



FINRA Order Form User Guide

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FINRA Order Form

The FINRA Order Form is used by FINRA member firms to request Production and Test user accounts for the TRAQS website and/or API files. On the TRAQS website, users can submit or review their firms' trades as well as Security Master and Daily List information. Users with access to the API files can download Security Master and Daily List files. For more information about the TRAQS website and/or API files, please access the [Market Transparency page](#) on FINRA.org, and select the system of interest.

To access the FINRA Order Form, a user must:

- a) Be associated with a firm that has access to report trades to TRACE, ORF, and/or ADF, and
- b) Have a Firm Gateway account with Submit/Read All access to the FINRA Order Form.

If you do not have access to the FINRA Order Form, please contact your firm's Super Account Administrator.

The FINRA Order Form is available from the FINRA Firm Gateway: <https://firms.finra.org>

FINRA Contact Information

For questions regarding the FINRA Order Form please contact:

FINRA Market Operations

866-776-0800

FINRAOperations@finra.org

Submit a Form

The first fields displayed on a FINRA Order Form, and required for all submissions, are:

- **Firm CRD #:** this field is pre-populated, and may not be changed
- **Submitter Email:** this field is pre-populated with the email address associated with your FINRA Firm Gateway account. You may update the email address if necessary.
- **Submitter Phone #:** this field is required, and will be used by FINRA's Market Operations department for outreach if there are questions regarding the form.
- **Firm MPID:** this field is populated with the MPID(s) associated with the firm. If your firm has more than one MPID, select the MPID for this request from the list.

FINRA Order Form

Best viewed in Internet Explorer 10 and above, Chrome, Firefox, or Safari.
All fields marked with * are mandatory.

Firm CRD #:

Submitter Email: * ⓘ

Submitter Phone #: *

Firm MPID: *

USER MODIFICATIONS

Complete this section to add new TRAQS Web users or to modify or deleting existing TRAQS web users. Click Add to save your changes. *

Add a User Delete a User Modify a User

USER INFORMATION

First Name * Last Name *

REPORTING FACILITY ACCESS

Add a User

1. Select Add a User to create a new Production and/or Test user. Note: You should select Add a User if the user already exists in the Production system but needs Test Facility access, or vice versa.
2. Input the First and Last Name of the user.
3. Check the box(es) for the type(s) of access the user should have.
4. Indicate whether your firm is a clearing firm. If you answer yes, you also need to provide the four digit clearing number associated with your clearing firm.
5. Select the most appropriate role for the user based on the actions he/she needs to perform in the system. Options are:
 - a. Trade Reporting – view and submit trade reports, view the participant scan
 - b. View Only – view trade reports and the participant scan
 - c. API Only Role – download master and daily list files

- d. Clearing Firm – available only if your firm is a clearing firm, enables the user to view correspondent trades for your clearing firm in the equity facilities.

CLEARING FIRM

Is the firm a clearing firm? *

Yes No

Please provide the firm's clearing number. *

Clearing Number is not listed

ROLE *

Select the most appropriate role for the user based on the descriptions below. If the user needs to view or report trades and access API files, choose one of the first three roles and select the Reporting Facility. When the Optional Services section displays, you can add API Files to the user. User must have the same Role for all facilities requested, but optional services are unique to each facility.

- Trade Reporting Role** : Trade Reporting View and Edit, Participant Scan View
If firm is an ADF trade reporting and quoting participant, Trader role also includes Quote Reporting Edit, Quote Reporting View, Order Response Edit, and Order Response View
- View Only Role**: Trade Reporting View, Participant Scan View
If firm is an ADF trade reporting and quoting participant, Compliance role also includes Quote Reporting View and Order Response View
- API Only Role**: Security Master, Participant Master, Daily List, Closing Price Report (TRACE and ORF), Participant's USA File (ADF), Clearing MPID File (ADF), Explicit Fee File (ADF) - this user will only have access to download API files, and will not have access to view or edit trades.
- Clearing Firm Role** (applies ONLY if the user's firm is a clearing firm): Clearing Trade Reporting View (view correspondent trades submitted with clearing firm's clearing number), Participant Scan View

6. Select the facility or facilities the user will access.
7. Based on the role, clearing firm status, and facilities selected, you *may* have additional questions to answer:
- a. For the role of View Only, if your firm is a clearing firm, you can give the user Clearing Trade Reporting VIEW rights, to view your firm's correspondent trades. The ability to view correspondent's trades is only available for FINRA's equity facilities (ADF and ORF).
 - b. For the role of Clearing Firm, you can choose to give the user:
 - Equity Options
 - i. Trade Report VIEW rights for your firm's MPID
 - ii. Trade Report EDIT rights for your firm's MPID
 - iii. Clearing Trade Report Edit rights, which would give the user the ability to edit your firm's correspondent equity trades
 - Fixed Income Options
 - iv. Fixed Income Edit rights for your firm's own MPID. This option is only available if TRACE - Fixed Income is chosen as a facility.

