

FINRA®

FINRA Rule 6151

Test Plan

05.09.2024

AGENDA

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Who should test?

- Firms that have a 606-reporting obligation per SEC Rule 606(a)

What do I need to be able to test?

- 1) Test user account (use [link](#) to request a test account)
 - You will receive an email with the entitlement username and password (in the last week of May)
 - **Please NOTE: It is important to reset your password within 24 hours of receipt of entitlements**
- 2) Rule 606(a) report from a prior review period for testing (Pick a report from Q12023 or later)
- 3) If you are an introducing firm and rely on a clearing firm to fulfill your Rule 606(a) obligation – please test submitting a CSV file to provide the CRD of the clearing firm and disclaimer link ([Refer Onboarding Guide Section 3](#))

How should I request a test account?

Please fill out this [form](#)

Testing Dates

Starting June 5, 2024 up until July 31, 2024

FINRA Support

Please contact the FINRA Support Center at (800) 321-6273
OR
Email - FINRA_606_Support@finra.org

