / Accounts
Transaction Activity | Invoice History | Alerts | Settings
User Guide | FAQ | Help

### Payment Information


*You are about to submit online payment for the following*

Invoice Type	Invoice	Amount
TAFBI	TAF2739-0096	\$898.45
<b>Total Payment Amount</b>		<b>\$898.45</b>


### Payment Type

*When funding FINRA Accounts through E-Bill, the only valid payment option is ACH or reallocation from FINRA Flex-Funding Account. Credit Card payments are not accepted.*

New Credit/Debit Card
 



New Bank Account
 



Previously Used Card Or Bank Account

Transfer funds from FINRA Flex-Funding Account

### Previously Used Cards Or Bank Accounts

Bank account ending in 2100

Credit card ending in 2147



- 7. Confirm your **E-mail Address**.
- 8. Review the Terms And Conditions and click the checkbox.
- 9. Click the **Submit** button.

**NOTE:** Declining the Terms And Conditions will prevent you from making your payment.

**E-mail Address**

\* E-mail Address  [Update E-mail](#)

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By checking this box, I certify that I have read and understand all of the terms of the [FINRA E-Bill Program Agreement and Terms of Use](#) and intend to form a binding agreement with FINRA on those terms without modification or amendment thereto. If I am accepting this agreement on behalf of an organization, I certify that I have the authority of that organization to enter into this agreement.

A confirmation page displays and an e-mail notification is sent.

Payments made by 8:00 pm EST will be credited to the invoice by the next business day.

The user can review [Transaction Activity](#) for E-Bill payments at any time.

[Open Invoices / Accounts](#) | 
 [Transaction Activity](#) | 
 [Invoice History](#) | 
 [Alerts](#) | 
 [Settings](#)

[User Guide](#) | 
 [FAQ](#) | 
 [Help](#)

**Your payment request has been processed successfully**

Invoice Type	Invoice	Amount	Result	Response	Transaction ID
TAFBI	TAF2739-0096	\$898.45	Authorized	Payment accepted for processing	EBILL55030

Click [here](#) to return to the starting page.  
Please note that the Invoice Balance will not be immediately updated.

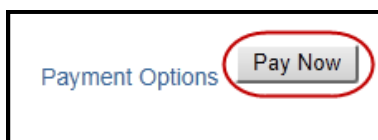
**Pay a TAF Invoice by Reallocating Funds from the FINRA Flex-Funding Account**

Reallocation allows you to pay an open invoice by using funds from your FINRA Flex-Funding Account. The funds are transferred from the account and reallocated to pay the selected invoice(s). Reallocation entitlement is required in order to use this feature in E-Bill. For entitlement to the reallocation privilege please contact your firm's Super Account Administrator (SAA).

1. Select the **Open Invoices / Accounts** tab.
2. Click the **TAF Invoice** you want to pay and edit the **Payment Amount**, if necessary.

The screenshot shows the 'Open Invoices / Accounts' section of the FINRA Gateway. At the top, there are navigation tabs: 'Open Invoices / Accounts', 'Transaction Activity', 'Invoice History', 'Alerts', and 'Settings'. On the right, there are links for 'User Guide', 'FAQ', and 'Help'. A yellow notification box contains text about E-Bill alerts and payment posting dates. Below this, the 'FINRA Flex-Funding Account' section shows a table with one row: 'FINRA Flex-Funding Account (CRDRG)' with a balance of -\$14,111.65, status 'Sufficient', and 'As Of' date '9/30/2014 9:44:33 AM'. A 'Payment Amount' field is present but empty. Below that is the 'FINRA Renewal Account' section with a message: 'Renewal Statement is not currently available. Please check back later.' The 'Open Invoices' section features a table with columns: Invoice Type, Cust. ID, Invoice, Details, Invoice Date, Due Date, Invoice Amount, Invoice Balance, and Payment Amount. The first row is selected (checked) and shows: TAFBI, 0000, TAF2739-0096, 09/18/2014, 09/18/2014, \$898.45, \$898.45, and a Payment Amount of 898.45. Other rows include TRACE, MREGN, and MREGN invoices. At the bottom right, there are 'Payment Options' and a 'Pay Now' button.

