FINRA Advertising Regulation
Batch Submission of Filings, Version 2
(Last updated: October 11, 2017)
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Document location

This document is available on FINRA.org via a link at the bottom of this page:
http://www.finra.org/industry/advertising-regulation-electronic-files
# Revision History

<table>
<thead>
<tr>
<th>Date</th>
<th>Editor</th>
<th>Comments</th>
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<tr>
<td>9 September 2016</td>
<td>Clarence Burns</td>
<td>Initial publication of Version 2 document.</td>
</tr>
<tr>
<td>15 September 2016</td>
<td>Clarence Burns</td>
<td>Clarifications in the “What you need in order to submit batch filings” section.</td>
</tr>
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</tr>
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Description

Through the use of XML meta data files as well as associated documents transmitted via secure file transfer protocol (sFTP), Batch Submission enables FINRA member firms to submit a large volume of Advertising filings directly to a secure server and to automate and streamline the submission process.

Firms with a high volume of advertisements (typically around 500 per year or more) may find that batch submission is more efficient than manually submitting pieces to FINRA one at a time using the AREF (Advertising Regulation Electronic Filing) web site.

Implementation steps for firms new to batch submission

Typically, the steps to start using Batch Submission look like the following:

1. Read this document thoroughly;
2. Have a preliminary conversation with FINRA;
3. Acquire all necessary accounts and verify connectivity to FINRA;
4. Settle upon an FTP mechanism or FTP client software;
5. Develop XML-constructor software, working through any questions with FINRA;
6. Upload several test filings to FINRA’s Customer Test Environment (TEST) and work out any issues with XML formatting and the upload process;
7. Acquire verification from FINRA that the test files were received properly;
8. Begin uploading actual advertisements to FINRA’s production servers.

Required contact information

FINRA makes announcements regarding AREF and the Advertising batch submission system. Therefore, please provide contact information for both a technical contact as well as a business contact. It is strongly recommended that this information is kept updated. Please send the contact information to Advertising-Technology@finra.org.
Requirements to submit batch filings

To submit batch filings, the following five items are required:

1. Advertisement(s) in a file format acceptable to FINRA
2. Structured metadata in an XML file format,
3. EWS account with entitlements to AREF,
4. sFTP access to FINRA,
5. EWS sFTP accounts for Advertising Batch Submissions
   a) FINRA Test Environment sFTP account
   b) FINRA Production sFTP Accounts

Note that the three accounts in numbers 3 and 5 are distinct accounts, each with their own username and password.

1. Advertisement(s) in a file format acceptable to FINRA

You must have all files to be submitted, including the advertisements themselves in a file format acceptable to FINRA (PDF, audio-video, and MS Office formats), together with the associated metadata required for submission (e.g., date of first use, name of principal that approved the communication, whether the communication will be preceded or accompanied by a prospectus, etc.).

2. Structured metadata converted to XML file

You will also have to develop a tool to consolidate all structured data (See Appendix A for a full list of data requirements) into a single batch file that conforms to the XML schema definition (See Appendix C). This file must be suffixed by “.mdata” to be processed.

3. EWS account with entitlements to AREF

Access to the vast majority of FINRA systems is controlled by FINRA EWS (Enterprise Web Security) accounts. Typically users of FINRA systems need only one username and password to access all applications to which they are entitled.

To submit Advertising batch filings, two accounts are needed: one to allow the sFTP server to accept the file, and one to access AREF (Advertising Regulation Electronic Filing).

If your firm is currently submitting advertisements electronically to FINRA, then you already have at least one user with entitlements to AREF, and those credentials could be used.

If your firm does not currently submit electronically, you can ask your firm account administrators – the people at your firm who have the rights to create EWS accounts – to create and entitle a new account.

If you cannot determine your account administrators, please call the FINRA Call Center at (800) 321-6273, and select option 1 for entitlements questions. The operator can help you more easily if you know your firm’s CRD number.

4. sFTP access to FINRA

You will need to determine whether or not your firm has already established sFTP access to FINRA’s servers in order to submit other regulatory information. The Regulation Filing Administrator within your firm can provide you with this information. Questions regarding obtaining access to the system can be directed to (800) 321-6273.

Note that while most FTP clients can support the technical requirements of Batch Submission, FINRA does not provide technical support for any client software. Firms need to understand that it is their responsibility to be sufficiently proficient with their applications.
Both HTTPS (port 443) and SFTP (port 22) protocols are supported, FINRA recommends use of the SFTP option as it is a more robust standard protocol for machine to machine interfaces and less sensitive to network software changes. HTTPS is generally used for secure human interface.

The SFTP option requires FINRA to open a port on its firewall, tied to a specific source IP address on the customer’s side. This process requires a bit of paperwork and a lead time measured in weeks.

5. **EWS sFTP accounts for Advertising Batch Submissions**

Beyond the ability to connect and transmit via sFTP to FINRA (described above), you will also need sFTP credentials. These credentials are just for the sFTP server and are completely different from the normal FINRA EWS (Enterprise Web Security) credentials that are used for most web-based applications.

You will need a separate account for both the Test and Production environments.

   a. **FINRA Test Environment sFTP Accounts**

If your firm does not have an sFTP test account, please send an email to Advertising-Technology@finra.org requesting a test FTP account be set up for submitting Advertising Batch Submissions. An account will be provided.

   b. **FINRA Production sFTP Accounts**

If your firm does not already have an sFTP account, the "FINRA Entitlement Form FILE TRANSFER Applications FTP User" form can be obtained by calling the FINRA Gateway Call Center at (301) 869-6699.

Within Section 4 – Entitlement Privileges, please select the checkbox labeled, “ADV File Transfer” to add or remove entitlements for Advertising File Transfers.

Please note that this form must be signed by one of the following:

- FINRA Account Administrator
- Executive Representative
- Direct Owner
- Indirect Owner
- Executive Officer

Accounts on the production and test FTP servers are not synchronized, so even if you create an account with the same username on both servers, the passwords can be different, and changes to one will not cascade to the other.
Submission and review process: Test environment

The below instructions refer explicitly to FINRA’s Test Environment, which is a sandbox offered to firms who are developing automated interfaces to FINRA’s systems, and populates only QC databases on FINRA’s side (not actual production systems).

This test environment should be used by firms to test the batch submission process (with help from FINRA), before using the production system.