REPORTING FACILITY(IES) *

TRACE - Fixed Income

- Select for Corporate and Agency Securities
- Select for Securitized Product Securities
- Select for Treasury Securities

ORF - OTCE Reporting Facility (Over-the-Counter Equity Reporting)

ADF - Alternative Display Facility (Listing Equity Reporting)

Clearing Firm Role

EQUITY OPTIONS

Should this user also have Trade Report **VIEW** for their own MPID? Yes No

Should this user also have Trade Report **EDIT** for their own MPID? Yes No

Should this user also have Clearing Trade Report **EDIT** ? (This allows user to edit correspondent trades submitted with clearing firm's clearing number.) Clearing firm must have AGU on file to edit correspondent trades. Yes No

FIXED INCOME OPTIONS

Should this user also have Fixed Income **EDIT** for their own MPID? Yes No

To enroll that user in additional **TRACE** optional services, select the desired option(s). Additional fees apply to Time & Sales scan access. See [FINRA Rule 7730](#) .

- Corporate Time & Sales Scan View
- Agency Time & Sales Scan View
- Securitized Products Time & Sales Scan View
- 144A Time & Sales Scan View (CA & SP 144A)
- API Files (can be added to View Only or Trade Reporting Role, to allow user to download API files)
- Web Administrator (View firm's users in User Management)

To enroll that user in additional **ORF** optional services, select the desired option(s). Additional fees apply to Time & Sales scan access. See [FINRA Rule 7710](#) .

- Time & Sales Scan View
- API Files (can be added to View Only or Trade Reporting Role, to allow user to download API files)
- Web Administrator (View firm's users in User Management)

To enroll that user in additional **ADF** optional services, select the desired option(s):

- API Files (can be added to View Only or Trade Reporting Role, to allow user to download API files)
- Web Administrator (View firm's users in User Management)

Additional Comments

You have 500 character(s) left.

Click **Add** to save your changes or **Clear** to remove all of your selections.

8. Based on the facility(ies) selected, you have additional optional services available to the user:
 - a. For TRACE, user may also be given:
 - i. TRACE Trade Report Edit
 - ii. Corporate Time and Sales Scan View
 - iii. Agency Time & Sales Scan View
 - iv. Securitized Products Time & Sales Scan View
 - v. 144A Time & Sales Scan View (CA & SP 144A)
 - vi. API Files
 - vii. Web Administrator
 - b. For ORF, user may also be given:
 - i. Time & Sales Scan View
 - ii. API Files
 - iii. Web Administrator
 - c. For ADF, user may also be given:
 - i. API Files
 - ii. Web Administrator

Please note: Time and Sales access provides the user with access to real-time disseminated market data via the TRAQS web site. There are fees associated with subscribing to Time & Sales for these facilities. Please see [FINRA Rules 7710](#) (ORF) and [7730](#) (TRACE) for more information.

9. Click Add to save the user's selections.
10. If adding several users with the same level of access, select "Copy" in the Reporting Facility(ies) Requests table. This feature allows the submitter to copy the information provided in steps 3 – 8. Enter the first and last name, phone number and email of the new user. Click Add to save the user and add it to the table.

REPORTING FACILITY(IES) REQUESTS

Add and/or Change Reporting Facility							
Name ^	TRACE	ORF	ADF	Role	Status		
Example User		ORF		Clearing	Add User	Delete	Copy
Delete All				1 Row(s)			

11. If the users have different levels of access “Repeat steps 1 – 9 to add additional users for the selected MPID, or follow the Delete a User or Modify a User steps to include other changes on the form.
12. Click Submit to submit the form.

