## 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: <a href="mailto:insite.ifdf@finra.org">insite.ifdf@finra.org</a>
- 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.
- 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: <u>insite.ifdf@finra.org</u> 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:

🚰 Welcome to Regulat	ion Form Filing - Microsoft Internet Explorer provided by NASD
File Edit View Fa	avorites Tools Help IS OASIS OASIS OASIS OASIS OASIS OASIS OASIS OASIS
🖉 🖓 Back 🔹 🖘 🐨 🕼	🗿 🔂 🖓 Search 💽 Favorites 🧭 History 🖃 🛃 - 🎒 🔟 -
Address 🤄 ormfilingcte.	nasdi.com/main/form_filing_default.asp 🗾 🔗 Go 🛛 Links 🔮 Comments 💩 Dept & Project Info 💩 Employee Resources 🗳 Guides 💩 DASIS Map 💩 Phones 💦
	Regulation Applications - Customer Test
	Change Password Message Center Feedback Logoff
Form Filing	
Admin	Welcome to Regulation Applications
INSITE Firm Data Filing	Broadcast Notification
	Talana ta the Term Pilian Gustana Test Gustan
	Welcome to the form filing Customer Test System.
	Should you have any problems getting started, please contact the support staff at 301-212-3573.
	Discharge This sector is for addictional control to finite the sector bits and sector which is the sector is for a sector is
	visite of the system is for authorized users only. Individuals using this computer system are subject to monitoring for compliance with NASD policies and applicable laws. Anyone using this system expressly consents to such monitoring, and is advised that if
	monitoring reveals evidence of what could constitute illegal activity under federal and/or applicable state law, system personnel may refer this evidence to appropriate law enforcement officials.
<b>6</b> ]	
🏽 🚮 Start 🔤 🚮 🌔	🔢 🐻 Microsoft Office Sho  🙆 Inbox - Microsoft Ou  🗃 Document2 - Micros  🗹 PW: Lessons Learn    🎒 Welcome to Reg   🕰 🕵 🌫 🌾 🐫 3:41 PM

• Click on Admin tab.

🚰 Admin - Microsoft Int	ernet Explorer provide	d by NASD							. 8 ×
File Edit View Fa	vorites Tools Help	S OASIS	OASIS	OASIS	OASIS	OASIS	OASIS	OASIS	-
🖕 Back 🔹 🔿 🗠 🔕	3 🗗 🚮 🧕 Sear	ch 💽 Favorites 🤅	History 📑 🛃 -	🎒 🖬 🕤					
Address 🛃 NG_FirmCon	tacts.asp?AppId=-1&FirmID	)=98000001 🔽 🔗 Go	b 🗍 Links 🔌 Comment	s 🙋 Dept & Project	t Info 🧉 Employee	Resources 🔌 Guid	les 🛛 🙋 OASIS Map	🛃 Phones	×
	Regu	Iation A	Applicati	ions - C	Custon	ner Tes	t		<u> </u>
A sheeting					Add Conta	cts Help	Logoff	Home	
Admin	User Id: Altemu	sSc		NASD Test F	irm		Firm Id: 9	8000001	
Firm Contacts	Search by	Filter							
Firm Delegation	Contact For:				•		Search		_
FTP Account			No cor	stact information	available				
Maintenance			10 001		avanabie.				
CRD Admin									
		@C	opyright 2002, NASD Reg	ulation, Inc. All rights	reserved.				
Ø]							🔒 🔠 Local	intranet zone	
🏽 🚮 🚰 🍘	Microsoft Office	Sinbox - Microsof	💌 cte.doc - Micro	FW: Lessons L	Admin - Micr.	🥔 Admin - Micros		🛲 🌾 🔩 🛛 4:0	06 PM

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'

