# CRD Participant Firm
# (CBOE, NYSE-MKT, ARCA, PHLX, NQX, BSE, CHX, NYSE, BATS (BATS-ZX & BATS-YX), Direct Edge (EDGA & EDGX)
# Entitlement Applications/Privileges

New privileges effective October 28, 2013, have been highlighted in yellow in this document.

| Web CRD | | |
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| **Organization** | | |
| **View Organization Information** | | Provides the capability to **view** information about your Organization. |
| **Organization Non-Filing Information (read only)** | | Provides the capability to **view** the Firm's Non-Filing information (contact information, trustee information, name change history, and mass transfer history). |
| | **Maintain Contact (BD Only)** | Provides the capability to **view & maintain** the Firm's Contact information. |
| | **Maintain Firm Notification** | Provides the capability to **view & maintain** the Firm's Notification information. |
| | Maintain RAPP Notification (BD Only) | Provides the capability to **maintain** the Web CRD Firm Notification, Fingerprint Card-RAPP |
| | **Maintain NYSE Branch Code Number** | Provides the capability to **view & maintain** the Firm's NYSE Branch Code Number. |
| **Firm Queues** | | Provides the capability to **view** Firm Notices. (Current Deficiencies, Withdrawal or Termination, SFG Retirement) |
| **Mass Transfers** | | Provides the capability to **prepare** a Mass Transfer of individuals from one Member Firm to another without requiring U4 filings, U5 filings, or fingerprint cards submission. (FINRA, RAD must initiate process). |
| **Individual** | | |
| **View Individual Information** | | Provides the capability to **view** information about individuals that have been previously employed or currently employed by your Firm or your Firm's Simultaneous Filing Group. |
| | **View CHRI Information (BD Only)** | Provides the capability to **view** an individual's Criminal History Report Information (CHRI). |
| **Individual Non-Filing Information** | | Provides the capability to **view** the Individual's Non-Filing information. |
| | **IARD Transition Registrations** | Provides the capability to **transition** an existing Investment Adviser Representative's State IA Registrations. |
| **Firm Queues** | | Provides the capability to **view** Individual Notices. (Registrations, Disclosure, Fingerprint, Exams, CE, & Termination) |
| | **FBI Queue (BD Only)** | Provides the capability to **view** fingerprint statuses received from the FBI. Provides the capability to **view & print** Criminal History Report Information (CHRI) received from the FBI. |
| **View Individual SSN** | | Provides the capability to **view** Social Security numbers. |
| **View Fingerprint Statuses (BD Only)** | | Provides the capability to **view** an individual's Fingerprint Statuses that are FBI Results. |
| **Form Filing** | | |
| **Form U4** | | Provides the capability to **enter & submit** Initial, Amendment, Concurrence, Page 2 for BD Schedule A or B, Relicense, and Dual Registration form filings. |
| **Form U5** | | Provides the capability to **enter & submit** Partial, Full and Amendment U5 form filings. |
| **Form BD and BDW (BD Only)** | | Provides the capability to **enter & submit** BD Amendment, Partial and Full BDW form filings. |
| **Form BR** | | Provides the capability to **enter & submit** BR Initial, Amendment and Closing/Withdrawal form filings. |
| **Form Non-Registered FP (BD Only)** | | Provides the capability to **enter & submit** Non-Registered individuals fingerprint card information. |
| **Accounting** | | Provides the capability to **view** your Firm's Accounting data. |
| **Reports** | | Provides the capability to **access** ReportMart to retrieve your Firm's Reports. |
| | **Fingerprint Reports (BD Only)** | Provides the capability to **request** Web CRD reports containing Fingerprint Statuses. |
| | **Individual – SSN Audit Download** | Provides a list of users who **viewed** social security numbers (SSN) during the specified timeframe. |

