

**INSITE Firm Data Filing
Certification Testing Requirements
(Last Revision: 18 July 2007)**

In order to comply with Rule 3150, each member firm (clearing and self clearing) needs to transmit the required data pertaining to itself and any correspondent member firm for which it clears to FINRA. In some cases, a service provider will transmit the data on behalf of the clearing firm and / or correspondent firms. These File Sending Organizations will be referred to as FSOs for the remainder of the document.

Prior to authorization and certification to submit data in the Production Environment of NEP Firm Data Filing (IFDF), FSOs must demonstrate success in the IFDF Testing Environment.

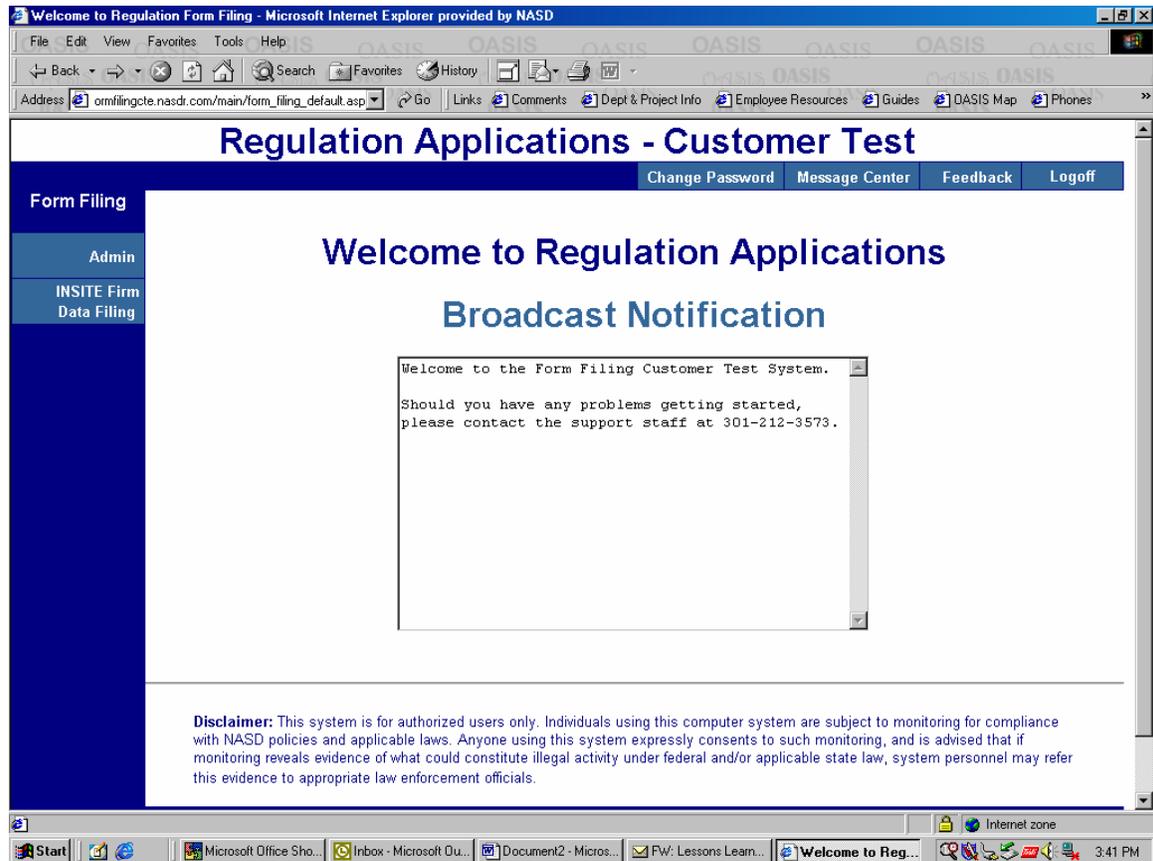
The following steps must be completed:

1. All FSOs must have a CRD #, including Service Providers. In order to apply for a CRD #, the FSO can contact 1-800-321-6273 or send an email to: insite.ifdf@finra.org
2. All FSOs must have entitlements in the Regulation Filing Applications. If a FSO has access to Regulation Filing Applications, then the Regulation Filing Account Administrator can create user accounts and grant privileges for the IFDF application. If a FSO does not have access to the Regulation Filing Applications, the FSO can request Registration Forms by calling 1-800-321-6273: insite.ifdf@finra.org
Note: When requesting forms please specify if your organization is a Member Firm or a Service Provider. Additional details regarding entitlements are available at www.finra.org
3. All firms (clearing, self clearing, correspondents) for which data is being transmitted must have an MPID. If a firm does not have an MPID, the firm must contact Nasdaq Subscriber Services at 1-800-777-5606 to request a MPID for the purpose of submitting INSITE filings.
4. All FSOs are expected to file all of the data for each processing date for each correspondent firm. The actual record layouts are located in Appendix A of the Technical Specifications.
5. When a FSO is ready to begin testing, it needs to send an email to: insite.ifdf@finra.org stating that it is ready to submit data in the Testing Environment.
6. FINRA staff will confirm the start date.
7. All FSOs are required to successfully submit test data over a consecutive five (5) day period without any rejections. We assume that all internal testing has been completed and that files being sent represent actual production data.

Certification Testing Environment (CTE) -- registration

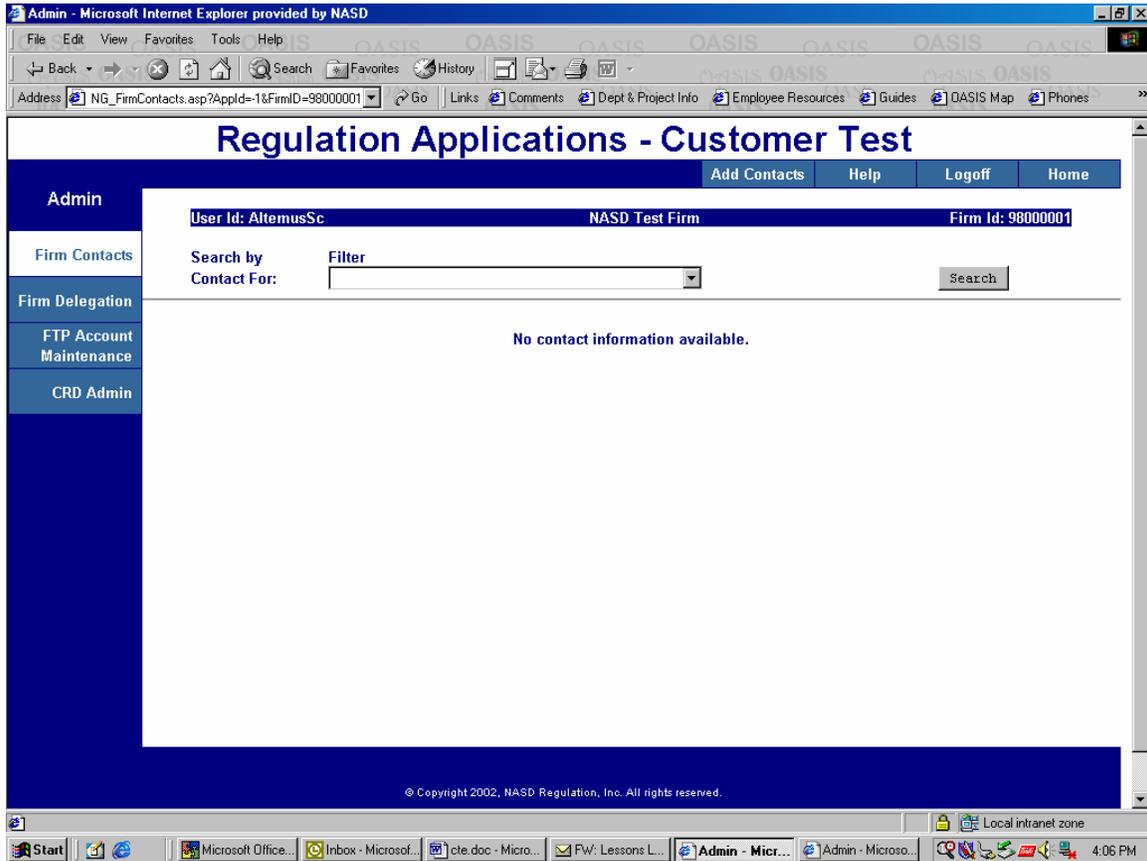
- Go to URL: reglingcte.finra.org.
- Logon using the CRD User Name and Password