Submissions or other actions in the test environment will have no effect on actual filings by your firm within the production system.

The test environment is not covered by an SLA, and is therefore not guaranteed to be up at all times, particularly evenings and weekends.

The following environment-specific variables are to be used for the test environment:

- AREF Online Test environment is: http://firms1.qa.finra.org/firm-gateway
- FINRA Test Batch FTP Server is: //filetransfer.qa.finra.org

To submit the file

- Connect to the FINRA sFTP Severs via selected protocol (SFTP or HTTPS) – refer to appendix F for server.
- Authenticate in with a valid sFTP account and password
  - Note that the sFTP servers will lock out an account after 3 consecutive failed attempts to connect, so verify your username and password carefully if you experience an error.
- The diagram below illustrates FINRA’s batch submission folder structure. Note the two child folders: one is used to deposit files (“in”) and a different folder is used to retrieve FINRA submission reports (“out”). Change your directory to the adv/in folder.

- For file submissions: cd adv/in
- For report & communication retrievals: cd adv/out
• Each submission must be accompanied by its own meta-data file. This is being done due to the complexity of tracking more and larger files for multiple communications back to a single meta-data file and still being able to provide accurate timely responses to firms for submissions.

• When uploading files as part of an ADV submission, the meta-data file MUST be the LAST file uploaded. This file will act as an end of submission marker for FINRA letting us know that all files necessary for the submission have been successfully loaded to FINRA. As the meta-data file validation starts the process, we can be assured that all files identified within the meta-data reside within processing, thus eliminating the need to set aside submissions and wait for files that have not yet arrived at FINRA.

• As a matter of process we ask that no communication be resubmitted once the meta-data file has been transmitted until the Filing Report has been received by the firm. This insures that the second submission does not get rejected as a duplicate submission. This is required to insure we have proper time to reset the environment with regard to files previously

• Allow the transfer of the file to complete, then Logoff of the sFTP server. **Processing of your file[s] does not start until you log out of the system.**

**To retrieve the output report files**

Batch files will be processed Monday through Friday 0000 – 2300 Eastern Time every 10 minutes. However, due to the acceptance of larger file sizes, there could be some delays during peak transmission times. Once the file processing cycle has started, another cycle will not start until the current cycle finishes. With larger files come higher transfer rates between servers which may cause a few cycle times to exceed 10 minutes.

Files may be FTP’ed to FINRA on non-business days, but will not be processed until the next business day.

After the processing of your filing is complete, the requested filing report formats are placed back into your sFTP directory. The first file is a text formatted output report (See Appendix D) called RPT_xxxx.txt (where xxxxx is the complete filename you uploaded to FINRA). The second file is an XML formatted output report (See Appendix B) called RPT_xxxx.xml.

We changed the format of the file name of the Filing Report to provide you more information without having to open and parse the report itself. The new Filing Report will have a file name in the format:

```
<mdatafilename>_<UID1>_[FINRA Reference Number | REJETESTSTD],[TXT | XML]
```

(examples: <mdatafilename>_<UID1>_FX2014-0404-0148.TXT or <mdatafilename>_<UID3>_REJETESTD.XML)

We changed the XML schema for the Filing Report to simplify it and allow for better detail reporting of rejected submissions. Where possible we give as an extensive validation as the data submitted allows. The goal is to make completing the submission process as easy as possible. Samples of both the XML and TXT Filing Report formats are provide at the end of this document.

As a matter of general practice, the output file should be available in the “out” folder within one hour from the time the sFTP connection is closed, not when the upload is complete.

FINRA recommends that firms’ scripts include an explicit logout after all files have been uploaded: FINRA’s system processing (which produces the output files) will not begin until after the session is closed (whether explicitly or via a timeout).

Reminder: the output files are retrieved from the “out” folder, not the “in” folder where the files are dropped off.

• Get your output reports (Example: Get RPT_xxxx.xml or Get RPT_xxxx.1)
To review submitted filings

Following the submission, you can review the packets using the AREF online system (refer to the New System Navigation guide).

Batch Send option for receiving FINRA communications

This option is only available for filings submitted to FINRA via the Batch submission process. Please note that whether a firm uses this option or not, all communications will remain available through AREF.

The Batch Send of FINRA Communication letters is activated on a filing by filing basis via use of the optional 'BatchSendFl' tag. Firm participation of the Batch Send Process must be explicitly declared submitting a filing. If a firm does not supply the XML tag 'BatchSendFl' or supplies a value not = 'Y', then the FINRA communication letters associated with that filing will not be available to the firm via sFTP.

The communications will be delivered as PDF files. The Member firm can retrieve the PDF files and process them as is. As multiple communications can be sent referencing the same submission, FINRA recommends that firms’ scripts include an explicit removal of the file from the FTP “out” directory on the FINRA FTP server once the document has been retrieved.

The File Name will be the FINRA Reference number (RPT_F[R|X]YYYY-MMDD-NNNN) assigned to the filing at the time it is submitted, followed by a B and a 3-digit number representing the communication sequence number. For released filings, the seq. number will be followed by the 8-character Final Result code. The full file name will look like “RPT_FX2014-0404-0148_B002.PDF” or “RPT_FR2014-0404-0135_B003_OK.PDF”. Values that can appear here are the same values that currently appear in the AREF Cabinet (OK, REVISE, DONOTUSE, etc.).

Submission and review process: Production

```
The below instructions refer explicitly to FINRA’s production environment.

Submissions in the Production environment will be treated as actual filings by your firm.
```

FINRA’s test environment mirrors the production environment. So, once you have completed all test processes and are ready to use the production system, the instructions that precede this section remain the same, except for the following environment-specific variables:

- Production AREF Application environment is: [https://firms.finra.org](https://firms.finra.org)
- FINRA Batch sFTP Server is: [filetransfer.finra.org](filetransfer.finra.org)
Troubleshooting and Frequently Asked Questions

I can log into TEST but not production sFTP server (or vice versa)

Accounts on the production and TEST sFTP servers are not synchronized, so even if you create an account with the same username on both servers, the passwords can be different, and changes to one will not cascade to the other.

To change the TEST password the administrator (using his or her production account and password) must log on to the TEST web site.

