Financial Industry Regulatory Authority

FINRA Entitlement Form
OATS FTP/IFT

Use this form to request a File Transfer Protocol / Internet File Transfer (FTP/IFT) user account for your organization or when a modification/update is needed to an FTP/IFT user account. An asterisk (*) denotes a required field. Your organization's SAA Entitlement Form must be on file with the FINRA Entitlement Group before this form can be processed.

Firms Designate User:	Complete the following sections for requesting an FTP/IFT user: • Sections 1,3,4 & 6 • Fax to: FINRA Entitlement Group at 301-216-3721
Service Providers Designate User:	Complete the following sections for requesting an FTP/IFT user: • Sections 2,3,4 & 6 • Fax to: FINRA Entitlement Group at 301-216-3721
Modification/Update of User:	Complete the following sections as applicable, for modifying/updating an FTP/IFT user: • Sections 1 or 2,3,4,5 & 6 • Fax to: FINRA Entitlement Group at 301-216-3721

Section 1

Complete all required fields as a FINRA-registered firm and/or NASDAQ Member.

Section 2

Complete all required fields as a Service Provider.

Section 3

Complete all required fields for an OATS FTP/IFT user account. Also use this section to make modifications/updates to a user's name or email address.

Section 4

Complete this section if your organization is a FINRA-registered firm, NASDAQ Member or a Service Provider. Mark the entitlement privileges that your organization requires. Also use this section to make modifications/ updates to entitlement privileges for the FTP/IFT user account.

Section 5

Complete this section when you need to delete an FTP/IFT user account.

Section 6

A signature must be provided when requesting an FTP/IFT user account. This form must be signed by one of the following individuals: FINRA Account Administrator, Executive Representative, Direct Owner, Indirect Owner or Executive Officer.

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OATS FTP/IFT Entitlement

An asterisk (*) denotes a required field.

Section 1 — Organization/Agency Information
Organization ID/CRD #:*
Organization/Agency Name:*
Address:*
City, State & Zip Code:*

Section 2 — Service Provider Information
Service Provider ID/CRD #:*
Service Provider Name:*
Address:*
City, State & Zip Code:*

Section 3 — FTP/IFT User Information			
First Name:*	Middle:	Last:*	Suffix:
Email:*		Phone Number:*	
Fax Number:*			

Section 4 — Entitlement Privileges

Complete this section if your organization is a FINRA-registered firm, NASDAQ Member or a Service Provider. Mark “Add” for the entitlement privileges that your organization requires or mark “Remove” to remove an existing privilege. Marked privileges will be set to “User” while unmarked privileges will not be set.

Add	Remove	
☐	☐	**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. ***Only one (1) designated FTP/IFT user per organization may receive rejection reports.***

Section 5 — Delete an Account

Complete this section when you need to delete an FTP/IFT user account.

☐	Delete FTP/IFT user access to the FTP/IFT Application

Reason for Deleting:_____

Section 6 — Signature

Complete this section if you are designating an FTP/IFT user. This form must be signed by one of the following individuals: FINRA Account Administrator, Executive Representative, Direct Owner, Indirect Owner or Executive Officer.

Designated Signatory

Signature:*_____

Print Name:*_____

Date:*_____

For questions about the FINRA Entitlement Program, call the Gateway Call Center at 301-869-6699 or FINRA Entitlement Group at: 240.386-4185