You should see the Welcome Page as below:

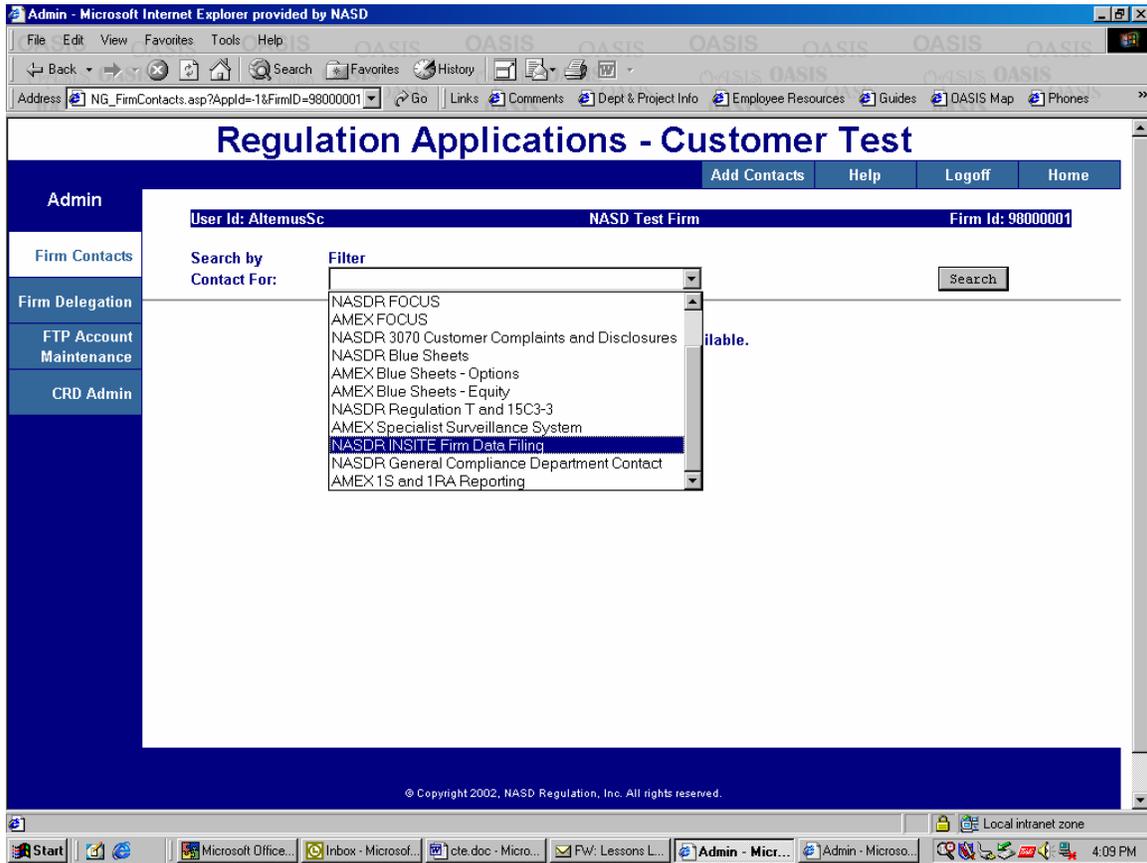


- Click on Admin tab.

You should see the Firm Contacts page as below:



- Go to the drop down menu on the Filter, and scroll to and click on 'FINRA NEP Firm Data Filing'



- Click on 'Add Contacts'.