“Invalid Submitter user id” (expired user accounts in TEST)

Two sets of credentials are needed to execute a batch submission:
- the sFTP account, which allows the file to be transferred, and
- the AREF Website user (FINRA EWS) account, the username of which is embedded in the XML and allows access to the Advertising systems. Prior to using an AREF Website user account within a batch submission, the user must first log in to AREF in Firm Gateway (https://firms.finra.org/) and fill out the Registration Information. The batch submission will fail if the account does not have the Registration Information and will display this error.

The second of those accounts (the EWS account) is subject to periodic deletion as part of an occasional refresh of the TEST databases.

If you should be testing in TEST and receive a Batch Submission report with an error message similar to the below message, it is likely that the EWS account, while still valid, has been deleted from the TEST environment:

```
REJECTED RECORDS

REL XTPNL PIECE REF TITLE REFERENCE # ERROR MESSAGE
--- -------- -------- ------- ------- ----------------- -------------
1 11 Invalid Submitter user id for Org ID xxxx OrgUserIn xxxx

This is your firm CRD number

This is your EWS username, used to authenticate against Advertising systems
```

To correct this, please ensure that you are using the correct account – the EWS account, and not the sFTP account.

Invalid XML errors

XML is a standard protocol for representing structured data. This standard allows and disallows various characters. Disallowed characters often have a substitute string that will be translated to that character. For just one example, the special character "&" (ampersand) causes a failure in XML. If you wish to use it literally, you must use "&amp;" for the ampersand character. Please consult the XML standard for more details.
Can a firm use both Batch and online AREF at the same time?

Yes, both batch and online AREF work together. A firm can submit some filings by batch and others online. Filings submitted by batch can be viewed online and online is used to submit subsequent communications if they are not included in the original submission.

Is there an additional cost to submitting filings by batch?

There is no additional cost for filing by batch. Filing charges are the same whether the filing is submitted by batch, by online AREF or by hard-copy.

Can Service Providers batch file on behalf of Member Firms?

Service providers are defined as organizations who are not FINRA Member Firms, but whom have been engaged by FINRA Members Firms to process work on behalf of those firms. The AREF System does not directly support Service Providers and FINRA does not maintain a relationship with Service Providers for purposes of AREF. However, individual Member Firms are free to engage Service Providers to perform work on their behalf.

If a FINRA Member Firm does engage a Service Provider, the Member Firm is responsible for providing all access, including user IDs and passwords, to that Service Provider as indicated in the several sections above. Additionally, the Member Firm remains responsible for all connections and filings the Service Provider makes on behalf of that Member.

If a Service Provider is engaged by more than one Member Firm, each Member Firm must provide the Service Provider with a separate account for each firm.

Getting help

To access important information about AREF, please visit [http://www.finra.org/Industry/Compliance/RegulatoryFilings/Advertising/index.htm](http://www.finra.org/Industry/Compliance/RegulatoryFilings/Advertising/index.htm).

For a video tutorial on how to access and use the AREF application, please visit [http://apps.finra.org/tutorials/aref_final.htm](http://apps.finra.org/tutorials/aref_final.htm).

For questions about the review process and any business requirements, please contact Advertising Regulation at (240) 386-4500.

For technical assistance, please contact the FINRA Call Center at (800) 321-6273, and specify that your issues are with the "Batch Submission feature for Advertising Regulation" and whether you are executing in our test or production environment. The call center will route your query to the Technology group that supports Batch Submission.
# Appendix A: Field Descriptions Table