Delete a User

1. Select Delete a User to remove a Production and/or Test user.
2. Input the First and Last Name of the user to be removed.
3. Input the TRAQS User ID, if known. While TRAQS User ID is not required, it helps ensure that the correct user is removed from the system.
4. Check the Production Web Access box to remove the user from the Production system. Check the Test Facility box to remove a test user.
5. Click Add.
6. Repeat steps 1 – 5 to add additional users for the selected MPID, or follow the Add a User or Modify a User steps to include other changes on the form.
7. Click Submit to submit the form.

Once the form is submitted, it will be given a Filing ID. Should FINRA staff need to contact you regarding your filing, they will reference the Filing ID assigned to the filing.

Modify a User

1. Select Modify a User to make changes to an existing user’s account. Note: To add test access to an existing Production user or vice versa, you should select Add a User rather than Modify a User.
2. Indicate the type of modification desired:
 - a. Add a Reporting Facility(ies)
 - b. Remove a Reporting Facility(ies)
 - c. Assign a New Role – if you are not aware which role the user is assigned currently, your firm’s TRAQS Web Administrator can look that information up in the “Administration” section of the TRAQS website. Alternatively, you can contact FINRA Market Operations.
3. Indicate if role should remain unchanged. This option is only available when adding a reporting facility. Check the box if you do not wish to also update your role.
4. Input the First and Last Name of the user.

5. Input the TRAQS User ID, if known. While TRAQS User ID is not required, it helps ensure that the correct user is modified.
6. Check the box(es) for the type(s) of access being modified.

USER MODIFICATIONS

Complete this section to add new TRAQS Web users or to modify or deleting existing TRAQS web users. Click **Add to save your changes** *

Add a User
 Delete a User
 Modify a User

Add a Reporting Facility(ies)
 Remove a Reporting Facility(ies)
 Assign a New Role

USER INFORMATION

First Name * Last Name *

TRAQS User ID:

REPORTING FACILITY ACCESS

Please select one or both options: *

Production Web Access
 Test Facility Access

Production Web access allows user to view, report, modify and cancel trades and manually download participant, security and daily list files, depending on role and privileges selected below. Time and Sales Access provides user with access to real-time disseminated market data. Fees associated with access are available in [FINRA Rule 7710 \(ORF\)](#) and [FINRA Rule 7730 \(TRACE\)](#) . Test Facility Access provides user with web access to the test facility (NTF). There are no FINRA fees associated with test access, however Nasdaq fees may apply. For more information about Nasdaq fees, call 212-231-5180.

CLEARING FIRM

Is the firm a clearing firm? * Yes No

Please provide the firm's clearing number. * Clearing Number is not listed

7. Indicate whether your firm is a clearing firm. If you answer yes, you also need to provide the four digit clearing number associated with your clearing firm.
8. Select the most appropriate role for the user based on the actions he/she needs to perform. See *Add a User for a description of each role*.
9. Select the reporting facilities to add to the user, if you selected the Add a Reporting Facility option, or select the reporting facilities to remove from the user if you selected the Remove a Reporting Facility option.
10. Add any additional access and/or optional services necessary. See *Add a User for more information on the available options*.

11. Click Add.
12. Repeat steps 1 – 10 to add additional users for the selected MPID, or follow the Add a User or Modify a User steps to include other changes on the form.
13. Click Submit to submit the form.

Additional Form Tips

- When you add a request to the form, it will appear in the Requests grid until the form is submitted. If you need to make additional changes to that user, you can click on the user in the grid to re-open it, or delete the user from the grid and start over. When adding a new login you also have the option to copy the user.

REPORTING FACILITY(IES) REQUESTS

Add and/or Change Reporting Facility						
Name ^	TRACE	ORF	ADF	Role	Status	
John Doe					Delete User	Delete

Delete All 1 Row(s)

- A form may contain additions, modifications and deletions for multiple users, but all users on the form must be associated with the same MPID. If your firm has multiple MPIDs and needs to make changes across more than one, you must submit a form for each MPID.
- Once a form is submitted, it will be given a Filing ID. Should FINRA staff need to contact you regarding your filing, they will reference the Filing ID assigned to the filing.
- Firms have the ability to set up one or more TRAQS Web Administrators, who can log into TRAQS and view the firm's list of users, their roles, and what facilities they can access. It is suggested that each firm with web users set up at least one Web Administrator to ensure that the firm's TRAQS users are monitored and deleted when necessary.

