

**FINRA Entitlement Request**  
**Transparency Services**  
**TRACE Match Status Report**  
**TRACE Enhanced Historic Data**  
**File Transfer (FTP) Request**

**TRACE Data Products Enrollment Form**

Use this form to enroll your firm in optional data products offered by FINRA Transparency Services. This form can be used to add, modify, or terminate your firm's existing enrollment.

**Available Data Products:**

- **TRACE Match Status** - Allows users to retrieve their firm's match status data via fileX.
- **TRACE Enhanced Historic Data** - Enables subscribers to download transaction-level information about TRACE

**Additional Resources:**

- For more information about match status reports, visit: <https://www.finra.org/filing-reporting/trace/match-status-reports>
- To learn more about Transparency Services data offerings, visit: <https://www.finra.org/filing-reporting/trace/data>
- To learn about fees please visit <https://www.finra.org/rules-guidance/rulebooks/finra-rules/7730> or <https://www.finra.org/filing-reporting/trace/pricing>

**Note:** Clients who complete this form will use fileX to retrieve data files.

**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:

☐ **New FTP Account Owner**

Use this section to provide information on the individual who will be responsible for the new FTP account.

First Name:

M.I.:

Last Name:

Suffix:

Email:

Phone Number:

☐ **Replace FTP Account Owner**

In the section below, provide information on the new account owner (the individual who is replacing the individual currently responsible for the existing FTP account).

First Name:

M.I.:

Last Name:

Suffix:

Email:

Phone Number:

In the section below, provide the information of the account owner who is being replaced (this individual will no longer be the account owner). (Only the owner information will be updated for the FTP account. The User ID and current access will remain.)

User ID of Existing FTP Account: \_\_\_\_\_

Name of FTP Account Owner to be Replaced: \_\_\_\_\_

Reason for Replacing: \_\_\_\_\_

### Entitlement Privilege

Complete this section to create or modify an existing ftp account to add the TRACE match status Delta files and/or the Enhanced Historic Data File

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).

Select "Add" to request a privilege(s) or "Remove" to delete FTP privilege(s) from the user.

Add	Remove	
		TRACE Match Status Delta Files
		TRACE Enhanced Historic Data (\$) Please see FINRA Rule <a href="#">7730</a> regarding fees

### ☐ Delete FTP User Account

**Warning: Before requesting to delete an FTP account, check with your Technology Department to verify none of your applications/systems are currently using the account and will not be impacted by its removal.**

Complete this section to remove access to the TRACE Match Stats Report and/or TRACE Enhance Historic Data File.

User ID of existing FTP account to Delete: \_\_\_\_\_

Reason for Deleting Account: \_\_\_\_\_

Requested Date of Deletion: \_\_\_\_\_

### 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 FTP Account Owner.
- 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 FTP Account Owner.
- Other (*If other, explain below why another Authorized Signatory is not available to sign this request which designates you as the FTP Account Owner.*)

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 Acrobat Adobe Sign, 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