<table>
<thead>
<tr>
<th>XML TAG</th>
<th>Required or Optional</th>
<th>Format</th>
<th>Description</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>CommunicationList</td>
<td>Required</td>
<td>N/A</td>
<td>XML File Header tag (Only 1 per file).</td>
<td></td>
</tr>
<tr>
<td>DefnVrsn</td>
<td>Required</td>
<td>String</td>
<td>Schema Definition Version - set to &quot;2&quot; for use with version 2 of schema</td>
<td>Required if using other than the original version of the XML schema; any value other than 2 will cause an XSD schema error. Once corrected, resubmit the entire filing.</td>
</tr>
<tr>
<td>FlngRpt</td>
<td>Required</td>
<td>String</td>
<td>Format of Filing Report you wish to receive</td>
<td>Use this field to identify the format you desire for the Filing Report. The options are XML, TXT (text), or BTH (continue to receive BOTH formats).</td>
</tr>
<tr>
<td>Communication</td>
<td>Required</td>
<td>N/A</td>
<td>XML Submission tag (1 per filing submitted for review).</td>
<td></td>
</tr>
<tr>
<td>CommId</td>
<td>Required</td>
<td>String</td>
<td>Unique ID for each firm submission</td>
<td>ALL filenames used for this submission MUST use this value as the prefix in the actual file name: &lt;CommId&gt;-&lt;filename&gt;</td>
</tr>
<tr>
<td>SubmitterEWSLogin</td>
<td>Required</td>
<td>String</td>
<td>EWS login of the person submitting the communication on behalf of the firm.</td>
<td>See firm EWS administrator for Login ID.</td>
</tr>
<tr>
<td>ReviewType</td>
<td>Required</td>
<td>String</td>
<td>Expedited or Regular review</td>
<td></td>
</tr>
<tr>
<td>BatchSendFl</td>
<td>Required</td>
<td>String</td>
<td>The Batch Send of FINRA Communication letters is activated on a filing by filing basis. Firm participation of the Batch Send Process is explicitly declared with every batch submitted filing. If a firm does not supply the XML tag 'BatchSendFl' or supplies a value not = Y, then the FINRA communication letters will not be FTP’ed to the firm.</td>
<td>The File Name will be FRYYYY-MMDD-XXXX_B_NNN_RRRRRRRR.pdf. YYYY-MMDD-XXXX represents the reference number as in WEBADV system, NNN represents the communication sequence number (uniquely identifies each communication within a filing), and RRRRRRRR will be the Final Result for all Released Filings.</td>
</tr>
<tr>
<td>RecipientEWSLogin</td>
<td>Required</td>
<td>String</td>
<td>EWS login of the person to whom the comment letter should be addressed.</td>
<td>See firm EWS administrator for Login ID.</td>
</tr>
<tr>
<td>FileNm2Rvw</td>
<td>Required</td>
<td>String</td>
<td>Full File Name of the document to review.</td>
<td>This name must match the file uploaded along with the metadata (and must be unique within your FTP IN directory). Actual file uploaded is limited to 500 MB in size.</td>
</tr>
<tr>
<td>Title</td>
<td>Required</td>
<td>String</td>
<td>Title of the communication.</td>
<td></td>
</tr>
<tr>
<td>BillingUnit</td>
<td>Required</td>
<td>String</td>
<td>Billing Unit for the communication FileNm2Rvw: &quot;PAGES&quot; for text type files, &quot;MINUTES&quot; for Audio Video files, &quot;WEBPAGES&quot; for website content.</td>
<td></td>
</tr>
<tr>
<td>NoBUs</td>
<td>Required</td>
<td>UnsignedShort</td>
<td>Number of Billing Units within the Piece Document submitted</td>
<td></td>
</tr>
<tr>
<td>XML TAG</td>
<td>Required or Optional</td>
<td>Format</td>
<td>Description</td>
<td>Comments</td>
</tr>
<tr>
<td>------------------</td>
<td>----------------------</td>
<td>----------------------</td>
<td>-------------------------------------------------------------------------------------------------------</td>
<td>----------</td>
</tr>
<tr>
<td>Preceded</td>
<td>Required</td>
<td>String 1 character</td>
<td>Preceded or accompanied by prospectus?</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Valid values: Y or N</td>
<td></td>
</tr>
<tr>
<td>DateOfFirstUse</td>
<td>Required</td>
<td>mm/dd/yyyy</td>
<td>Date the communication will be used.</td>
<td></td>
</tr>
<tr>
<td>PrincipalTitle</td>
<td>Required</td>
<td>String up to 50 chars.</td>
<td>Title of the registered principal who approved the communication.</td>
<td></td>
</tr>
<tr>
<td>PrincipalID</td>
<td>Required</td>
<td>String up to 12 chars.</td>
<td>The CRD number of the Registered Principal who approved the communication.</td>
<td></td>
</tr>
<tr>
<td>DateOfApproval</td>
<td>Required</td>
<td>mm/dd/yyyy</td>
<td>Date the registered principal approved the communication.</td>
<td></td>
</tr>
<tr>
<td>FirmExternalRef</td>
<td>Optional</td>
<td>String up to 50 chars.</td>
<td>Firm’s internal tracking number.</td>
<td></td>
</tr>
<tr>
<td>RelatedFINRARRef</td>
<td>Optional</td>
<td>String 16 chars.</td>
<td>Related FINRA Reference Number of a previous filing which may be related.</td>
<td>Do not include the “/B”, “/H”, “/E” suffixes.</td>
</tr>
<tr>
<td>CommunicationUses</td>
<td>Optional</td>
<td>String up to 31,500 chars.</td>
<td>Explain how the communication is to be used.</td>
<td>Expanded Q3 2013</td>
</tr>
<tr>
<td>DeliveryMethod</td>
<td>Required</td>
<td>String up to 8 chars.</td>
<td>Delivery method is determined by the format in which the material is being used or the medium through which it is being distributed.</td>
<td>Valid values shown are current as of the release of this document; please check the New Communication Form for the most up-to-date list. Only one delivery method may be specified per piece. If a piece is to be delivered via multiple methods, that piece must be submitted to FINRA separately for each delivery method.</td>
</tr>
<tr>
<td>XML TAG</td>
<td>Required or Optional</td>
<td>Format</td>
<td>Description</td>
<td>Comments</td>
</tr>
<tr>
<td>------------</td>
<td>----------------------</td>
<td>-----------------</td>
<td>-----------------------------------------------------------------------------</td>
<td>------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>RuleDefn</td>
<td>Required</td>
<td>String up to 8 chars.</td>
<td>Indicate one Rule Definition applicable to each communication.</td>
<td>Valid values: RETAIL: Retail communications INSTCOMM: Institutional communications CORRESP: Correspondence</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Valid values shown are current as of the release of this document; please check the New Communication Form for the most up-to-date list.</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>See Regulatory Notice 12-29 for information regarding the new Rule Definition values in place February 4, 2013.</td>
</tr>
<tr>
<td>TmpltUpdt</td>
<td>Optional</td>
<td>String 1 character</td>
<td>Pertains to question: Update to previously reviewed template? A value of “Y” is only allowed for filings with the tag &lt;RuleDefn&gt; having a value of RETAIL.</td>
<td>New as of 1/9/17</td>
</tr>
<tr>
<td>GnrNvsmt</td>
<td>Optional</td>
<td>String 1 character</td>
<td>Pertains to question: Generic Investment Company Communication? A value of “Y” is only allowed for filings with the tag &lt;RuleDefn&gt; having a value of RETAIL, and all &lt;DeliveryMethod&gt; tags having a value of CLOSED, ETF, MUTUALS, UIT, VA, VLI.</td>
<td>New as of 1/9/17</td>
</tr>
<tr>
<td>SmAnnlRpt</td>
<td>Optional</td>
<td>String 1 character</td>
<td>Pertains to question: Semi-annual or annual report? A value of “Y” is only allowed for filings with the tag &lt;RuleDefn&gt; having a value of RETAIL, and the tag &lt;DeliveryMethod&gt; having a value of PERFREPT.</td>
<td>New as of 1/9/17</td>
</tr>
<tr>
<td>XML TAG</td>
<td>Required or Optional</td>
<td>Format</td>
<td>Description</td>
<td>Comments</td>
</tr>
<tr>
<td>------------</td>
<td>----------------------</td>
<td>---------------</td>
<td>-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
<td>----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Product</td>
<td>Required</td>
<td>String up to 8 chars.</td>
<td>Product enables firms to select the main type(s) of product(s) being solicited or promoted in the material submitted for review. Valid values: 529PLANS: 529 Education Funding Plans, BDC: Business Development Company, BONDS: Corporate Bonds, CDS: Certificates of Deposit, CLOSED: Closed-End Mutual Fund, CMO: Collateralized Mortgage Obligation, DAYTRADE: Day Trading, DISCOUNT: Discount Brokerage, DPP: Direct Participation Program, ETF: Exchange Traded Fund, FIXEDINS: Fixed Insurance, GENERAL: General Business, GOVT: Government Securities, HEDGEFUN: Hedge Funds, MUNI: Municipal Securities, MUTUALS: Open-End Mutual Fund, NOTES: Note Offerings, OPTIONS: Options, OTHER: Other, PRIVPLMT: Private Placements, REITS: Real Estate Investment Trusts, SFUTURES: Security Futures, STOCKS: Stocks, STRUCPRD: Structured Products, UIT: Unit Investment Trust, VA: Variable Annuity, VLI: Variable Life Insurance</td>
<td>Multiple Product Types can be used to each communication (at least one is required). Valid values shown are current as of the release of this document; please check the New Communication Form for the most up-to-date list.</td>
</tr>
<tr>
<td>RegisteredRep</td>
<td>Optional</td>
<td>String up to 12 chars.</td>
<td>Indicate the CRD IDs of the registered representatives for this communication. May occur 0 to a Maximum 5 times.</td>
<td></td>
</tr>
<tr>
<td>WtgReviewlttr</td>
<td>Required</td>
<td>String 1 character</td>
<td>Indicate whether they are waiting for Review letter for the submitting communication. Valid values: Y or N</td>
<td></td>
</tr>
<tr>
<td>IncludesPerfRanking</td>
<td>Optional</td>
<td>String 1 character</td>
<td>Indicate whether Performance Ranking is submitted with this communication. Valid values: Y or N</td>
<td>Based on the rule change, the value associated with this tag has no meaning and will be ignored. For now the tag is being changed from Required to Optional to insure that no filings get rejected because of the appearance of this tag.</td>
</tr>
<tr>
<td>Addtnlinfo</td>
<td>Optional</td>
<td>N/A</td>
<td>Group tag for each Additional Information File being submitted. May occur any number of times.</td>
<td></td>
</tr>
<tr>
<td>AlFileNm</td>
<td>Optional</td>
<td>String</td>
<td>File name of the file containing additional information. This name must match the file uploaded along with the metadata (and must be unique within your FTP IN directory). Actual file uploaded is limited to 500 MB in size. Required for each &lt;Addtnlinfo&gt; file submitted.</td>
<td></td>
</tr>
<tr>
<td>XML TAG</td>
<td>Required or Optional</td>
<td>Format</td>
<td>Description</td>
<td>Comments</td>
</tr>
<tr>
<td>------------</td>
<td>----------------------</td>
<td>---------------</td>
<td>-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
<td>--------------------------------------------------------------------------</td>
</tr>
<tr>
<td>NotesTx</td>
<td>Optional</td>
<td>String up to 4,000 chars.</td>
<td>This string is a place for additional notes to the analyst about the file being attached.</td>
<td>Optional notes for each &lt;Addtnlinfo&gt; file submitted. Examples of text that could be entered in this fields include the following: - “This document replaces document submitted on 5/12/2008. Original document did not print to pdf correctly.” - “This piece was revised after it was originally submitted.”</td>
</tr>
</tbody>
</table>
Appendix B: Sample .MDATA File

