

New Funding Portal Organization Super Account Administrator (SAA) & FINRA Entitlement Agreement (FEA)

PLEASE NOTE: The SAA and the person signing this form may not be the same person, except as outlined in Section 3 instructions.

This form is used by a new Funding Portal requesting access to FINRA systems and FPRD. **Note:** To modify/replace an SAA, please contact FINRA to request an Update/Replace Funding Portal Organization SAA Form.

The SAA must be formally delegated the authority by the organization submitting this SAA/FEA to perform the SAA responsibilities on its behalf. Once FINRA processes the New Organization SAA Form and creates the SAA account, a confirmation email will be sent to the Authorized Signatory who signed the form and to the SAA. The new SAA will receive two emails: one with his/her user ID and one with the temporary password. For more information regarding SAA responsibilities and training, please review the Super Account Administrator Quick Reference Guide available from www.finra.org/entitlement.

An asterisk (*) indicates a required field. All required fields must be completed in order for the form to be processed.

Section 1 – Organization Information

SEC File Number: 007-

Organization Legal Name:*

Address:*

City:*

State:*

Country:*

Zip/Postal Code:*

Phone Number:*

Phone Number 2:

Email:*

Fax Number:

Section 2 – SAA Designation

First Name:*

MI:

Last Name:*

Suffix:

Email:*

Phone Number:*

Section 3 – Agreement and Signature

A person authorized to sign this form (i.e., Authorized Signatory) must sign the form. **The SAA and the person signing this form may not be the same person, except as outlined below.**

An Authorized Signatory is the Chief Compliance Officer (CCO), Chief Executive Officer (CEO), Chief Financial Officer (CFO), Chief Legal Officer (CLO), Chief Operations Officer (COO) or a Director or any other individual with similar status or function, **and** the signer and the designated SAA are not the same person.

If you are authorized to execute this Agreement on behalf of the Organization, but do not meet the Authorized Signatory requirements above, complete the Special Circumstances section. You **must** complete the **Special Circumstances** section if (a) the SAA is the sole proprietor of the Organization, (b) the SAA is the only person that can be considered an Authorized Signatory, or (c) you are authorized to execute this Agreement on behalf of the Organization, but do not meet the Authorized Signatory requirements above.

FINRA Entitlement Agreement

I, _____ *(name), _____ *(title) hereby acknowledge and agree that I am an individual legally authorized to act for and on behalf of the organization identified in Section 1 of this Agreement (“Organization”) and that I am authorized to execute this agreement on behalf of that Organization.

I acknowledge and agree that my Organization designated the individual identified in Section 2 to act as a Super

Account Administrator (“SAA”) for the purposes of accessing certain systems owned or operated by FINRA. I further acknowledge and agree that the designated SAA, on behalf of the Organization, will ensure only authorized employees of the Organization are granted entitlement to view the data within those systems. In the event the SAA terminates employment or otherwise has its authority rescinded by the Organization, a replacement SAA will be promptly appointed. I further acknowledge and agree that the systems that I or my Organization may access may contain personal and/or confidential information pertaining to my Organization or my Organization’s employees that must be safeguarded from inadvertent loss or theft. I agree that my Organization will take affirmative steps to ensure the security of such information by actively managing entitlements, encrypting electronic copies of such information, locking up or otherwise securing physical copies of such information and generally ensuring compliance with appropriate state or federal laws pertaining to information security.

I acknowledge and agree that my Organization and the designated SAA for my Organization are solely responsible for obtaining, distributing, revoking and monitoring Account Administrator (AA) and User entitlements granted by my Organization. I further acknowledge and agree that my Organization assumes full responsibility for such entitlements and actions.

All applications, materials and services for which entitlements are hereby granted are governed by the FINRA Entitlement Program Terms of Use and can be found at www.finra.org/entitlement/termsofuse. I hereby acknowledge that I have read and agree to bind my Organization and employees to the FINRA Entitlement Program Terms of Use without exception, alteration or addition thereto. FINRA may revise the FINRA Entitlement Program Terms of Use from time to time in its sole discretion. I assume the obligation and responsibility to periodically review the current FINRA Entitlement Program Terms of Use. Use of the systems accessed by the Organization and the Organization’s SAA and AA(s) after modification of the FINRA Entitlement Program Terms of Use constitutes my Organization’s renewed agreement to the FINRA Entitlement Program Terms of Use as modified.

If you are duly authorized by the Organization to execute this Agreement, I certify under penalty of perjury under the laws of the United States of America, 18 U.S.C. § 1746, that the foregoing information provided by me on behalf of the Organization is true and correct to the best of my knowledge, information and belief and that I am legally authorized to make the foregoing certification on behalf of the Organization.

Select Authorized Signatory Type:

- Chief Compliance Officer (CCO)
- Chief Executive Officer (CEO)
- Chief Financial Officer (CFO)
- Chief Legal Officer (CLO)
- Chief Operations Officer (COO)
- Director or Other Individual with Similar Status or Function
- Only Person Authorized to Execute Agreements for the Organization (**must** complete Special Circumstances section)

Special Circumstances

Complete this section if you are authorized to execute this Agreement on behalf of the Organization, but do not meet the requirements of Section 3 instructions. If the SAA is the same as the Authorized Signatory (self-signed), check the applicable box(es) in item a. In all other situations, provide an explanation of why a person described in Section 3 of the instructions is not available to execute this Agreement (item b) and of your authority to act on behalf of the Organization (item c).

a. In cases where the SAA and the Authorized Signatory are the same person (self-signed), check the box(es) that describe your role within the organization:

- Sole Proprietor
- CCO
- CEO
- CFO
- CLO
- COO
- Director or Other Individual with Similar Status or Function
- Only Person Authorized to Execute Agreements for the Organization (complete b and c below)

b. Explain why an Authorized Signatory is not available to execute this Agreement:

c. Explain your authority to act on behalf of the Organization:

Authorized Signatory's Signature: * _____
(If you are designated to be the SAA and are signing this form, complete items a, b and c as applicable in the **Special Circumstances section** above.)

Title: * _____

Print Name: * _____

Email: * _____

Executed on: * _____, 20_____.

Note: The organization name and email address provided by your firm's Authorized Signatory must match the information on your organization's Form FP.

How To Submit this Form: You may execute this FINRA Entitlement Agreement by completing all required sections and either (a) mailing the manually-signed Agreement to the address below; (b) attaching a scanned image (such as a .pdf file or fax) of the manually-signed Agreement to an email or other electronic transmission and sending it to FINRA; (c) using the electronic signature software that is available as part of the FINRA SAA Entitlement process; or (d) using an alternative 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.

Mailing Address: FINRA Entitlement Group, 9509 Key West Ave, Rockville, Maryland 20850

Fax: 301-216-3721 or Email: entsupport@finra.org

Questions: Contact the FINRA Gateway Call Center at (301) 590-6500.