3. Click the **Pay Now** button located at the bottom of the screen.





4. Select the **Transfer from FINRA Flex-Funding Account** radio button.

**NOTE:** The Previously Used Card or Bank Account option is the default.

Invoice Type	Invoice	Amount
TAFBI	TAF2739-0096	\$898.45
<b>Total Payment Amount</b>		<b>\$898.45</b>

**Payment Type**  
When funding FINRA Accounts through E-Bill, the only valid payment option is ACH or reallocation from FINRA Flex-Funding Account. Credit Card payments are not accepted.

New Credit/Debit Card 

New Bank Account 

Previously Used Card Or Bank Account

Transfer funds from FINRA Flex-Funding Account

All transfer requests submitted before 11 p.m. ET are processed via an overnight processing cycle. Requests submitted Monday through Thursday will be processed each night. Requests submitted Friday through Sunday will be processed Sunday night. Requests submitted on a FINRA holiday will be included on the next available overnight cycle.

All Web CDR/ARD fees incurred will be collected prior to any transfer, with transfers only being completed if sufficient funds are still available.

5. Confirm your **E-mail Address**.

6. Review the Terms And Conditions and select the checkbox.

7. Click the **Submit** button.

**NOTE:** Declining the Terms And Conditions will prevent you from making your payment.

**E-mail Address**

\* E-mail Address  [Update E-mail](#)

By checking this box, I certify that I have read and understand all of the terms of the [FINRA E-Bill Program Agreement and Terms of Use](#) and intend to form a binding agreement with FINRA on those terms without modification or amendment thereto. If I am accepting this agreement on behalf of an organization, I certify that I have the authority of that organization to enter into this agreement.

A confirmation page will display (as shown below) and an e-mail notification will be sent.

Payments made by 8:00 pm EST will be credited to the invoice by the next business day.

Transaction Activity for E-Bill payments can be reviewed at any time.

Open Invoices / Accounts | Transaction Activity | Invoice History | Alerts | Settings User Guide | FAQ | Help

Your Transfer request has been received.

Invoice Type	Invoice	Payment Amount	Result	Payment ID
TAFBI	TAF2739-0096	\$898.45	Submitted	EBILL007

Click [here](#) to return to the starting page.

All transfer requests submitted before 11 p.m. ET are processed via an overnight processing cycle. Requests submitted Monday through Thursday will be processed each night. Requests submitted Friday through Sunday will be processed Sunday night. Requests submitted on a FINRA holiday will be included on the next available overnight cycle.

All Web CRD/IARD fees incurred will be collected prior to any transfer, with transfers only being completed if sufficient funds are still available.

An email is sent:

- confirming the transfer request
- once the transfer request has been processed
- if the transfer request fails to process
- when the transfer request fails due to a technical issue ( **NOTE:** No action is required on the part of the firm. The transfer request will be reattempted.)

Reallocation payments are reflected in the Web CRD Accounting Transfer Detail as a transfer type labeled EBILL REALLOCATION.

WEB CRD

CRD Main | IARD Main | Forms | Individual | Organization | **Accounting** | Reports

| Flex-Funding Account | Renewal Account | E-Bill | Printer Friendly

**Flex-Funding Account Queues**

- Processed Transactions
- Funds Deficient Transactions

**Flex-Funding Account Information**

- Account Activity Summary
- Deposit Detail
- Transfer Detail**
- Transaction Detail
- Bill Line Search

### Transfer Detail

Organization CRD#: 0000      Organization Name: SECURITIES FIRM  
 Organization SEC#:      Applicant Name: SECURITIES FIRM  
 Account Status: Sufficient