Regulation Application

User Id: AltemusSc NASD Test Firm Firm Id: 98000001

Add Contact

Title: Mr. ▾

First Name:

Last Name:

Designation:

Mail Address: 33 Whitehall Street

(if not main firm mailing address)

City: New York

State: New York ▾

Zip Code: 10004

Email Id:

Phone No.:

Fax No.:

Preferred method of contact: Email ▾

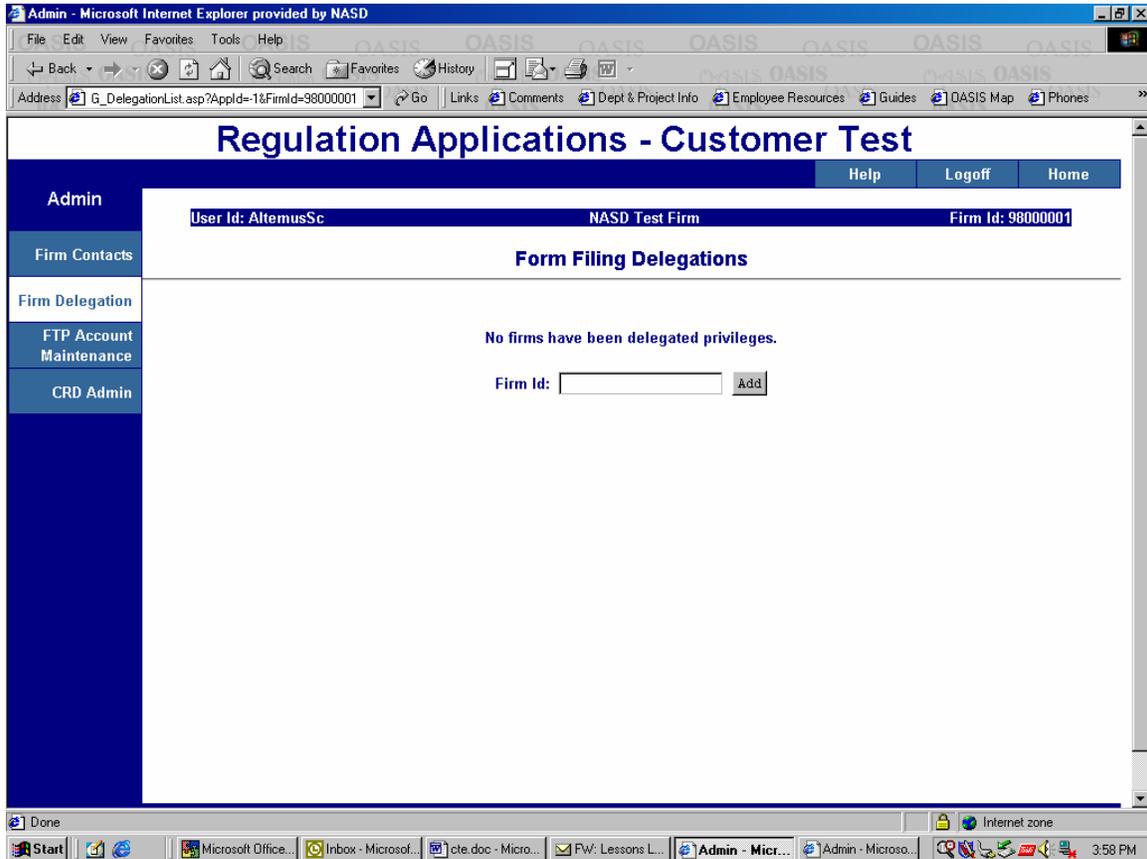
Check Applications Individual Is Contact For:

NASDR Short Position Reporting Primary ▾

The information entered here will be used for future mailings, emails, faxes for each application. It is our recommendation that at least 2 staff members are entitled to the Regulation Filing Applications in order to maintain an updated Contact List.

If your firm is using a Service Provider to submit NEP data on your behalf, then that FSO needs to be authorized.

