



## Web Electronic Filing Transfer (Web EFT) Subscription Form

This Web EFT Subscription Form is used by BD and IA firms 1) to request initial access to Web EFT, 2) to update existing Web EFT services, or 3) cancel a Web EFT subscription. Access to Web EFT requires entitlement under FINRA's Entitlement Program. Refer to [www.finra.org/webeft](http://www.finra.org/webeft) for more information about accessing Web EFT.

Complete sections 1 through 4, as applicable. Section 5 is always required.

### Section 1 – Organization Information

Complete all required fields for each submission

### Section 2 – Initial Service Option Request

Complete this section to select your organization's **Initial Service Option**: This section provides the available Service Options and the financial cost of each option. Mark the box that describes the Service Option your firm requires (Option 1, 2 or 3).

### Section 3 – Service Option Change Request

Complete this section to request a **change to your current Service Option**. Use this section to **upgrade or downgrade** your firm's existing Web EFT service.

### Section 4 – Cancel Subscription

Complete this section when you need to **cancel** your firm's Web EFT Subscription.

### Section 5 – Signature

This section is always required. An Authorized Signatory must execute the form.

**How To Submit this Form:** Execute this Subscription Form by completing all required sections and either (a) mailing the manually-signed Subscription Form to the address below; (b) attaching a scanned image (such as a .pdf file or fax) of the manually-signed Subscription Form to an email or other electronic transmission and sending it to FINRA; or (c) using an 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.

**Mailing Address: FINRA Regulatory Support & Operations  
9509 Key West Ave, Rockville, Maryland 20850**

**Email: [WebEFT.Support@finra.org](mailto:WebEFT.Support@finra.org)**

## Web Electronic File Transfer (Web EFT) Subscription Form

### Section 1 - Organization Information

Firm CRD #:\*

Firm Name:\*

Street Address:\*

City, State & Zip Code:\*

### Section 2 - Initial Service Option Request

Use this section to designate the Web EFT Service Option your firm requires (Option 1, 2 or 3).

**Service Option 1**

Form Filing and Download Service  
\$4,800/ year

Provides the capability to **electronically submit** specified filing types via electronic file transfer mode (batch filing) through the Web EFT System to Web CRD or IARD **and** provides the capability to **download** (retrieve) certain firm data from Web CRD or IARD through the Web EFT System via CRD/IARD data reports.

**Service Option 2**

Form Filing Service Only  
\$3,600/ year

Provides the capability to **electronically submit** specified filing types via electronic file transfer mode (batch filing) through the Web EFT System to Web CRD or IARD.

**Service Option 3**

Download Service Only  
\$1,800/ year

Provides the capability to **download** (retrieve) certain firm data from Web CRD or IARD through the Web EFT System via CRD/IARD data reports.

### Section 3 – Service Option Change Request

Use this section to upgrade or downgrade your current service option. **(To cancel your firm's subscription, go to Section 4.)**

Upgrading service options during your firm's anniversary subscription year will require your firm to pay a pro-rated fee (calculated from the month following the request to change the service option through the firm's anniversary subscription date). The pro-rated fee will automatically be deducted from your firm's Web CRD/IARD Flex-Funding Account once the change request has been processed. See "Explanation of Fees" examples below for additional information.

Firms may downgrade their Web EFT service option anytime; however, no refunds will be issued for reduced service options through the firm's subscription year. The fee associated with the reduced service option will be deducted from the firm's Web CRD/IARD Daily Account on the firm's anniversary subscription date.

**Provide your firm's Anniversary Subscription Date (MM/YR):** \_\_\_\_\_

Mark the boxes that indicate your firm's current Service Option and the Service Option your firm is now requesting. (See below for an explanation of fees.)

**Current Service Option**

- Service Option 1- Form Filing Download Service
- Service Option 2- Form Filing Service Only
- Service Option 3- Download Service Only

**Service Option Update (Select option your firm is requesting.)**

- Service Option 1- Form Filing Download Service
- Service Option 2- Form Filing Service Only
- Service Option 3- Download Service Only

**Explanation of Fees for Service Level Upgrade 1:**

If your firm initially subscribed to Web EFT Form Filing Service and your firm now wants to upgrade to include the Web EFT Download Service, your firm will pay a pro-rated monthly rate of \$100, calculated from the next month after the date of the service change request to your firm's anniversary subscription date.

Example Upgrade #1:

1. Firm A enrolls in Web EFT Form Filing Service Option in April 2019
2. Firm is charged the initial Web EFT Form Filing Fee of \$3,600
3. Firm upgrades to include the Download Service Option in July 2019
4. Firm is charged an additional \$900 Web EFT Download Upgrade Fee (9 months (August thru April) @ \$100/month=\$900)
5. Amount of \$900 is deducted from firm's Web CRD/IARD Daily Account in August.
6. Total annual cost to firm, including pro-rated amount = \$4,500

**Explanation of Fees for Service Level Upgrade 2:**

If your firm initially subscribed to Web EFT Download Service and your firm now wants to upgrade to include Web EFT Form Filing Service, your firm will pay a pro-rated monthly rate of \$250, calculated from the next month after the date of the service change request to your firm's anniversary subscription date.

Example Upgrade #2:

1. Firm B enrolls in Web EFT Download Plan in April 2019
2. Firm is charged the Web EFT Download Fee of \$1,800
3. Firm upgrades to Download/ Form Filing in July 2019
4. Firm is charged an additional \$2,250 Web EFT Form Filing Upgrade Fee (9 months (August thru April) @ \$250/month=\$2,250)
5. Amount of \$2,250 is deducted from Firm's Daily Account in August.
6. Total pro-rated annual cost to firms = \$4,050

**Section 4 – Cancel Subscription**

Use this section to cancel your firm's existing Web EFT Subscription. Firms may cancel their Web EFT service option at any time throughout the year; however, no refunds will be issued.

- Cancel Web EFT subscription effective** \_\_\_\_\_  
(cancellation date)

**Section 5 – Signature**

By signing below, the Authorized Signatory below certifies that he/she is authorized to execute this Web EFT Subscription Form on behalf of the organization identified in Section 1.

**Authorized Signatory**

Executed on:\* \_\_\_\_\_

Authorized Signatory's Signature:\* \_\_\_\_\_

Title:\* \_\_\_\_\_

Print Name:\* \_\_\_\_\_

Email:\* \_\_\_\_\_