



FINRA ADDS[®] Optional Services Request Form—TRACE[®]

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

FINRA ADDS offers two optional services:

- **TRACE Data Delivery Plus** allows users to request and download TRACE data from trade dates older than the last 30 calendar days but within the prior 2 years and subscribe to have their TRACE daily files delivered automatically on a daily basis.

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

- **TRACE Data Delivery SFTP** allows the firm to request a Secure File Transfer Protocol (SFTP) user account with which it can retrieve the firm's data. Firms that sign up for SFTP access will have their TRACE data files made available daily.

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

Pursuant to FINRA Rule 7730, firms enrolling in either of the optional FINRA ADDS services will be assessed a monthly fee per MPID enrolled in the service, and firms enrolling in TRACE Data Delivery SFTP will pay a sign-up fee the first month of service*. Fees will appear on the firm's TRACE bill. Fee information is available at www.finra.org/datadelivery/fees.

Section 1 – Enroll in TRACE Data Delivery Plus

Complete this section to enroll your firm in TRACE 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 TRACE Data Delivery Plus access for no additional cost. For instructions on granting access to users, please see www.finra.org/entitlement.

List TRACE MPID(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 MPID(s) to TRACE Data Delivery Plus

Complete this section to enroll additional TRACE MPIDs in TRACE Data Delivery Plus.

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

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

List TRACE MPID(s) to add:

Section 3 – Terminate TRACE Data Delivery Plus

Complete this section to delete TRACE MPIDs or terminate TRACE Data Delivery Plus access in its entirety.

The monthly access fee is not pro-rated; your firm will be billed per MPID for any month in which you have access to either of these services.

List MPID(s) for deletion:

Terminate TRACE 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 TRACE Data Delivery SFTP

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

List TRACE MPID(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 TRACE MPIDs to TRACE Data Delivery SFTP

Complete this section to enroll additional TRACE MPIDs in TRACE Data Delivery SFTP.

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

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

List TRACE MPID(s) to add:

Section 6 – Terminate TRACE Data Delivery SFTP

Complete this section to delete TRACE MPIDs or terminate TRACE Data Delivery SFTP access in its entirety.

The monthly access fee is not pro-rated; your firm will be billed per MPID for any month in which you have access to either of these services.

List MPID(s) for deletion:

Terminate TRACE 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, the member firm agrees to pay FINRA all applicable fees associated with these services.

Member Firm CRD #:	
Member Firm Name:	
Name of Signatory (Print):	
Signature:	
Title:	
Date:	

Fax completed form to FINRA Operations at (301) 527-4918

or email signed form to finraoperations@finra.org.

Please do not remit any payment with this form.