Posted Account Balance: -\$564,048.81    09/17/2013 01:38:18 AM  
 Funds Deficient Transactions: \$0.00  
 Processed Transactions: \$0.00  
 Current Credit Balance: -\$564,048.81

**Search Parameters:**

Post Date      From: 07/01/2013      To: 09/18/2013

Total Transfer Amount      \$441,429.76  
 Total Transfer Count      12

Records per Page: 25    Total Records: 12

Post Date	Transfer Type	Description	Details	Amount
08/19/2013	EBILL REALLOCATION	TO MTRCS EBILL INVOICE	EBILL191	\$300.00
09/04/2013	EBILL REALLOCATION	TO MTRCS EBILL INVOICE	EBILL198	\$300.00
09/04/2013	EBILL REALLOCATION	TO TRACE EBILL INVOICE	EBILL199	\$988.59
09/04/2013	EBILL REALLOCATION	TO ADVRG EBILL INVOICE	EBILL003	\$510.00
09/18/2013	EBILL REALLOCATION	TO TAFBI EBILL INVOICE	EBILL007	\$898.45
09/18/2013	EBILL REALLOCATION	TO GASBE EBILL INVOICE	EBILL008	\$213,756.29

Records per Page: 25    Total Records: 12

## Pay a TAF Statement by Wire Transfer

FINRA's banking services were switched in early 2014. All check payment addresses, except Gateway Business Application Support (GBAS), have been consolidated to enable a more efficient check payment process. Firms must include invoice numbers on all checks, and include these numbers on ACH and Wire payments.

**NOTE:** If you intend to pay by wire transfer, the Invoice checkbox on the TAF form should be checked.

If you are submitting payment for your TAF filing via wire, please include your Invoice Number in the wire reference field (this is also known as the RFB or OBI field). The Invoice Number is displayed on the invoice available on E-Bill or you may reference it as "TAF", followed by the Online Filing ID displayed after you submit your online filing. If you omit your Invoice Number, your payment may be applied to the firm's FINRA Flex-Funding Account.

### Wiring Instructions:

Provide your firm's bank the following information:

#### FINRA and Subsidiaries

Bank Name: **Bank of America**  
Transfer Funds to: **FINRA**  
Wire ABA Number: **026009593**  
ACH ABA Number: **054001204**  
Beneficiary: **FINRA**  
FINRA Account Number: **226005684771**  
Reference Number: **Invoice Number**

Please contact the FINRA Call Center at (301) 590-6500 if you have questions.

**View Invoice Details**

You can view and/or download details for open invoices in the Invoice column located on the Open Invoices / Accounts page. The details are available in a downloadable .gz file format.

*View Invoices*

1. Click the **Invoice** link for the desired invoice.

**Open Invoices / Accounts** | Transaction Activity | Invoice History | Alerts | Settings User Guide | FAQ | Help

New E-Bill alerts related to CRD Renewals processing are now available to entitled users. Please refer to the E-Bill Alerts tab. If you have any questions, contact the FINRA Gateway Call Center at (301) 590-6500.

Payments to or reallocations from the FINRA Flex-Funding Account submitted through E-Bill between 12/29/2014 and 12/31/2014 will be posted on 1/1/2015.

**FINRA Flex-Funding Account**  
When funding the FINRA Flex-Funding Account through E-Bill, the only valid payment option is ACH. Credit Card payments are not accepted. Initiate Refund

Account	Balance	As Of	Payment Amount
<input type="checkbox"/> FINRA Flex-Funding Account (CRDRG)	-\$14,111.65 Sufficient	9/30/2014 9:44:33 AM	[Empty Input Field]

**FINRA Renewal Account**  
 Renewal Statement is not currently available. Please check back later.

**Open Invoices**  
If there is a discrepancy between the Total Amount Due on your Invoice Balance Due in E-Bill, please contact FINRA Call Center at (301) 590-6500 Invoice Type: All