| Regulation Filing Applications | |
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| **Reg-Rule 4530 Application (NYSE Only)** | |
| **Read** | Provides the capability to **view** your Firm's Disclosure Events and Customer Complaints online Pursuant to FINRA Rule 4530. |
| **Submit** | Provides the capability to **enter & submit** your Firm's Disclosure Events and Customer Complaints online Pursuant to FINRA Rule 4530. |
| **Reg-Blue Sheets (NQX Only)** | |
| **Read** | Provides the capability to **view** your Firm's Blue Sheet data. |
| **Submit** | Provides the capability to **enter & submit** your Firm's Blue Sheet data. |
| **Reg-FINRA Contact System (FCS) ( NQX Only)** | |
| **Read** | Provides the capability to **view** your Firm's Shorts data. |
| **Submit** | Provides the capability to **enter & submit** your Firm's Shorts data. |
| **Reg- Short Position Reporting (NYSE-MKT (old AMEX) and NQX Only** | |
| **Write** | Provides the capability to **view & maintain** your Firm's Contact data. |
| **Information Request Forms** | |
| **Submit** | Provides the capability for the user to **view and submit** Information Request Forms that are applicable to their firms. |
| **Web Information Request (IR)** | |
| **Read** | Members of this group can only **view** an Information Request (IR). |
| **Submit** | Members of this group can **view, update & submit** a completed Information Request (IR) to FINRA on behalf of the Firm. |
| **Update** | Members of this group can **view & update** an Information Request (IR). |
| **Order Audit Trail System (OATS) (NQX Only)** | |
| **OSO Administrator** | Provides the capability to **manage** user accounts, view OATS feedback and statistics, repair rejected Reportable Order Events (ROEs), and/or submit data via email and the web. |
| **OSO User** | Provides the capability to **view** OATS feedback and statistics, repair rejected Reportable Order Events (ROEs), and/or submit data via email and the web. |
| **OSO Read Only** | Provides access to the Web to **view** announcements, statistics and other OATS feedback. |

| Order Audit Trail System (OATS) FTP/IFT (NQX Only)<br>Super Account Administrator will have the ability to "Read" who has the FTP/IFT User privilege in the Account Management Tool and Grant this same ability to other users. | |
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| **Send Files Only** | Provides the capability to **submit** order data via FTP/IFT. |
| **Send and Receive Files** | Provides the capability to **submit** order data via FTP/IFT and **receive** Reportable Order Event (ROE) rejection reports. |

| eFOCUS Application (NYSE-MKT, ARCA and PHLX) | |
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| **Reader** | Provides the capability for a user to **access** the eFOCUS application and read data. |
| **Editor** | Provides the capability for a user to **save** filings, create amendments, and import filings. |
| **Approver** | Provides the capability for a user to **approve** saved filings. |
| **Submitter** | Provides the capability for a user to **submit** saved filings. |
| **CMA – Continuing Member Application** | |
| **Submit** | Provides the capability to **enter & submit** your Firm's Continuing Member Application Form. |

| eBill | |
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| **Invoices** | Provides the capability to **view** your eBill Invoices. |
| **FINRA Flex-Funding Account (CRD/IARD Daily Account)** | This account is used by firms to deposit money with FINRA and is also used for Registration -related fees. |
| **Reallocation** | This functionality allows users to **transfer** available funds from the FINRA Flex Funding Account to **satisfy** outstanding renewal assessments and other FINRA Invoices. |
| **Renewal Account** | This account is **used** to satisfy any outstanding renewal assessment. |
| **File Transfer** | |
| **VA File Transfer** | VA File Transfer |
| **Public Offering Filings** | |
| **Create/Update/Transfer Deals** | Provides the capability to **create/update/transfer Deals.** |
| **Distribution Mgr Filings** | Provides the capability to **distribute** Mgr filings. |
| **Futures Commission Merchant (FCM) Confirmation** | |
| **Read/Confirm** | The Futures Commission Merchant (FCM) Confirmation provides the mechanism for Member firms to **fulfill** the obligations for reviewing and confirming their FCM list. |
| **Regulation M Notification** | |
| **Submit** | Enables firms to **submit** Regulation M Notification pursuant to Rule 5190, Rule 6275(f) and application trade reporting rules in accordance with the electronic submission process. |

| Private Placement | |
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| **Submit** | **Submit** and **view** Form 5122 and 5123. |
| **351E Attestation:** | |
| **Submit** | Requires members/member organizations to **report** to the Exchange each stage of every Rule 342.21(b)" internal investigation" of Potentially Violative Trades that they conduct. Filings are required for the commencement; progress and completion of each internal Investigation. |