Admin - Microsoft Int	ernet Explorer provided	by NASD					
ile Edit View Fav	vorites Tools Help						
🗆 Back 🔹 🔿 😪 🎑	) 🛃 🚮 🧟 Search	Favorites 🕜 History	🗗 🛃 • 🎒 📼 •				
ldress 🙋 NG_FirmCont	acts.asp?AppId=-1&FirmID=9	38000001 🔽 🔗 Go 🛛 Links 🤞	🙋 Comments 🛛 🙋 Dept & Pro	ject Info 🛛 🙋 Employee Res	ources 🛛 🙋 Guide	es 🙋 OASIS Map	🕗 Phones
	Regul	ation Appl	ications -	Custome	er Test	:	
0 aluaius				Add Contacts	Help	Logoff	Home
Admin	User Id: Altemus	Sc .	NASD Tes	st Firm		Firm Id: 9	3000001
Firm Contacts	Search by	Filter					
m Delegation	Contact For:	NASDR FOCUS		<u> </u>		Search	
FTP Account		AMEX FOCUS NASDR 3070 Customer	Complaints and Disclosu	res ilable.			
Maintenance		NASDR Blue Sheets	lione				
CRD Admin		AMEX Blue Sheets - Equ	uity				
		AMEX Specialist Surveil	nd 15C3-3 llance System				
		NASDR INSITE Firm Da	ita Filing janca Danartment Contac	**			
		AMEX 1S and 1RA Repo	orting	<b>•</b>			
		© Copyright 200:	2, NASD Regulation, Inc. All rig	hts reserved.			
						🔒 🔠 Local i	ntranet zone
Start 🛛 🏹 🌔	Microsoft Office	🖸 Inbox - Microsof 🔯 cte.doc	- Micro 🛛 🖂 FW: Lessons L	🦉 Admin - Micr 🤞	Admin - Microso.		🜌 🍕 📲 🖌 4:1

• Click on 'Add Contacts'.

SEdit View Fa	vorites Tools Help			
= Back 🔹 🔿 🗠 🧕	) 👔 🚮 🥘 Search 🕋 Favorites 🧭 H	istory 📑 🛃 🥌 🐨 -		
dress 🙋 p?FirmID=98	000001&AppId=-1&Page=&Action=Add 🗾 🔗 Go	Links 🙆 Comments 🙋 Dept & Project Info 🤌 Employee	e Resources 🤌 Guides 🔌 OASIS M	lap 🙋 Phones
	Real	lation Application		
	Regi	nation Application		
dd Contact		Save & Close	Save & New Close	Reset
ad contact	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:	<b>F</b>		
	Phone No.:			
	Fax No.:			
	Preferred method of contact:	Email 💌		
		Check Applications Individual Is Contact F	For:	
	🗆 NAS	DR Short Position Reporting	imary 💌	

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.

🚰 Admin - Microsoft In	nternet Explorer provided by NASD	_ 8 ×
File Edit View Fa	avorites Tools Help S OASIS OASIS OASIS OASIS OASIS OASIS OASIS OASIS	IS 🗐
🕁 Back 🝷 🔿 🖓	🔕 😰 🚰 🧟 Search 🖻 Favorites 🧭 History 📑 🛃 - 🎒 🔟 -	
Address 🥙 G_Delegatio	ionList.asp?AppId=-1&FimId=98000001 🔽 🌈 Go 🗍 Links 🙋 Comments 🕘 Dept & Project Info 🥥 Employee Resources 🙋 Guides 🖉 DASIS Map 🙋 Pho	ines »
	Regulation Applications - Customer Test	^
Admin	Help Logoff Ho	me
	User Id: AltemusSc NASD Test Firm Firm Id: 98000001	1
Firm Contacts	Form Filing Delegations	
Firm Delegation		
FTP Account Maintenan <u>ce</u>	No firms have been delegated privileges.	
CRD Admin	Firm Id: Add	
		_
		-
🛃 Done	🔒 🌚 Internet zone	
🏽 🚮 Start	🛛 📓 Microsoft Office 🔯 Inbox - Microsof 🖻 cte. doc - Micro 🗹 FW: Lessons L 🖗 Admin - Micr 🙆 Admin - Microso 🔍 🖏 😓 🜌 📢	3:58 PM

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.