Invoice Type	Cust. ID	Invoice	Details	Invoice Date	Due Date	Invoice Amount	Invoice Balance	Payment Amount	
<input checked="" type="checkbox"/>	TAFBI	0000	<span style="border: 2px solid red; padding: 2px;">TAF2739-0096</span>		09/18/2014	09/18/2014	\$898.45	\$898.45	898.45
<input type="checkbox"/>	TRACE	0000	TRC0199720		07/11/2014	08/10/2014	\$3,892.16	\$3,892.16	[Empty Input Field]
<input type="checkbox"/>	MREGN	0000	MRG0065008		07/08/2014	07/08/2014	\$300.00	\$300.00	[Empty Input Field]
<input type="checkbox"/>	MREGN	0000	MRG0068076		09/13/2013	09/13/2013	\$211,674.09	\$211,674.09	[Empty Input Field]

Payment Options Pay Now

A separate window opens which displays the invoice document.

2. Click **Print** on the PDF document toolbar or **Save** to store the file to your computer.
3. Click the "X" to close the document window.

TRADING ACTIVITY FEE INVOICE			
Please remit by Check To: FINRA P.O. BOX 418911 BOSTON MA 02241-8911	Please remit by Wire To: Bank name: BANK OF AMERICA Address: NEW YORK , NY ABA#: Credit To: FINRA Account: Please Reference the Invoice Number	Page: 1 Invoice No: TAF1268012 Invoice Date: 10/13/2014 Customer No: Payment Terms: IMMEDIATE Due Date: 10/13/2014 Reporting Period: JULY 2014	
Bill To:	AMOUNT DUE: \$ 1,530.92 USD		
			_____ Amount Remitted
Invoices can be viewed on-line through the E-Bill system. Member firms can view this invoice via Firm Gateway and vendors can view this invoice via ( <a href="https://ebill.finra.org/ebill-web">https://ebill.finra.org/ebill-web</a> ).			
For billing questions or overnight/courier address, please call 240-555-5555			
Bill To: _____ - C/N: _____ - INV: TAF1268012 -			
Please Remit to: - FINRA - P.O. BOX 418911 - BOSTON MA 02241-8911			
Filing ID: _____ Filed by: _____			
Description	Quantity	Unit Amt	Net Amount
Covered Equity Securities - # of Shares	1,111.00	\$0.00011900	\$0.13
Covered Equity Securities - # of Trades	222.00	\$5.95000000	\$1,320.90
Covered Option Contracts - # of Contracts	45,667.00	\$0.00200000	\$91.33
Covered Security Futures - # of Contracts	787,656.00	\$0.00008000	\$63.01
Covered Security Futures - # of Transactions	5,555.00	\$0.01000000	\$55.55
Covered Municipal/TRACE Securities - # of Bonds	0.00	\$0.00075000	\$0.00
Covered Municipal/TRACE Securities - # of Trades	0.00	\$0.75000000	\$0.00
Covered TRACE Asset-Backed Securities - Value of Trades	0.00	\$0.00000075	\$0.00
Covered TRACE Asset-Backed Securities - # of Trades	0.00	\$0.75000000	\$0.00
TOTAL AMOUNT DUE :			\$ 1,530.92

Download Invoices

1. Click the **Download** hyperlink for the selected invoice.

A dialog box displays at the bottom of the screen, with options to Open or Save the file.

**NOTE:** The presentation of the download process may vary between browsers. The screens below are from Internet Explorer.

2. Select **Open** to view the .gz file containing the invoice details, or select **Save** to store the file on your computer.