This is an example of a valid .mdata file

```xml
<?xml version="1.0" encoding="UTF-8"?>
<!--Sample XML file generated by XMLSpy v2015 rel. 3 sp1 (x64) (http://www.altova.com)-->
<xsi:noNamespaceSchemaLocation="ADV%20Batch%20Schema%20V2.xsd">
  <CommunicationList xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance">
    <DefnVrsn>2</DefnVrsn>
    <FlngRpt>XML</FlngRpt>
    <Communication>
      <CommId>CID201600001</CommId>
      <SubmitterEWSLogin>SAMPLE1</SubmitterEWSLogin>
      <ReviewType>REGULAR</ReviewType>
      <BatchSendFl>Y</BatchSendFl>
      <RecipientEWSLogin>SAMPLE1</RecipientEWSLogin>
      <FileNm2Rvw>CID201600001-MYCOMMUNICATION.MOV</FileNm2Rvw>
      <Title>Sample Title</Title>
      <BillingUnit>MINUTES</BillingUnit>
      <NoBUs>2</NoBUs>
      <DateOfFirstUse>09/12/2016</DateOfFirstUse>
      <PrincipalTitle>Chief Compliance Officer</PrincipalTitle>
      <PrincipalID>999999</PrincipalID>
      <DateOfApproval>09/01/2016</DateOfApproval>
      <RelatedFINRARef>
        <50characterFirmExternalRefNumber>FirmExternalRef</50characterFirmExternalRefNumber>
      </RelatedFINRARef>
      <CommunicationUses>
        <ExplanationsOfPurposeOfCommunication>Explanation of Purpose of Communication</ExplanationsOfPurposeOfCommunication>
      </CommunicationUses>
      <DeliveryMethod>TV</DeliveryMethod>
      <RuleDefn>RETAIL</RuleDefn>
      <TmpltUpdt>Y</TmpltUpdt>
      <GnrcNvsnt>Y</GnrcNvsnt>
      <SmAnn1Rpt>Y</SmAnn1Rpt>
      <Product>529PLANS</Product>
      <Product>GENERAL</Product>
      <RegisteredRep>9999991</RegisteredRep>
      <RegisteredRep>9999992</RegisteredRep>
      <RegisteredRep>9999993</RegisteredRep>
      <WtgReview1ltr>N</WtgReview1ltr>
      <IncludesPerfRanking>N</IncludesPerfRanking>
      <AddtnlInfo>
        <AIFileNm>CID201600001-TRANSCRIPT.PDF</AIFileNm>
        <CommPurpsCd>SUPRTDOC</CommPurpsCd>
        <NotesTx>Transcript of commercial.</NotesTx>
      </AddtnlInfo>
      <AddtnlInfo>
        <AIFileNm>CID201600001-CoverLtr.docx</AIFileNm>
        <CommPurpsCd>COVERLTR</CommPurpsCd>
        <NotesTx>Cover Letter.</NotesTx>
      </AddtnlInfo>
    </Communication>
  </CommunicationList>
```
Appendix C: XML Schema Definition (XSD) for the .MDATA file

