Financial Industry Regulatory Authority

FINRA Entitlement Modification Form
Service Provider - FTP/IFT User
Order Audit Trail System℠ (OATS)

Instructions: Complete this form for FTP/IFT[1] User whose account needs to be updated. Prior to processing this Modification Form, FINRA must have a fully executed FINRA Entitlement Agreement (FEA) on file for your organization. If you are not sure whether a FEA is on file for your organization, please contact the Gateway Call Center. This form must be signed by a Service Provider's Account Administrator (either Primary or Alternate, each of which is referred to herein as AA) as designated on an approved FINRA Account Administrator Entitlement Form (AAEF) on file. The AA may only designate information for the application for which s/he is an AA. Any field marked with an asterisk (*) is a required field. Fax or mail the signed form – always include the signature page along with the applicable Modify, Disable or Delete section(s).

If a user is to be designated as a Service Provider's AA (Primary or Alternate), do not complete this form – use the Service Provider FINRA Account Administrator Entitlement Form for OATS.

Please ✓ the appropriate box(es).

- ☐ **To Modify FTP/IFT User Data Only – Complete only the fields that need to be changed in the Modify FTP/IFT User Section.**
- ☐ **To Modify FTP/IFT Privileges Only – Check specific privileges that need to be added or removed in the Modify FTP/IFT Privileges Section.**
- ☐ **To Delete or Disable an FTP/IFT's access to the OATS Application – Complete the Delete or Disable FTP/IFT Section.**

* Service Provider Organization ID#: _____

***** Service Provider Name: _____

Modification Request for:

*User ID: _____

*Name: _____

*First *Middle *Last Suffix

Modify FTP/IFT User Section

Instructions: Complete only the FTP/IFT User fields that have changed.

FTP/IFT User Name: _____

First Middle Last Suffix

Email Address: _____ Telephone Number: _____

Fax Number: _____

[1]FTP – File Transfer Protocol / IFT – Internet File Transfer

Modify FTP/IFT Privileges Section

Instructions: Please mark (A) to Add or (R) to Remove the entitlement(s) for the FTP/IFT User. Added privileges will be set to "User ". Any Removed privileges will not be set which will enable the person to perform the role of user as an FTP/IFT User to the OATS application.

Entitlement Privileges for the Order Audit Trail System (OATS) FTP/IFT **Certification Test Environment (CT)** **Production Environment (PD)** **For – Service Provider**			
A	**R**	**A= Add R=Remove**	
Organization			
		Send Files Only	Provides the capability to **submit** order data via FTP/IFT.
		Send and Receive Files*	Provides the capability to **submit** order data via FTP/IFT and **receive** Reportable Order Event (ROE) rejection reports.

Only one (1) designated FTP/IFT User per Organization may receive rejection reports.

Delete or Disable FTP/IFT Section

Instructions: Please ✓ to Delete FTP/IFT account or Disable FTP/IFT from this application and complete this section.

☐ **Delete FTP/IFT User Account access to the OATS FTP Application.**

☐ **Disable FTP/IFT access to the OATS FTP Application.**

*Reason For Deleting/ Disabling:

***** Signature: ***** Date:

(Must be signed by an AA requesting the modifications.)

*Print Name:

(Please print clearly)

Please FAX completed form to:
FINRA Entitlement Group at 301.216.3721

or mail to:

FINRA Entitlement Group
9509 Key West Avenue
Rockville, Maryland 20850

Questions: FINRA Entitlement Group at 240.386.4185

[1]FTP – File Transfer Protocol / IFT – Internet File Transfer