The screenshot shows the 'Open Invoices / Accounts' section of a web application. At the top, there are navigation tabs: 'Open Invoices / Accounts', 'Transaction Activity', 'Invoice History', 'Alerts', and 'Settings'. Below this, the 'FINRA Accounts' section indicates that 'FINRA accounts are not available.' The 'Open Invoices' section includes a note about discrepancies and an 'Invoice Type' dropdown menu set to 'All'. A table of invoices is displayed with columns for Invoice Type, Cust. ID, Invoice, Details, Invoice Date, Due Date, Invoice Amount, Invoice Balance, and Payment Amount. The 'Details' column for the first row (TRACE 0000 TRC0184578) contains a 'Download' link circled in red. At the bottom, a dialog box asks 'Do you want to open or save TRACE-TRC0184578.csv.gz (2.09 MB) from ebillqa.finra.org?' with 'Open', 'Save', and 'Cancel' buttons, where 'Open' and 'Save' are circled in red.

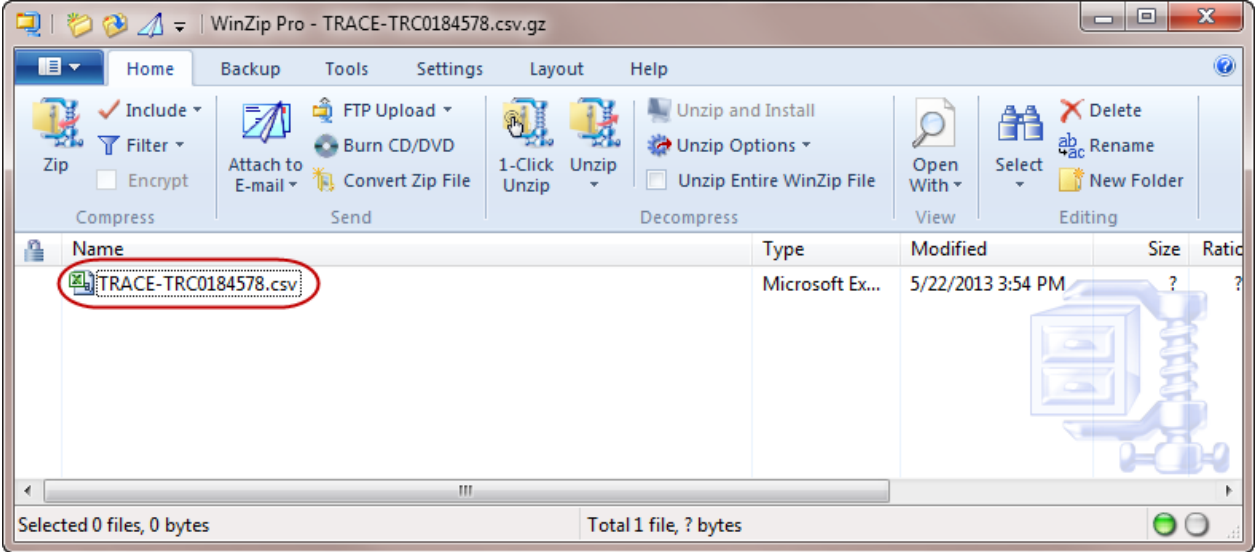
Invoice Type	Cust. ID	Invoice	Details	Invoice Date	Due Date	Invoice Amount	Invoice Balance	Payment Amount
TRACE	0000	TRC0184578	Download	06/28/2013	07/28/2013	\$101,992.60	\$101,992.60	
GASBE	0000	GSB00522		06/03/2013	06/03/2013	\$220,763.53	\$170,763.53	
MTRCS	0000	MTX174765		05/28/2013	05/28/2013	\$750.00	\$750.00	
MTRCS	0000	MTX174726		05/28/2013	05/28/2013	\$5,000.00	\$4,800.00	
MTRCS	0000	MTX175176		05/28/2013	05/28/2013	\$750.00	\$750.00	
MTRCS	0000	MTX175137		05/28/2013	05/28/2013	\$5,000.00	\$5,000.00	
MTRCS	0000	MTX173342		05/23/2013	05/23/2013	\$500.00	\$500.00	
MTRCS	0000	MTX173323		05/23/2013	05/23/2013	\$1,524.99	\$1,524.99	
TRACE	0000	TRC0185347		05/07/2013	06/06/2013	\$220.00	\$220.00	
TRACE	0000	TRC0184075		03/01/2013	03/31/2013	\$53,192.09	\$53,192.09	
MTRCS	0000	MTX172462		02/06/2013	02/06/2013	\$2,200.00	\$2,200.00	



If you selected to open the file, a file containing the invoice details will display.