Note that this is an XSD, and not a sample XML document of the type that would be uploaded. FINRA recommends that all filers validate their .MDATA files to be submitted against this XSD BEFORE submitting. This will help eliminate a large number of errors causing files to be rejected.

```xml
<?xml version="1.0" encoding="utf-8"?>
<xs:schema xmlns:xs="http://www.w3.org/2001/XMLSchema" elementFormDefault="qualified">
  <xs:element name="CommunicationList">
    <xs:complexType>
      <xs:sequence>
        <xs:element name="DefnVrsn" type="xs:string" fixed="2">
          <xs:annotation>
            <xs:documentation>Schema Definition Version - set to "2" to identify this schema, no value required by submitter</xs:documentation>
          </xs:annotation>
        </xs:element>
        <xs:element name="FlngRpt">
          <xs:annotation>
            <xs:documentation>Report Type - valid values ("BTH","XML","TXT")</xs:documentation>
          </xs:annotation>
        </xs:element>
        <xs:element name="fileNm" type="xs:string">
          <xs:annotation>
            <xs:documentation>Unique ID for each file</xs:documentation>
          </xs:annotation>
        </xs:element>
        <xs:element name="YNflag" type="xs:string">
          <xs:annotation>
            <xs:documentation>Valid values are "Y","N","y","n" for this XSD</xs:documentation>
          </xs:annotation>
        </xs:element>
        <xs:element name="dateVal" type="xs:string">
          <xs:annotation>
            <xs:documentation>Local date for this communication</xs:documentation>
          </xs:annotation>
        </xs:element>
        <xs:element name="CommId" nillable="false">
          <xs:annotation>
            <xs:documentation>Unique ID for each communication</xs:documentation>
          </xs:annotation>
        </xs:element>
      </xs:sequence>
    </xs:complexType>
  </xs:element>
</xs:schema>
```
APPENDIX C: XML SCHEMA DEFINITION (XSD) FOR THE .MDATA FILE

<x:simpleType>
  <x:restriction base="xs:string">
    <x:enumeration value="EXPEDITED"/>
    <x:enumeration value="REGULAR"/>
  </x:restriction>
</x:simpleType>

<x:simpleType>
  <x:union>
    <x:simpleType base="xs:string">
      <x:restriction base="xs:string">
        <x:enumeration value=""/>
        <x:enumeration value="YES"/>
        <x:enumeration value="NO"/>
      </x:restriction>
    </x:simpleType>
    <x:simpleType base="xs:string">
      <x:restriction base="xs:string">
        <x:enumeration value=""/>
        <x:enumeration value="WEBPAGES"/>
        <x:enumeration value="PAGES"/>
        <x:enumeration value="MINUTES"/>
        <x:enumeration value="WEBPAGES"/>
      </x:restriction>
    </x:simpleType>
  </x:union>
</x:simpleType>
<xs:simpleType>
  <xs:restriction base="xs:string">
    <xs:pattern value="[Pp][Aa][Gg][Ee][Ss]"/>
    <xs:pattern value="[Pp][Aa][Gg][Ee][Ss]"/>
    <xs:pattern value="[Pp][Aa][Gg][Ee][Ss]"/>
  </xs:restriction>
</xs:simpleType>
</xs:element>
</xs:union>
</xs:simpleType>
</xs:element>
<xs:element name="NoBUs" nillable="false">
  <xs:documentation>Number of Billing Units within the Piece Document submitted</xs:documentation>
  <xs:annotation>
    <xs:restriction base="xs:string">
      <xs:minlength value="1"/>
      <xs:maxlength value="4"/>
      <xs:pattern value="[0-9]*"/>
    </xs:restriction>
  </xs:annotation>
</xs:element>
<xs:element name="Preceded" type="YNflag" nillable="false">
  <xs:documentation>Preceded or accompanied by prospectus - valid value ("Y", "N")</xs:documentation>
  <xs:annotation>
    <xs:restriction base="xs:string">
      <xs:minlength value="1"/>
      <xs:maxlength value="1"/>
      <xs:pattern value="[YyNn]"/>
    </xs:restriction>
  </xs:annotation>
</xs:element>
<xs:element name="DateOfFirstUse" type="dateVal" nillable="false">
  <xs:annotation>
    <xs:documentation>Date of First Uses in MM/DD/YYYY format</xs:documentation>
  </xs:annotation>
</xs:element>
<xs:element name="PrincipalTitle" nillable="false">
  <xs:annotation>
    <xs:documentation>Job Title of Registered Principal</xs:documentation>
  </xs:annotation>
  <xs:restriction base="xs:string">
    <xs:minlength value="50"/>
  </xs:restriction>
</xs:element>
<xs:element name="PrincipalID" nillable="false">
  <xs:annotation>
    <xs:documentation>CID ID of Registered Principal</xs:documentation>
  </xs:annotation>
  <xs:restriction base="xs:string">
    <xs:minlength value="4"/>
    <xs:maxlength value="12"/>
    <xs:pattern value="[0-9]*"/>
  </xs:restriction>
</xs:element>
<xs:element name="DateOfApproval" type="dateVal" nillable="false">
  <xs:annotation>
    <xs:documentation>Approval Date in "MM/DD/YYYY" format</xs:documentation>
  </xs:annotation>
</xs:element>
<xs:element name="FirmExternalRef" nillable="true">
  <xs:annotation>
    <xs:documentation>Firm External Reference Number</xs:documentation>
  </xs:annotation>
  <xs:restriction base="xs:string">
    <xs:minlength value="50"/>
  </xs:restriction>
</xs:element>
<xs:element name="RelatedFINRARef" nillable="true">
  <xs:annotation>
    <xs:documentation>Related FINRA Reference number</xs:documentation>
  </xs:annotation>
  <xs:restriction base="xs:string">
  </xs:restriction>
</xs:element>
APPENDIX C: XML SCHEMA DEFINITION (XSD) FOR THE .MDATA FILE

```
xs:pattern value="(f/f)(r|r|x|x)28\d(2)-(0[1-9]|1[012])(0[1-9]|12)[0-9]3[01]-\d(4)"/>
xs:pattern value=""/>
</xs:restriction>
</xs:simpleType>
</xs:element>
<xs:element name="CommunicationUses" nillable="true">
  <xs:annotation>
    <xs:documentation>
      Explanation how to use communications
    </xs:documentation>
  </xs:annotation>
  <xs:simpleType>
    <xs:restriction base="xs:string">
      <xs:minLength value="1"/>
      <xs:maxLength value="8"/>
      <xs:pattern value="[A-Za-z0-9]+"/>
    </xs:restriction>
  </xs:simpleType>
</xs:element>
<xs:element name="DeliveryMethod" nillable="false">
  <xs:annotation>
    <xs:documentation>Delivery Method</xs:documentation>
  </xs:annotation>
  <xs:simpleType>
    <xs:restriction base="xs:string">
      <xs:minLength value="1"/>
      <xs:maxLength value="8"/>
      <xs:pattern value="[A-Za-z0-9]+"/>
    </xs:restriction>
  </xs:simpleType>
</xs:element>
<xs:element name="RuleDefn" nillable="false">
  <xs:annotation>
    <xs:documentation>Rule Definition</xs:documentation>
  </xs:annotation>
  <xs:simpleType>
    <xs:restriction base="xs:string">
      <xs:minLength value="1"/>
      <xs:maxLength value="8"/>
      <xs:pattern value="[A-Za-z0-9]+"/>
    </xs:restriction>
  </xs:simpleType>
</xs:element>
<xs:element name="TmpltUpdt" type="YNflag" nillable="false" minOccurs="0" maxOccurs="1">
  <xs:annotation>
    <xs:documentation>Update to previously reviewed template? - Defaults to "N"
    </xs:documentation>
  </xs:annotation>
</xs:element>
<xs:element name="GnrcNvsmt" type="YNflag" nillable="false" minOccurs="0" maxOccurs="1">
  <xs:annotation>
    <xs:documentation>Generic Investment Company Communication? - Defaults to "N"
    </xs:documentation>
  </xs:annotation>
</xs:element>
<xs:element name="SmAnnlRpt" type="YNflag" nillable="false" minOccurs="0" maxOccurs="1">
  <xs:annotation>
    <xs:documentation>Semi-annual or annual report? - Defaults to "N"
    </xs:documentation>
  </xs:annotation>
</xs:element>
<xs:element name="Product" nillable="false" minOccurs="1" maxOccurs="unbounded">
  <xs:annotation>
    <xs:documentation>Enter each Product Code that applies to the communication (1 is required)
    </xs:documentation>
  </xs:annotation>
  <xs:simpleType>
    <xs:restriction base="xs:string">
      <xs:minLength value="1"/>
      <xs:maxLength value="8"/>
      <xs:pattern value="[A-Za-z0-9]+"/>
    </xs:restriction>
  </xs:simpleType>
</xs:element>
<xs:element name="RegisteredRep" nillable="true" minOccurs="0" maxOccurs="5">
  <xs:annotation>
    <xs:documentation>Registered Rep. IDs associated to the communication
    </xs:documentation>
  </xs:annotation>
  <xs:simpleType>
    <xs:restriction base="xs:string">
      <xs:minLength value="12"/>
      <xs:maxLength value="12"/>
    </xs:restriction>
  </xs:simpleType>
</xs:element>
```
<xs:element name="WtgReviewlttr" type="YNflag" nillable="false">
  <xs:annotation>
    <xs:documentation>
      Waiting Review Letter for the submitted communication - valid value ("Y", "N")
    </xs:documentation>
  </xs:annotation>
</xs:element>

