



FINRA ADDS[®] Data Delivery SFTP Request Form - ORF[®] Clearing

Use this form to enroll your firm in the optional ORF Clearing Data Delivery SFTP service, or to modify or terminate your firm's existing enrollment. ORF Clearing Data Delivery SFTP allows the firm to request an account with which they can retrieve their clearing firm's daily files via Secure File Transfer Protocol (SFTP).

To add, modify, or delete ORF Clearing Data Delivery SFTP service, complete applicable Sections 1, 2 or 3, and sign section 4.

Pursuant to FINRA Rule 7710, each clearing number enrolled in ORF Clearing Data Delivery SFTP will be assessed a sign-up fee the first non-test month enrolled as well as a monthly service fee*. Fees will appear on the firm's ORF invoice. Fee information is available at www.finra.org/datadelivery/fees.

**Pricing is subject to change over the life of the subscription. Subscribers will be notified of any change to the fee structure.*

Section 1 – Enroll in ORF Clearing Data Delivery SFTP

Firms that sign up for SFTP access must create an FTP user account for the firm by completing the information below.

List Clearing Number(s) for enrollment:

Please provide the following information for the SFTP user for your firm.

First Name:

Last Name:

Phone #:

Fax #:

Email Address:

Section 2 – Add New Clearing Numbers to ORF Clearing Data Delivery SFTP

Complete this section to enroll additional clearing numbers in ORF Clearing Data Delivery SFTP.

Your firm will be billed for each clearing number enrolled in this service.

The new clearing number(s) will be added to the firm's existing FTP account.

List Clearing Number(s) to add:

Section 3 – Terminate ORF Clearing Data Delivery SFTP

Complete this section to delete ORF clearing numbers or terminate ORF Clearing Data Delivery SFTP access in its entirety.

The monthly access fee is not pro-rated; your firm will be billed per clearing number for any month in which you have access to this service.

<input type="checkbox"/>	List Clearing Number(s) for deletion:	
<input type="checkbox"/>	Terminate ORF Clearing Data Delivery SFTP access.	
Requested Date of Deletion:**		

**Deletions will be effective as of the last day of the month in which the notice of deletion was actually received by FINRA unless otherwise specified.

Section 4 – Agreement and Signature

This form must be signed by one of the following individuals at the firm: Super Account Administrator, Executive Representative, Direct Owner, Indirect Owner or Executive Officer.

By signing this form, Clearing Firm agrees to pay FINRA all applicable fees associated with these services.

Clearing Firm CRD #:	
Clearing Firm MPID:	
Clearing Firm Name:	
Name of Signatory (Print):	
Signature:	
Title:	
Date:	

**Fax completed form to FINRA Operations: 301-527-4918
or email signed form to finraoperations@finra.org.
Please do not remit any payment with this form.**