**NOTE:** The software used to open the file may vary. The software used in this example is WinZip Pro.

3. Double-click the file name to open the document.



## View Transaction Activity

Users can review Transaction Activity for E-Bill payments at any time.

1. Select the **Transaction Activity** tab.

**NOTE:** The Transaction Activity tab will only display payments made via E-Bill. Any payments made via wires, checks, funds transfers, etc, will not show up under this tab.



2. To filter the types of payments that you want to view, use the **Type** drop down menu.

The screenshot shows the 'Transaction Activity' page. At the top, there is a navigation bar with tabs: 'Open Invoices / Accounts', 'Transaction Activity', 'Invoice History', 'Alerts', and 'Settings'. To the right are links for 'User Guide', 'FAQ', and 'Help'. Below the navigation bar, the page title 'Transaction Activity' is displayed. A note states: 'Payments displayed here represent only Online Payments processed via E-Bill. The Invoice number listed reflects the invoice specified when the Payment was made. It does not represent the invoice to which the payment was applied by FINRA Finance.' A 'Type' dropdown menu is open, showing options: 'All', 'CRDRG', 'CRDRN', 'MREGN', 'MTRCS', 'TAFBI', and 'TRACE'. Below the dropdown is a table with columns: Submitted On, Submitted By, Amount, Type, Invoice, Transaction Type, Status, and Transaction ID. The table contains five rows of transaction data. At the bottom left, it says 'Showing records 1 - 5 of 5 results' and '10 Items per page'. A blue box with the number '1' is in the bottom right corner.

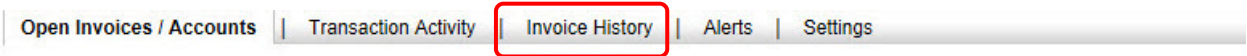
Submitted On	Submitted By	Amount	Type	Invoice	Transaction Type	Status	Transaction ID
11/12/2014	SSCOTT	\$898.45	TAFBI	TAF2739-0096	Credit Card	Processed	EBILL5
10/09/2014	sscott	\$500.00	CRDRG		Refund	Processed	EBILL14828
10/09/2014	sscott	\$500.00	CRDRG		Refund	Processed	EBILL14827
07/02/2014	Scott	\$2,813.74	TRACE	TRC0197022	Credit Card	Processed	EBILL13530
07/02/2014	Scott	\$1,613.19	CRDRG		Bank Account(ACH)	Processed	EBILL13529

## View Invoice History

Users can review the Invoice History for E-Bill payments at any time.

1. Select the **Invoice History** tab.

Invoices paid via E-Bill will display



2. To filter the types of invoices that you want to view, use the **Invoice Type** drop down menu

The screenshot shows the 'Invoice History' section of the application. At the top, there is a navigation bar with tabs for 'Open Invoices / Accounts', 'Payment Activity', 'Invoice History', and 'Settings'. Below this, the 'Invoice History' title is displayed. On the right side, there is an 'Invoice Type' dropdown menu, which is open, showing three options: 'All', 'MTRCS', and 'TAFBI'. The 'All' option is currently selected. Below the dropdown is a table with the following data:

Invoice Type	Cust. ID	Invoice	Details	Invoice Date	Due Date	Invoice Amount	Invoice
TAFBI	0000	TAF359701		05/23/2014	05/23/2014	\$29.00	\$0.00
MTRCS	0000	MTX203090		03/28/2014	03/28/2014	(\$1,125.00)	(\$1,125.00)