<xs:element name="IncludesPerRanking" type="xs:string" nillable="true" minOccurs="0" maxOccurs="1">
  <xs:annotation>
    <xs:documentation>
      Element has been deprecated, values no longer processed.
    </xs:documentation>
  </xs:annotation>
</xs:element>

<xs:element name="AddtnlInfo" minOccurs="0" maxOccurs="unbounded">
  <xs:complexType>
    <xs:sequence>
      <xs:element name="AIFileNm" type="fileNm" nillable="false">
        <xs:annotation>
          <xs:documentation>
            Full name of a file containing additional information
          </xs:documentation>
        </xs:annotation>
      </xs:element>
      <xs:element name="CommPurpsCd" nillable="false">
        <xs:annotation>
          <xs:documentation>
            Communication Purpose Code for the information attached
          </xs:documentation>
        </xs:annotation>
        <xs:simpleType>
          <xs:restriction base="xs:string">
            <xs:minLength value="4"/>
            <xs:maxLength value="8"/>
            <xs:pattern value="[A-Za-z0-9]+"/>
          </xs:restriction>
        </xs:simpleType>
      </xs:element>
      <xs:element name="NotesTx" nillable="true" minOccurs="0" maxOccurs="1">
        <xs:annotation>
          <xs:documentation>
            Any text to explain or put in context the information attached
          </xs:documentation>
        </xs:annotation>
        <xs:simpleType>
          <xs:restriction base="xs:string">
            <xs:maxLength value="4000"/>
          </xs:restriction>
        </xs:simpleType>
      </xs:element>
      <xs:element>
        </xs:sequence>
    </xs:complexType>
  </xs:element>
</xs:sequence>
</xs:complexType>
</xs:element>
</xs:sequence>
</xs:complexType>
</xs:element>
</xs:schema>
Appendix D: Filing Reports

Accepted Filing Examples

Text Version of the Report

ADVERTISING BATCH SUBMISSION – FILING REPORT

FIRM ID: 123456
FIRM NAME: FINRA TEST FIRM NAME
FINRA JOB ID: 35761
FIRM FILE NAME: filename.mdata
FIRM UNIQUE COMMUNICATION ID: As provided in mdata file tag <CommId>
FIRM EXTERNAL REFERENCE: As provided in mdata file tag <FirmExternalRef>
COMMUNICATION TITLE: As provided in mdata file tag <Title>
RECEIVED AT: 4/6/2016 4:42:00 PM
COMPLETED AT: 4/6/2016 4:47:59 PM
COMMUNICATION STATUS: ACCEPTED
FINRA REFERENCE NUMBER: FR2016-0406-0001/B
ESTIMATED FILING FEE: $1,250

XML Version of the Report

<?xml version="1.0" encoding="UTF-8"?>
<ADVBatchUploadReport xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance">
  <ReportTitle>ADVERTISING BATCH SUBMISSION – FILING REPORT</ReportTitle>
  <FirmID>123456</FirmID>
  <FirmName>FINRA TEST FIRM NAME</FirmName>
  <FINRAJobID>35761</FINRAJobID>
  <FirmFileName>filename.mdata</FirmFileName>
  <CommId>As provided in mdata file</CommId>
  <CommTitle>As provided in mdata file</CommTitle>
  <RcvdAt>4/6/2016 4:42:00 PM</RcvdAt>
  <CompletedAt>4/6/2016 4:47:59 PM</CompletedAt>
  <CommStatus>ACCEPTED</CommStatus>
  <FINRARefNum>FR2016-0406-0001/B</FINRARefNum>
  <EstimatedFee>$1,250</EstimatedFee>
</ADVBatchUploadReport>
Rejected Filing Examples

