

**FINRA Entitlement Request**  
**TRACE Match Status Report**  
**File Transfer (FTP) Request**

Use this form to enroll your firm in the optional TRACE Match Status Report or to modify or terminate your firms existing enrollment. TRACE match status allows the user to retrieve their firm's match status data via fileX. Firms that sign up will have their files available via fileX.

**Authorized Signatory Requirement:**

This request must be signed by one of the following individuals at the firm: Super Account Administrator, Executive Representative, Direct Owner, Indirect Owner or Executive Officer.

**Organization Information**

CRD# or Organization ID # (if available):

Organization Name:

Street Address:

City, State & Zip Code:

Organization Email:

Phone Number:

**FTP Account Owner**

First Name:

Middle:

Last:

Suffix:

Email:

Phone Number:

**Entitlement Privilege – TRACE Match Status Delta Files**

Complete this section to create or modify an existing ftp account to add the TRACE Match Status Delta Files.

For a **new** FTP account, select "Add" to request a privilege(s).

For an **existing** FTP account that needs access to be updated, enter the User ID of that account: \_\_\_\_\_ and then select "Add" and/or "Remove" to applicable FTP privilege(s).

**Entitlement Privilege – TRACE Match Status Delta Files**

**Add**

**Remove**

TRACE Match Status Delta Files

**Terminate – TRACE Match Status Delta Files**

Complete this section to terminate access to the TRACE Match Status Delta files.

FTP User ID:

Requested Date of Deletion:

Reason for Deleting TRACE Match Status Delta Files:

### Authorized Signatory

Executed on: \_\_\_\_\_

Authorized Signatory's Signature: \_\_\_\_\_

- I am an officer or authorized individual who may act on behalf of the Organization and I am designating another individual to be the Account Administrator.
- I am the only officer or authorized individual who may act on behalf of the Organization and I am required to designate myself as the Account Administrator.
- Other *(If other, explain below why another Authorized Signatory is not available to sign this request which designates you as the Account Administrator).*

If Other, please explain:

Title: \_\_\_\_\_

Print Name: \_\_\_\_\_

Email: \_\_\_\_\_

**How To Submit this Request:** You may execute this request by completing all required sections and either: a) submit via DocuSign, or use another electronic signature (as defined in 15 U.S.C. § 7006), on condition that (i) you must have in place a technical or technological security procedure to attribute the electronic signature to the signatory, and (ii) a textual or graphical statement is included next to the electronic signature identifying the signatory and the date of execution and noting that the signature was generated electronically; or, b) attach a scanned image (such as a .pdf file or fax) of the manually-signed form to an email or other electronic transmission and send to FINRA.

Email: [Tracedataservices@finra.org](mailto:Tracedataservices@finra.org)  
Phone: TRACE Data Services at 1-(888)-507-3665