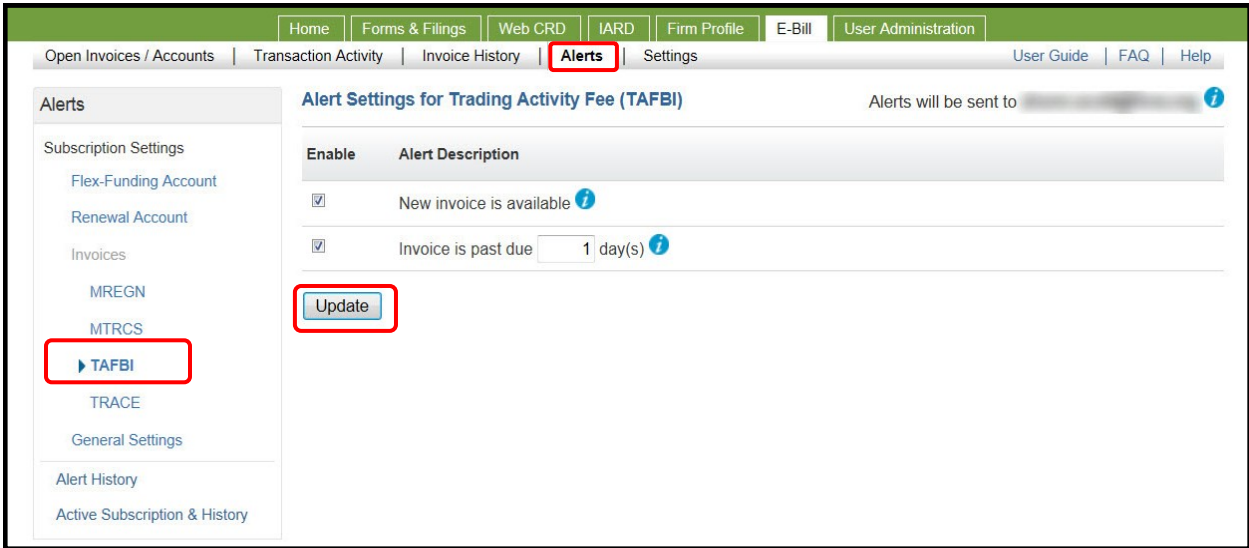
## Alerts

An Alert can be set to receive notification of new invoices, and/or when the invoice is past due.

1. Select the TAFBI Invoice link in the Navigation Panel.

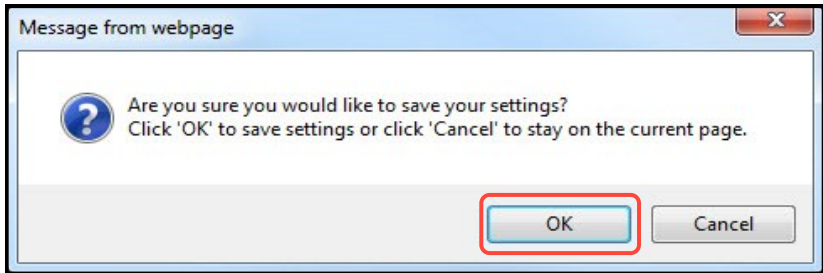
**NOTE:** Only those Alerts to which the user is entitled are displayed. Your alerts may vary based upon entitlement.

The Alert Settings for TAFBI Invoice displays.



2. Select the checkbox(es) to enable the Alert(s) for the invoice.
3. Click the **Update** button.

A confirmation message displays.



4. Click the **OK** button.

A confirmation page displays. An e-mail notification is sent when the criteria are met.

## Settings

In this section, the values are set to receive paper invoices.

**NOTE:** FINRA does not automatically mail out paper invoices to firms. To receive invoices, the firm must opt-in by selecting the desired **Invoice Type(s)** located under the **Settings** tab.

1. Select the **Settings** tab.



2. Click the checkbox(es) for the **Invoice Type(s)**.
3. Click **Save**.

