DIRECT DEPOSIT ENROLLMENT INSTRUCTIONS

Dear FINRA Neutral:

You may authorize FINRA to deposit your honoraria and expense reimbursements directly into either your personal checking; your business checking; or your firm/employer’s checking account (EIN required). Direct deposit is not available for a personal savings account.

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

NOTE: Direct deposit is not available until you have received at least one honorarium check.

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

- checking account number;
- financial institution routing or transit ABA number; and
- a void check for the selected account and financial institution or a letter from the bank that provides the account holder’s name, the bank’s routing number and checking account number.

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

Sincerely,
FINRA Dispute Resolution Services
NON-EMPLOYEE DIRECT DEPOSIT ENROLLMENT FORM

NOTE: Direct deposit is not available until you have received at least one honorarium check.

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

Please note: Direct 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 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 check using one of the following:

Email: catina.daniels@finra.org
Fax: (301) 527-4803
Mail: CaTina Daniels
FINRA Dispute Resolution Services
Neutral Management
Brookfield Place
200 Liberty Street, 11th Floor
New York, NY 10281

FOR AP USE ONLY:

Date ________________________________
AP Processor __________________________