



FINRA ADDS[®] Data Delivery SFTP Request Form - TRACE[®]

Use this form to enroll your firm in the optional TRACE Data Delivery SFTP service, or to modify or terminate your firm’s existing enrollment. TRACE Data Delivery SFTP allows the firm to request a Secure File Transfer Protocol (SFTP) user account with which they can retrieve their firm’s data. Firms that sign up for SFTP access will have their TRACE data files made available daily for SFTP access.

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

Pursuant to FINRA Rule 7730, each MPID enrolled in TRACE Data Delivery SFTP will be assessed a sign-up fee the first non-test month of service as well as a monthly service fee*. Fees will appear on the firm’s TRACE 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 TRACE Data Delivery SFTP

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

<input type="checkbox"/>	List TRACE MPID(s) for enrollment:	
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Please provide the following information for the SFTP user for your firm.

First Name:		Last Name:	
Phone #:		Fax #:	
Email Address:			

Section 2 – Add New TRACE MPIDs to TRACE Data Delivery SFTP

Complete this section to enroll additional TRACE MPIDs in TRACE Data Delivery SFTP.

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

The new MPID(s) will be added to the firm’s existing FTP account.

<input type="checkbox"/>	List TRACE MPID(s) to add:	
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Section 3 – Terminate TRACE Data Delivery SFTP

Complete this section to delete TRACE MPIDs or terminate TRACE Data Delivery SFTP access in its entirety.

The monthly access fee is not pro-rated; your firm will be billed per MPID for any month in which you have access to either of these services.

<input type="checkbox"/>	List MPID(s) for deletion:	
<input type="checkbox"/>	Terminate TRACE 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, Member Firm agrees to pay FINRA all applicable fees associated with these services.

Member Firm CRD #:	
Member 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.**