



To: Web Electronic File Transfer Firms
(BD and BD/IA Members and Non-Members)

From: FINRA Registration and Disclosure Department

Re: The Web EFT Entitlement Process

This letter contains general information about the Web EFT Account Entitlement Forms: The Web Electronic File Transfer (EFT) User Account Acknowledgement Form (Web EFT UAAF) and the FINRA Electronic File Transfer System for Web CRD Filings **Participant Agreement/Terms and Conditions**.

Once FINRA receives your completed Entitlement Forms, a Web EFT Firm User Account will be created. Your Web EFT Contact(s) will be contacted with the Firm's User Name and Initial Password. The Confirmation Packet will include the URL for accessing the Web EFT Test Environment¹. Please note that any missing information on the Web EFT Entitlement Forms may delay establishing your Web EFT Firm User Account.

In this packet are two Entitlement Forms (the Web EFT UAAF and the Participant Agreement/Terms and Conditions) that must be completed and mailed to FINRA to begin processing your firm's request to access the Web EFT System.

Background Information

The Web EFT Production "Live" System became available on March 24, 2003, in conjunction with the Web CRD/IARD Software Release 5.0. This web-based, electronic document transfer system allows firms, who choose to subscribe, to interface with Web CRD and IARD in an automated manner and transfer filing information across the Internet in the form of uploads and downloads from their internal systems. It offers firms the ability to upload "batched" data to FINRA and provides subscribers reports containing the results of their filing process, as well as downloads of registration and accounting activity.

¹ All firms will first be set up in the Web EFT Test Environment for a period of time before given access to the Production Environment. Once the firm and FINRA agree that the firm is ready to access the Production Environment, FINRA will send the firm a Confirmation Packet with a new password and the production URL.

Role of FINRA

In its role as the operator of the Web EFT System, FINRA is responsible for designing and operating the system. FINRA also oversees entitlement to the Web EFT System, along with system maintenance and availability. FINRA staff is available to answer your questions regarding the Entitlement Forms, system navigation and usage.

Web EFT Entitlement

Included in this packet are the two Entitlement Forms you must complete and mail to FINRA in order to establish a Web EFT Test Environment Firm User Account. **These forms must be returned with original signatures to FINRA.** (Faxed copies *will not* be accepted.)

Setting Up Your Web EFT Test Environment Firm User Account

The first step in setting up your Web EFT Firm User Account is to complete the two Entitlement Forms in this packet: (1) the Web Electronic File Transfer (EFT) User Account Acknowledgment Form (**Web EFT UAAF**), and (2) the FINRA Electronic File Transfer System for Web CRD Filings **Participant Agreement/Terms and Conditions**. Send the completed forms to the FINRA either by regular mail or by overnight service.

To send completed forms via **regular mail**, please mail them to:

Web EFT Entitlement Requests
FINRA
P.O. Box 9495
Gaithersburg, MD 20898-9495

To send completed forms via **overnight service**, please ship them to:

Web EFT Entitlement Requests
FINRA
9509 Key West Avenue
Rockville, MD 20850
(240) 386-5421

Completing Web EFT Entitlement Forms

- 1. Web EFT User Account Acknowledgment Form (UAAF)** - This form is used to identify the Primary and Alternate Contact Persons at the firm who will be authorized to contact FINRA for Web EFT System questions or system issues (including password problems). **FINRA requires that the Web EFT UAAF be signed with an original signature.**

On this form your firm will designate the:

- Individuals who will serve as the Primary and the Alternate Web EFT Firm Contact persons. The Primary and Alternate Contact Persons are the person(s) responsible for maintaining your firm's Web EFT Firm User Account. It is important for your firm to designate the appropriate individual(s) to address the technical/registration questions and issues related to Web EFT.
- Web EFT Service Option to which your firm wants to subscribe. One Firm User Account will be provided to the firm, which will provide access to the Service Option selected.

2. FINRA Electronic File Transfer System for Web CRD Filings

Participant Agreement/Terms and Conditions - This form provides the terms and conditions for your firm's participation in Web EFT. **FINRA requires that the Participant Agreement/Terms and Conditions be signed with an original signature.**

Confirmation Packet and Firm User Account Information

Your Web EFT Contact(s) will be contacted with the Firm's User Name and Initial Password.

Your Confirmation Packet will include:

1. URL address for the Web EFT Test Environment
2. Important Entitlement Tips
3. Web EFT Service Option Change Form
4. Web EFT Billing Information

Note: All Firms will first be set up in the Web EFT Test Environment for a period of time before given access to the Production Environment. Once the firm and FINRA agree that the firm is ready to access the production environment, FINRA will send the firm a Production Confirmation Packet with a new password and the production URL.

Adding new Alternates or Replacing your Web EFT Contacts

Once your firm is entitled with access to Web EFT, your firm can add a new alternate or replace the primary business or technical contact by faxing an updated **Web EFT User Account Acknowledgment Form (UAAF)** to FINRA Entitlement. The fax must be signed by a Web EFT contact.

Modifying/Deleting your Web EFT Contacts

Once your firm is entitled with access to Web EFT, your firm can modify or delete a Web EFT Contact by faxing the **Web EFT FINRA Entitlement Modification Form** to FINRA Entitlement. The fax must be signed by a Web EFT contact.

Support for Web EFT:

Information for Web EFT can be found at www.finra.org/WebEFT.

For Web EFT questions related to the Entitlement Forms, system navigation, and usage, please call the Gateway Call Center at 301.869.6699.

We anticipate your experience with electronic filing on the Web EFT System will be a smooth one. Please remember to use the support tools that have been put in place to assist you when you have questions. FINRA looks forward to working with you as you use Web EFT.