



FINRA ADDS[®]

Optional Services Request Form - ORF[®] Clearing

Use this form to enroll your firm in the optional ORF Clearing data delivery services, or to modify or terminate your firm's existing enrollment.

FINRA ADDS offers two optional services for Clearing Firms:

- **ORF Clearing Data Delivery Plus** allows users to request and download trade journals containing trades for which the firm was a clearing party, for trade dates older than the last 3 business days but within the prior 2 years. ORF Clearing Data Delivery Plus also enables the user to subscribe to have their ORF Clearing files delivered to the website automatically on a daily basis.

To add, modify, or delete ORF Clearing Data Delivery Plus service, complete applicable Sections 1, 2 or 3, and sign section 7.

- **ORF Clearing Data Delivery SFTP** allows the firm to request an account with which they can retrieve their clearing firm's daily files via Secure File Transfer Protocol (SFTP).

To add, modify, or delete ORF Clearing Data Delivery SFTP service, complete applicable Sections 4, 5 or 6, and sign section 7.

Pursuant to FINRA Rule 7710, firms enrolling in either of the optional FINRA ADDS clearing services for ORF will be assessed a monthly fee per clearing number enrolled in the service. Firms enrolling in ORF Clearing Data Delivery SFTP will pay a sign-up fee the first non-test month enrolled*. Fee information is available at www.finra.org/datadelivery/fees.

Section 1 – Enroll in ORF Clearing Data Delivery Plus

Complete this section to enroll your firm in ORF Clearing Data Delivery Plus.

Access will be added to the account of the firm's Super Account Administrator, who may entitle an unlimited number of users to Data Delivery Plus access for no additional cost. For instructions on granting access to users, please see www.finra.org/entitlement.

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List clearing number(s) for enrollment:

*Pricing is subject to change over the life of the subscription. Subscribers will be notified of any change to the fee structure.

Section 2 – Add New Clearing Number(s) to ORF Clearing Data Delivery Plus

Complete this section to enroll additional clearing numbers in ORF Clearing Data Delivery Plus.

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

The clearing number(s) will be added to the account of the firm's Super Account Administrator, who may entitle an unlimited number of users to Data Delivery Plus access for no additional cost.

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List Clearing Number(s) to add:

Section 3 – Terminate ORF Clearing Data Delivery Plus

Complete this section to delete clearing numbers or terminate ORF Clearing Data Delivery Plus access in its entirety.

The monthly access fee is not pro-rated; your firm will be billed per clearing number for any month in which you have access to this service.

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List clearing number(s) for deletion:

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Terminate ORF Clearing Data Delivery Plus 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 – Enroll in ORF Clearing Data Delivery SFTP

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

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List Clearing Number(s) for enrollment:

Please provide the following information for the SFTP user for your firm.

First Name:

Last Name:

Phone #:

Fax #:

Email Address:

Section 5 – Add New Clearing Numbers to ORF Clearing Data Delivery SFTP

Complete this section to enroll additional clearing numbers in ORF Clearing Data Delivery SFTP.

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

The new clearing number(s) will be added to the firm's existing FTP account.

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List Clearing Number(s) to add:

Section 6 – Terminate ORF Clearing Data Delivery SFTP

Complete this section to delete ORF clearing numbers or terminate ORF Clearing Data Delivery SFTP access in its entirety.

The monthly access fee is not pro-rated; your firm will be billed per clearing number for any month in which you have access to this service.

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List Clearing Number(s) for deletion:

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Terminate ORF Clearing 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 7 – 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, Clearing Firm agrees to pay FINRA all applicable fees associated with these services.

Clearing Firm CRD #:	
Clearing Firm MPID:	
Clearing 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.