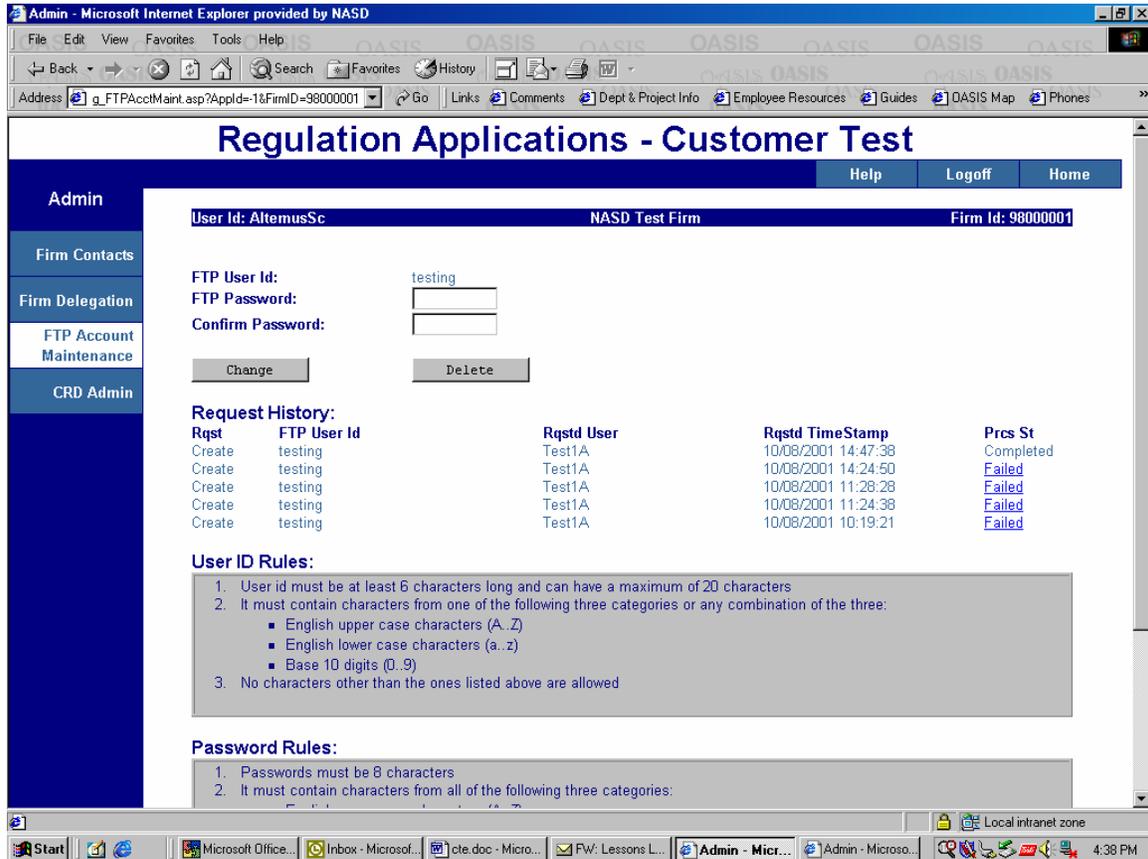
- Go to the Firm Delegation tab, enter the CRD ID of your FSO, then click the Add button.



If you are an FSO, you can choose to transmit the data by using FTP or File Upload as mentioned in the Technical Specifications.

If the FSO chooses the FTP option, it needs to setup the FTP Account.

- Click on 'FTP Account Maintenance' tab.



- Enter FTP User Id and FTP Password to be used in the FTP sessions by following the Rules.
- Click on 'Create'.

If the FSO is setup on the FINRA Private Network (for OATS), then it you can access CTE at the following IP address:
150.123.117.136

If the FSO is not setup on the FINRA Private Network (for OATS), then it must contact SAVVIS at 1-800-825-9196 for connectivity.

- Logoff from the application.

