

DIRECT DEPOSIT ENROLLMENT INSTRUCTIONS

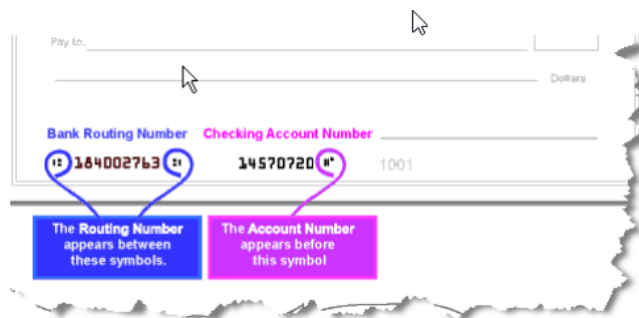
Dear FINRA Neutral:

You may authorize FINRA to deposit your honoraria and expense reimbursements directly into your personal checking account. Direct deposit is **not available** for a personal savings account; a business or corporate account; or to the account of your firm or employer.

By authorizing FINRA to deposit funds into your personal checking account, you must also authorize FINRA to debit your personal checking account in the event FINRA erroneously deposits funds into your account. The amount debited will not exceed the original amount of the erroneous credit.

To take advantage of this benefit, return the **Non-Employee Direct Deposit Enrollment Form** below with the following:

- personal checking account number;
- financial institution routing or transit ABA number; and
- a void check for the selected account and financial institution.



Thank you for your interest in serving FINRA and the investing public.

Sincerely,
FINRA Office of Dispute Resolution



NON-EMPLOYEE DIRECT DEPOSIT ENROLLMENT FORM

Please read and sign below:

I hereby authorize FINRA to deposit funds to the **personal checking** account at the designated financial institution indicated on this form below. I further authorize FINRA to debit my personal checking account at the financial institution listed below in the event that FINRA deposits funds erroneously into my account, for an amount not to exceed the original amount of the erroneous credit.

Please note: direct deposit is available for personal checking accounts only and cannot be used for savings accounts or business or corporate accounts. Deposits cannot be split among multiple accounts.

It is the responsibility of the non-employee to verify the banking information for accuracy. Please contact Neutral Management at (855) 209-1620 immediately if you find a discrepancy or require an account change.

Check below, as applicable:

- ☐ Begin Deposit ☐ Change Information ☐ Cancel Direct Deposit
- ☐ Attached VOID Personal Check

Financial Institution _____ City _____ State _____

Transit ABA Number (9-digits) _____ Account Number _____

Name _____ Date: _____

Neutral ID# A _____ (*leave blank if unsure*)

Primary Address (for deposit notification)

Primary phone _____

Email address _____

Signature **or** E-Signature (/Jane Q. Apple jqa/) _____

Send direct deposit form and void personal check using one of the following:

Email: catina.daniels@finra.org
Fax: (301) 527-4803
Mail: CaTina Daniels
FINRA Office of Dispute Resolution
Neutral Management
One Liberty Plaza
165 Broadway, 27th Floor
New York, NY 10006

FOR AP USE ONLY:

Date _____

AP Processor _____