Text Version of the Report

ADVERTISING BATCH SUBMISSION - FILING REPORT

FIRM ID: 456789
FIRM NAME: FINRA TEST FIRM NAME 2
FINRA JOB ID: 35790
FIRM FILE NAME: filename2.mdata
FIRM UNIQUE COMMUNICATION ID: As provided in mdata file tag <CommId>
FIRM EXTERNAL REFERENCE: As provided in mdata file tag <FirmExternalRef>
COMMUNICATION TITLE: As provided in mdata file tag <Title>
RECEIVED AT: 4/6/2016 4:51:00 PM
COMPLETED AT: 4/6/2016 4:58:59 PM
COMMUNICATION STATUS: REJECTED
ERROR MESSAGES:
   Error Message 1
   Error Message 2
   Error Message 3

XML Version of the Report

<?xml version="1.0" encoding="UTF-8"?>
<ADVBatchUploadReport xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance">
   <ReportTitle>ADVERTISING BATCH SUBMISSION - FILING REPORT</ReportTitle>
   <FirmID>456789</FirmID>
   <FirmName>FINRA TEST FIRM NAME 2</FirmName>
   <FINRAJobID>35790</FINRAJobID>
   <FirmFileName>filename2.mdata</FirmFileName>
   <CommId>As provided in mdata file</CommId>
   <CommTitle>As provided in mdata file</CommTitle>
   <RcvdAt>4/6/2016 4:51:00 PM</RcvdAt>
   <CompletedAt>4/6/2016 4:58:59 PM</CompletedAt>
   <CommStatus>REJECTED</CommStatus>
   <ErrorMsg>Error Message 1</ErrorMsg>
   <ErrorMsg>Error Message 2</ErrorMsg>
   <ErrorMsg>Error Message 3</ErrorMsg>
</ADVBatchUploadReport>

NOTE: In the case of receiving a submission that fails XSD validation, the <CommId>, <ExternalRef> and the <CommTitle> will be empty as we cannot reliably parse the .mdata file, and the <CommStatus> value will be ‘XSD REJEATESTD’.
Appendix E: XSD for the Filing Report

```xml
<?xml version="1.0" encoding="UTF-8"?>
<xs:schema xmlns:xs="http://www.w3.org/2001/XMLSchema" elementFormDefault="qualified" id="AREFReport">
  <xs:element name="ADVBatchUploadReport">
    <xs:complexType>
      <xs:sequence>
        <xs:element name="ReportTitle" type="xs:string"/>
        <xs:element name="FirmID" type="xs:string"/>
        <xs:element name="FirmName" type="xs:string"/>
        <xs:element name="FINRAJobID" type="xs:string"/>
        <xs:element name="FirmFileName" type="xs:string"/>
        <xs:element name="CommId" type="xs:string" nillable="true" minOccurs="0" maxOccurs="1"/>
        <xs:element name="ExternalRef" type="xs:string" nillable="true" minOccurs="0" maxOccurs="1"/>
        <xs:element name="CommTitle" type="xs:string" nillable="true" minOccurs="0" maxOccurs="1"/>
        <xs:element name="RcvdAt" type="xs:string"/>
        <xs:element name="CompletedAt" type="xs:string"/>
        <xs:element name="CommStatus" type="xs:string"/>
        <xs:element name="FINRARefNum" type="xs:string" minOccurs="0" maxOccurs="1"/>
        <xs:element name="EstimatedFee" type="xs:string" minOccurs="0" maxOccurs="1"/>
        <xs:element name="ErrorMsg" type="xs:string" minOccurs="0" maxOccurs="unbounded"/>
      </xs:sequence>
    </xs:complexType>
  </xs:element>
</xs:schema>
```
## Appendix F: Advertising Environment Summary

### Customer Test Environment (CTE) (a mirror of production, BUT WITH A DIFFERENT DATABASE OF CREDENTIALS)

<table>
<thead>
<tr>
<th>Task</th>
<th>CTE</th>
<th>Production</th>
</tr>
</thead>
<tbody>
<tr>
<td>To get FTP credentials (<em>ADV Fic Transfer</em> entitlement)</td>
<td>e-mail your request to <a href="mailto:dl-fesupport@finra.org">dl-fesupport@finra.org</a></td>
<td>Read the page <a href="http://www.finra.org/industry/Compliance/Entitlement/P121158">http://www.finra.org/industry/Compliance/Entitlement/P121158</a> and follow instructions under “Entitlement Information for File Transfer Applications FTP Users”</td>
</tr>
<tr>
<td>To validate your FTP Credentials</td>
<td><a href="https://filetransfer.qe.finra.org">https://filetransfer.qe.finra.org</a></td>
<td><a href="https://filetransfer.finra.org">https://filetransfer.finra.org</a></td>
</tr>
<tr>
<td>To connect via FTP</td>
<td></td>
<td></td>
</tr>
<tr>
<td>To change your FTP password</td>
<td><a href="https://accountmgmt.qc1.finra.org/myewe/changepassword.jsp">https://accountmgmt.qc1.finra.org/myewe/changepassword.jsp</a></td>
<td><a href="https://accountmgmt.finra.org/myewe/changepassword.jsp">https://accountmgmt.finra.org/myewe/changepassword.jsp</a></td>
</tr>
<tr>
<td>To get EWS (website) credentials</td>
<td>The same credentials are used for both CTE and Production. Contact your firm’s EWS SMA (Super Account Administrator) and request that he or she grant access for the “Reg – Advertising Regulation” entitlement.</td>
<td></td>
</tr>
<tr>
<td>To validate your EWS (website) credentials, test them using this URL.</td>
<td><a href="https://regfilingtest.finra.org">Click HERE</a> and then click New Communication tab. If the Registration Information page appears, fill it out and save; otherwise the account is valid.</td>
<td><a href="https://regfiling.finra.org">Click HERE</a> and then click New Communication tab. If the Registration Information page appears, fill it out and save; otherwise the account is valid.</td>
</tr>
</tbody>
</table>

### SFTP server IP address

- **CTE**: 108.202.241.37
- **Production**: 75.98.61.45