



Web EFT Service Option Change Request Form

Directions: Use this form to process a change to your firm's Web EFT service option (upgrade, downgrade or cancel services). This form must be completed by a Web EFT authorized contact (as identified on your firm's User Account Acknowledgement Form (UAAF)). Complete Part 1 (current service option) and then complete Part 2 (to change service options) or Part 3 (to cancel subscription). Please mail this form, with original signature, to the FINRA address shown on the last page.

Date: _____

Firm Name: _____

Firm CRD#: _____

Web EFT Anniversary Subscription Date (MM/YR): _____

Primary Web EFT Firm Contact

Name: _____
(First, Middle, Last, Suffix)

Address: _____

Title: _____ E-mail Address: _____

Telephone Number: _____ Fax Number: _____

PART 1: Mark the Web EFT Service Option your firm currently has.

Web Electronic File Transfer (EFT) Service Options	
Service Option 1	
Web EFT Form Filing/Download Service	<ul style="list-style-type: none"> ▪ Provides the capability to electronically submit filing types that can be submitted as electronic file transfers through the Web EFT System to Web CRD, and ▪ Provides the capability to download (retrieve) data from Web CRD through The Web EFT System via CRD/IARD data reports.
Service Option 2	
Web EFT Form Filing Service	<ul style="list-style-type: none"> ▪ Provides the capability to electronically submit filing types that can be submitted as electronic file transfers through the Web EFT System to Web CRD.
Service Option 3	
Web EFT Download Service	<ul style="list-style-type: none"> ▪ Provides the capability to download (retrieve) data from Web CRD through the Web EFT System via CRD/IARD data reports.

PART 2: Select the Web EFT Service Option Change Request your firm requires (to cancel service, go to Part 3). Keep in mind that 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 Daily Account once the change request has been processed. 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 on the firm's Web CRD/IARD Daily Account on the firm's anniversary subscription date.

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**, mark this box. Your firm will pay a **pro-rated monthly rate of \$100**, calculated from the next month from the date of the service change request to your firm's anniversary subscription date.

Example:

1. Firm A enrolls in Web EFT Form Filing Service Option in April 2005
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 2005.
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.

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**, mark this box. Your firm will pay a **pro-rated monthly rate of \$250**, calculated from the next month from the date of the service change request to your firm's anniversary subscription date.

Example:

1. Firm B enrolls in Web EFT Download Plan in April 2005
2. Firm is charged the Web EFT Download Fee of \$1,800
3. Firm upgrades to Download/ Form Filing in July 2005
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.

Service Level DOWNGRADE (mark the service option below)

Service Option / cost	
Web EFT Form Filing Service \$3,600/year	<ul style="list-style-type: none"> ▪ Provides the capability to electronically submit filing types that can be submitted as electronic file transfers through the Web EFT System to Web CRD.
Service Option 3 / cost	
Web EFT Download Service \$1,800/year	<ul style="list-style-type: none"> ▪ Provides the capability to download (retrieve) data from Web CRD through the Web EFT System via CRD/IARD data reports.

PART 3: Cancel Web EFT Subscription

Firms may cancel their Web EFT service options any time throughout the year, however, no refunds will be issued.

Cancel Web EFT subscription effective _____

Print Name of Signatory: _____

Signature: _____

Date: _____

To send completed form via **regular mail**, please mail them to:

Web EFT Entitlement Requests
FINRA
P.O. Box 9495
Gaithersburg, MD 20898-9495

To send completed form via **overnight service**, please ship them to:

Web EFT Entitlement Requests
FINRA
9509 Key West Avenue
Rockville, MD 20850
(240) 386-5421

Gateway Call Center: 301.590.6500

EFT Information

www.finra.org/WebEFT