FTP Option

- Use the FTP address (150.123.117.136) to send Data File and Retrieve File Validation Report from FINRA. The example below DOES NOT use the correct IP.

```
Microsoft Windows 2000 [Version 5.00.2195]
(C) Copyright 1985-2000 Microsoft Corp.

C:\>_

FTP Method – Sample FTP Sessions

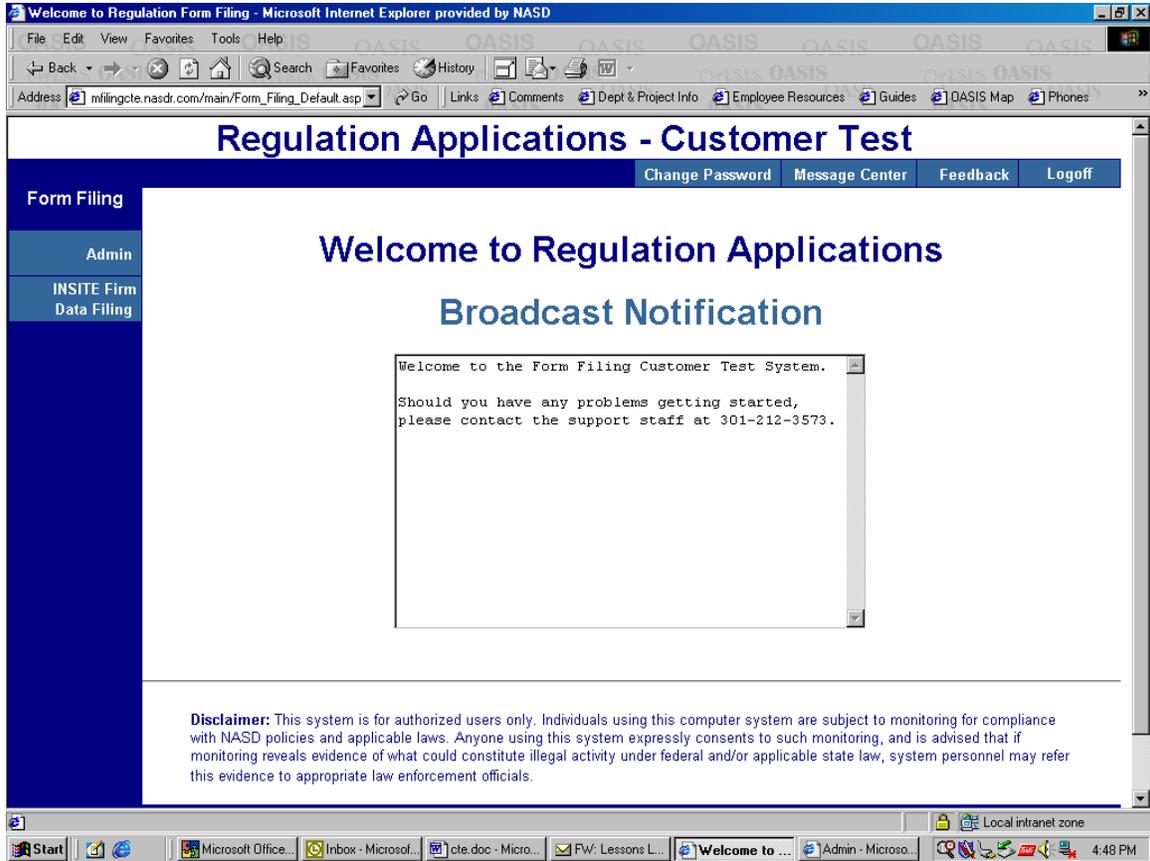
-- FTP IFDF Data File to NASD --
C:\>ftp 198.4.161.135
Connected to 198.4.161.135.
220 198.4.161.135 Microsoft FTP Service (Version 5.0).
User (198.4.161.135:(none)): FSOuserid
331 Password required for FSOuserid.
Password:
230 User FSOuserid logged in.
ftp> put testfile.txt
200 PORT command successful.
150 Opening ASCII mode data connection for testfile.txt.
226 Transfer complete.
ftp: 4 bytes sent in 0.00Seconds 4000.00Kbytes/sec.
ftp> quit

-- Retrieve a File Validation Report from NASD --
C:\>ftp 198.4.161.135
Connected to 198.4.161.135.
