



FINRA Entitlement Form Web EFT User

Instructions

Use this form to request:

- 1) New Web EFT service account for your organization
- 2) Update existing Web EFT service account
- 3) Delete Web EFT service account

In order for FINRA to process this form, your organization must have a signed Super Account Administrator (SAA) form on file with FINRA.

Authorized Signatory Requirements:

- **Broker-Dealer (BD) Firm (FINRA registered and NASDAQ Member):** an authorized Signatory is the Chief Compliance Officer (CCO) or authorized Officer (or other authorized person) who is currently listed on Schedule A of the organization's form BD
- **Investment Adviser Firms:** an Authorized Signatory is the Chief Compliance Officer (CCO), Additional Regulatory Contact (ARC) or authorized officer (or other authorized person) who is currently listed on Schedule A of the organization's Form ADV.

How To Submit this Form:

You may execute this form by completing all required sections and either: a) submit via DocuSign, or use another electronic signature (as defined in 15 U.S.C. § 7006), on condition that (i) you must have in place a technical or technological security procedure to attribute the electronic signature to the signatory, and (ii) a textual or graphical statement is included next to the electronic signature identifying the signatory, and the date of execution and noting that the signature was generated electronically; or, b) mail the manually-signed form to the address below; or, c) attach a scanned image (such as a pdf file or fax) of the manually-signed form to an email or other electronic transmission and send to FINRA.

Mailing Address: FINRA Entitlement Group, 9509 Key West Ave, Rockville, Maryland 20850

Fax: 301-216-3721 or Email: entsupport@finra.org

Questions: Contact the FINRA Gateway Call Center at 800-321-6273



Web EFT User

Section 1 - Organization Information

Organization Type: Broker-Dealer (BD) Investment Adviser (IA)

Organization ID #:

Organization Name:

Street Address:

City:

State/Province:

Country:

Zip/Postal Code:

Phone Number:

Section 2 - Web EFT User Information

First Name:

Middle:

Last:

Suffix:

Phone #:

Fax #:

Email:

Section 3 - Web EFT Entitlement Privileges

Select "Add" for the requested privilege(s) or "Remove" to delete a privilege.

Add Remove

CRD EFT Upload Filings (Provides the capability to upload CRD EFT filings via fileX.)

CRD EFT Download Reports (Provides the capability to download CRD EFT reports via fileX.)

Section 4 - Delete/Modify Web EFT Account

Delete Web EFT account

Replace existing user, but keep Web EFT account.

Name of user to Delete/Replace:

Reason for Deleting/Replacing:

Section 5 - Authorized Signatory's Signature

Authorized Signatory's Signature:

Title:

Print Name:

Email:

Executed on:

Note: The email address provided by an organization's Authorized Signatory must match the email address that is in CRD, IARD or on the FINRA Contact System.