🖉 Admin - Microsoft Int	ernet Explorer provided by NASD			_ 8 _
File Edit View Fa	vorites Tools Help			ASIS OASIS
🕁 Back 🔹 🔿 😪 🙆	🕽 🔂 🧟 Search 💽 Favorites 🤅	History 📑 🛃 🥔 🐨 -		
Address 🛃 g_FTPAcctiv	faint.asp?AppId=-1&FirmID=98000001 🔽 🔗 Go	b 🗍 Links 🥑 Comments 🙋 Dept & Project Info 🥑	Employee Resources 🛛 🙋 Guides	🙋 OASIS Map 🖉 Phones 💦 🤌
	Regulation A	Applications - Cust	tomer Test	-
	Ŭ		Help	Logoff Home
Admin	llsar Id: AltamusSc	NASD Test Firm		Firm Id: 9800001
				1 mm na. 3000000 m
Firm Contacts	FTP User Id: te	sting		
Firm Delegation	FTP Password:			
FTP Account	Confirm Password:			
Maintenance	Change	Delete		
CRD Admin				
	Request History:	Durad Union	Durated Time of Chammer	Deep C4
	Create testing	Test1A	10/08/2001 14:47:38	Completed
	Create testing	Test1A Test1A	10/08/2001 14:24:50	Failed Foiled
	Create testing Create testing	TestIA	10/08/2001 11:28:28	Failed
	Create testing	Test1A	10/08/2001 10:19:21	Failed
	User ID Rules:			
	1. User id must be at least 6 cl	naracters long and can have a maximum of 20 ch	haracters	
	<ul> <li>English upper case cl</li> </ul>	haracters (AZ)	ombination of the three.	
	<ul> <li>English lower case ch</li> </ul>	haracters (az)		
	<ul> <li>Base 10 digits (09)</li> <li>No characters other than the</li> </ul>	ones listed above are allowed		
	Password Pulse:			
	1. Passwords must be 8 chara	cters		
	2. It must contain characters fr	om all of the following three categories:		
ē)				🔒 📴 Local intranet zone
🏽 🕄 🚰 🎯	Microsoft Office 💽 Inbox - Microsof	🗟 cte.doc - Micro 🛛 🖂 FW: Lessons L 🏼 🖉 Admir	n - Micr 🦉 Admin - Microso	🔍 🖏 😓 🌫 🍕 🐫 4:38 PM

- 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.



## File Upload Option

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

🖉 Welcome to Regula	tion Form Filing - Microsoft Internet Explorer provided by NASD 📃 🗗 🗙
File Edit View Fi	avorites Tools Help IS OASIS OASIS OASIS OASIS OASIS OASIS OASIS
] 🗇 Back 🝷 🔿 😪 🤅	🕉 🛐 🖓 Search 💽 Favorites 🏈 History 📑 🛃 - 🎒 🔟 -
Address 🙋 mfilingcte.na	asdr.com/main/Form_Filing_Default.asp 💌 🖉 Go 🛛 Links 🙋 Comments 🙋 Dept & Project Info 🙋 Employee Resources 🙋 Guides 🙋 DASIS Map 🔮 Phones 💦 👋
	Regulation Applications - Customer Test
	Change Password Message Center Feedback Logoff
Form Filing	
Admin	Welcome to Regulation Applications
INSITE Firm Data Filing	<b>Broadcast Notification</b>
but ing	Dioducast Notification
	Welcome to the Form Filing Customer Test System. 📕
	Should you have any problems getting started,
	please contact the support staff at 301-212-3573.
	v.
	Disclaimer: This system is for authorized users only. Individuals using this computer system are subject to monitoring for compliance
	with NASD policies and applicable laws. Anyone using this system expressly consents to such monitoring, and is advised that if monitoring reveals evidence of what could constitute illegal activity under federal and/or applicable state law, system personnel may refer
	this evidence to appropriate law enforcement officials.
<u>ଜ</u> ୀ	A 🛗 I ocal intranet zone
📲 Start 🛛 🚮 🚑	🕼 Microsoft Office 🚫 Inbox - Microsoft 🗑 cte. doc - Micro 🔽 FW: Lessons L 🕼 Welcome to 🌾 Admin - Microsoft. 📿 🕵 4:48 PM

• Click on the NEP Firm Data Filing tab.

