



## FINRA ADDS<sup>®</sup> Optional Services Request Form - ADF<sup>®</sup>

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

FINRA ADDS offers two optional services:

- **ADF Data Delivery Plus** allows users to request and download ADF data from trade dates older than the last 3 business days but within the prior 2 years and subscribe to have their ADF daily files delivered to the website automatically on a daily basis.  
**To add, modify, or delete ADF Data Delivery Plus service, complete applicable Sections 1, 2 or 3, and sign section 7.**
- **ADF Data Delivery SFTP** allows the firm to request a Secure File Transfer Protocol (SFTP) user account with which they can retrieve their firm's data. Firms that sign up for SFTP access will have their ADF data files made available daily for SFTP access.  
**To add, modify, or delete ADF Data Delivery SFTP service, complete applicable Sections 4, 5 or 6, and sign section 7.**

Pursuant to FINRA Rule 7510, firms enrolling in either of the optional FINRA ADDS services for ADF will be assessed a monthly fee per MPID enrolled in the service, and firms enrolling in ADF Data Delivery SFTP will pay a sign-up fee the first month of service\*. Fee information is available at [www.finra.org/datadelivery/fees](http://www.finra.org/datadelivery/fees).

### Section 1 – Enroll in ADF Data Delivery Plus

Complete this section to enroll your firm in ADF 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 ADF Data Delivery Plus access for no additional cost. For instructions on granting access to users, please see [www.finra.org/entitlement](http://www.finra.org/entitlement).

List ADF 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 ADF Data Delivery Plus**

Complete this section to enroll additional ADF MPIDs in ADF 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 ADF Data Delivery Plus access for no additional cost.

<input type="checkbox"/>	List ADF MPID(s) to add:	
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**Section 3 – Terminate ADF Data Delivery Plus**

Complete this section to delete ADF MPIDs or terminate ADF 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.***

<input type="checkbox"/>	List MPID(s) for deletion:	
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<input type="checkbox"/>	Terminate ADF Data Delivery Plus access.
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Requested Date of Deletion:**	
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\*\* 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 ADF 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 ADF 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 MPIDs to ADF Data Delivery SFTP

Complete this section to enroll additional Equity MPIDs in ADF 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 ADF MPID(s) to add:

### Section 6 – Terminate ADF Data Delivery SFTP

Complete this section to delete ADF MPIDs or terminate ADF 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 ADF 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, Member Firm agrees to pay FINRA all applicable fees associated with these services. Member Firm must provide billing contact for this service.

<b>Member Firm CRD #:</b>	
<b>Member Firm Name:</b>	
<b>Name of Signatory (Print):</b>	
<b>Signature:</b>	
<b>Title:</b>	
<b>Date:</b>	
<b>Billing Contact Name:</b>	
<b>Billing Street Address:</b>	
<b>Billing City, State, ZIP:</b>	
<b>Phone Number:</b>	

**Fax completed form to FINRA Operations: 301-527-4918  
or email signed form to [finraoperations@finra.org](mailto:finraoperations@finra.org).  
Please do not remit any payment with this form.**