220 198.4.161.135 Microsoft FTP Service (Version 5.0).
User (198.4.161.135:(none)): FSOuserid
331 Password required for FSOuserid.
Password:
230 User FSOuserid logged in.
ftp> get RPT_testfile.txt.1 file_validation.rpt
200 PORT command successful.
150 Opening ASCII mode data connection for testfile.txt.
226 Transfer complete.
ftp: 4 bytes sent in 0.00Seconds 4000.00Kbytes/sec.
ftp> quit

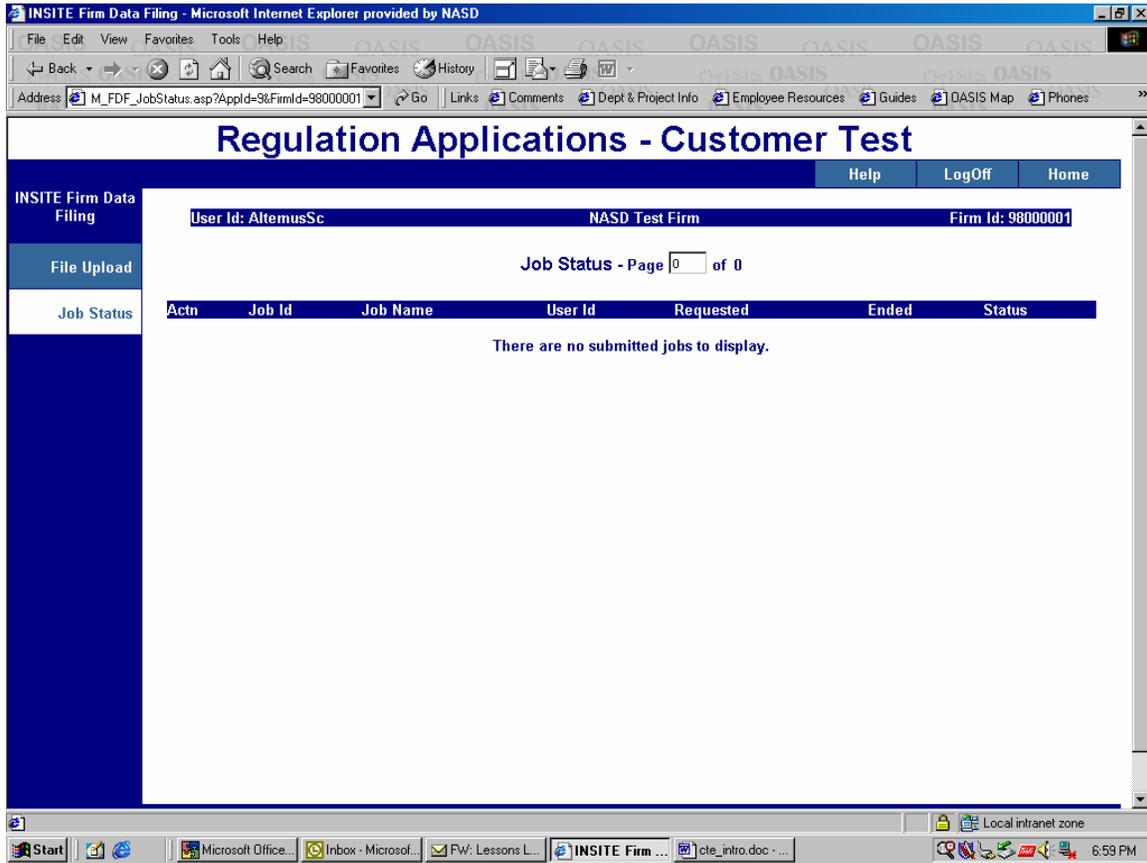
Note: The report file has the same name "testfile" as the data file originally sent, with a prefix of "RPT_" and a suffix. The suffix ".1" will be used for the File Validation report, and ".2" will be used for the record validation report. The name "file_validation.rpt" is the name you want the report file to be named on your system.
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File Upload Option

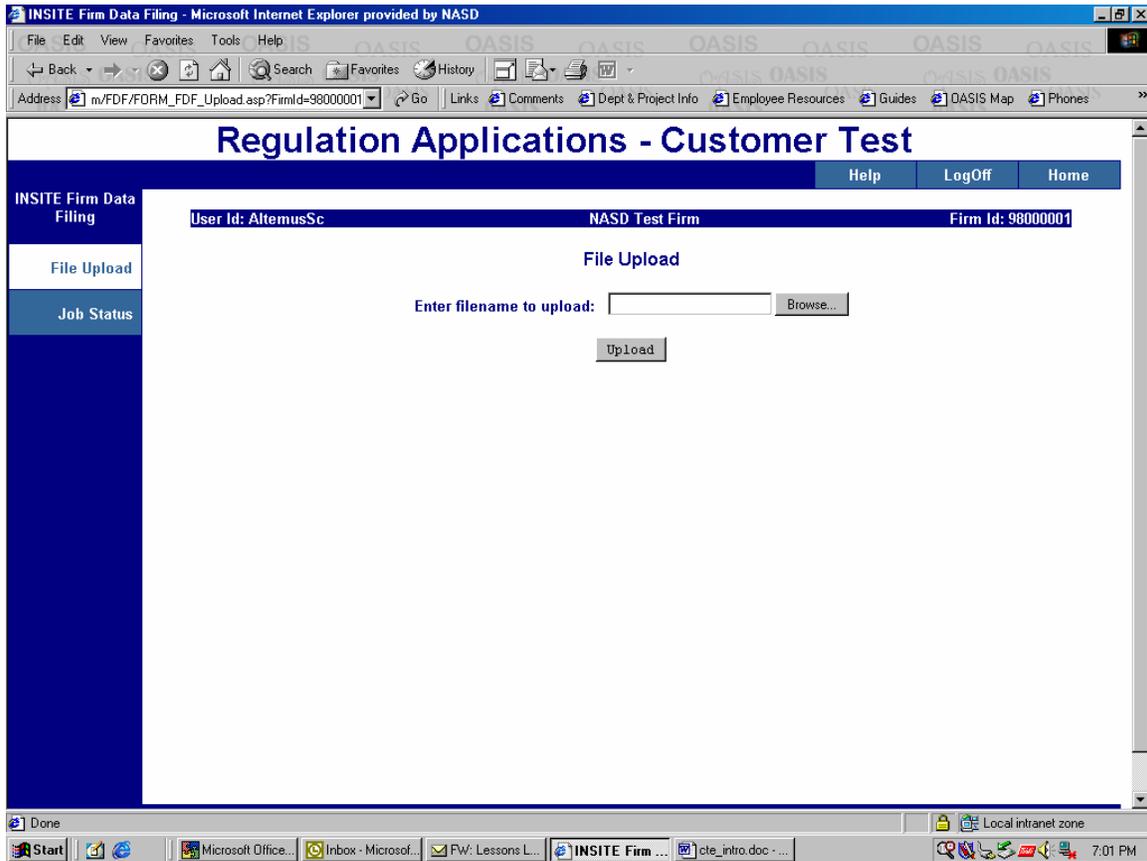
- Go to the URL: regfilingcte.finra.org
- Logon using the CRDUser Name and Password.



- Click on the NEP Firm Data Filing tab.



- Click on the File Upload tab.



- Enter the data set name in the testbox provided, or use the Browse button to select the file.
- Click the 'Upload' button.

Reports

All FSO's will be able to view two types of reports:

File Validation Report – Once a file is received by IFDF, it is validated for file acceptance. A file Validation Report will be generated and made available to the FSO for every file submitted. Please refer to Technical Specifications, Section 3.

04/10/2001 09:39

FILE VALIDATION REPORT

FIRM ID: 10

FIRM NAME: Firm 10

FILE ID: 431

FILE NAME: IFDF_04092001_4

RCVD AT: 04/10/2001 09:25:43

PRCS DATE: 04/09/2001

COMPLETION TIME

STATUS

COMMENTS

04/09/2001 09:38:53

ACCEPTED

FILE ACCEPTED FOR RECORD VALIDATION