🚰 INSITE Firm Data I	Filing - Microsoft Internet Expl	orer provided by NAS	D				_ 8 ×
File Edit View	Favorites Tools Help						ASIS 🏼
Back -	区 🗗 🚮 🧕 Search 📋	Favorites 🕜 Histor	y 🖪 🖧• 🎒 🗹 ·				
Address 🛃 M_FDF_Jo	bStatus.asp?AppId=9&FirmId=9800	10001 💌 🔗 Go 🛛 Lini	ks 🤌 Comments 🔌 Dept &	Project Info 🧉 Employe	e Resources 🛛 🙋 Guides	🙋 OASIS Map 🛛 🧔	] Phones X
	Regula	tion App	olications	- Custon	ner Test		
					Help	LogOff	Home
Filing	User Id: AltemusSc		NASD	Fest Firm		Firm Id: 9800	0001
File Upload			Job Status - P	age 🔍 of O			
Job Status	Actn Job Id	Job Name	User Id	Requested	Ended	Status	
			There are no submit	ted jobs to display.			
							_
٤						🔒 📴 Local intra	net zone
🏽 🕄 🚮 🎼	Microsoft Office 💽 Ir	nbox - Microsof 🖂 Fw	/: Lessons L 🎼 INSITE Fi	rm 💌 cte_intro.doc -		_ Q <u>Q</u> 55	🎨 🔩 6:59 PM

• Click on the File Upload tab.

🏄 INSITE Firm Data Fil	ing - Microsoft Internet Explorer provided by NASD		
File Edit View Fa	vorites Tools Help		S OASIS OASIS
Back -	) 🔄 🐴 🥘 Search 🐨 Favorites 🍏 History 📑 🛃 - 👙 🐨 -	OASIS OASIS	ASIS OASIS
	M_FDF_Upload.asp?Firmid=98000001 ~ ~ Go Links @ Comments @ Dept & Pt	oject Inro	c Guides c UASIS Map c Phones ···
	Regulation Applications -	Customer To	est
INSITE Firm Data		He	elp LogOff Home
Filing	User Id: AltemusSc NASD Te	est Firm	Firm Id: 98000001
File Upload	File Upl	oad	
Job Status	Enter filename to upload:	Browse	
	Uploa	a	
		_	
Cone	Microsoft Office. Olabox - Microsof. MPW: Lessons	Dete introdoc	📋 🧱 Local intranet zone

- 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:

<u>File Validation Report</u> – 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	5 COMMENTS
04/09/2001 09:38:53 ACCEPT	TED FILE ACCEPTED FOR RECORD VALIDATION

<u>**Record Validation Report**</u> – For all files that successfully pass the file validation, each record within that file is validated in accordance with the record validation requirements. If any record within a file is rejected, the entire file shall be rejected.

04/25/2	001 15:4	1		RECORD VALIDATI	ON REPORT	PAGE: 1
FIRM I FILE I RCVD A COMPLE	D: D: T: TED AT:	10 431 04/10/2 04/10/2	DO1 09:2 DO1 09:5	5:43 7:12	FIRM NAME: FILE NAME: PRCS DATE: STATUS:	Firm 10 IFDF_04092001_4 04/09/2001 REJECTED
REC #	CLRG FIRM	CRSPT ID	DATA GRP	FIELD NAME		ERROR DESCRIPTION
8	ABCD	A123	1	Exchange Listed Transaction Cour	Equity nt	Invalid format: Negative value
12	EFGH	B123	2	Debt Transaction	n Count	Missing Data Value
13	IJKL	C123	3	Aged Initial Mag	rgin Calls	Invalid format: Non-numeric value
21	MNOP	D123	4	Canceled Trade Count, As-of Trade Count		Sum of Canceled Trade Count and As-Of Trade Count (4 + 3) is not equal to total number of detail records (6)
63	QRST	E123	5	Trade Date		Invalid format: Incorrect date format
75	VWXY	F123	6	DOM Issues		Invalid format: Non-numeric value

If data is rejected, the FSO is responsible for researching and repairing its own rejections. When repairs take beyond the cutoff, there is no need to transmit late data. Simply apply the repairs and transmit starting with the next day's information. The FSO will be required to restart the test process and successfully submit data for five (5) consecutive day period. Please refer to Technical Specifications, Section 6.

The progress of FSO's will be actively monitored in the Test environment. Members or Service Providers that are having difficulty meeting these guidelines or who have questions concerning the guidelines should send an email to: <u>ifdf.insite@finra.org</u>. For technical assistance please contact the IFDF External Help Desk for assistance (1-800-321-6273 and listen for the prompts).

After Certification Testing has been completed and the contact information has been updated, the FSO will send an email to: <u>ifdf.insite@finra.org</u>\_stating that the firm has completed certification testing. At this time the FSO will be given authorization to file data to the IFDF Production Environment.