Financial Industry Regulatory Authority

BD/IA Joint Firm
Entitlement Applications/Privileges

Next Gen New Member Application (NMA)	
Submit	Provides the capability to view, update, and submit a completed New Member Application (NMA) to FINRA **prior to firm approval. FINRA will remove this Privilege upon a firm's registration "Approval".**
Read	Provides the capability to view a submitted New Member Application (NMA) to FINRA **post firm approval. FINRA will add this Privilege upon a firm's registration "Approval".**

Web CRD	
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 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.
Individual Firm Queues	Provides the capability to **view** Individual Notices. (Registrations, Disclosure, Fingerprint, Exams, CE, & Termination)
Fingerprint Status Received from FBI Queue	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.
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.

IARD	
Investment Adviser Applications	
IA Organization	
IA View Organization Information	Provides the capability to **view** information about your IA Firm.
IA Non-Filing Information	Provides the capability to **view** the Firm's IA Non-Filing Information.
Transitions	Provides the capability to **transition** state registrations and Notice Filings onto the system.
Firm Queues	Provides the capability to **view** Firm IA Notices.
View Individual SSN	Provides the capability to **view** Social Security numbers.
Forms	
Form ADV and ADV-W	Provides the capability to **enter:** **ADV -** Initial Application and Amendments to Form ADV. **ADV-W** - Partial and Full form filings.
Submit Forms	Provides the capability to **submit**: **ADV -** Initial Application and Amendments to Form ADV. **ADV-W** - Partial and Full form filings.
Accounting	Provides the capability to **view** your Firm's IA Accounting data.
Reports	Provides the capability to **access** ReportMart to retrieve your Firm's IA Reports.

PFRD (IA SEC-registered firms only)	
Forms	
Form PF	Provides the capability to **create & edit** Form PF filing online.
Submit Form	Provides the capability to **submit a** completed Form PF filing online.
XML Upload	
XML Web Service Upload and Check Filing Status	Provides the capability to **submit** a completed Form PF filing in XML format and view submission status and issues via Web Service.
XML Manual Upload	Provides the capability to **submit** Form PF filing in XML format on line.
XML On Line Filing Status	Provides the capability to **view** submission status and issues relating to Form PF filing on line.
View PF History List	Provides the capability to **view** a list of historical Form PF filings submitted by the firm. User is prohibited from viewing details within the actual filing
View PF History - All	Provides the capability to **view** historical Form PF filings submitted by the firm. Enables the user to view the full PF filing.

Report Center	
View Usage Log	Members of this group can **view** the Report Center usage log, which shows all actions performed by firm subscribers on the site.
View Equity Reports	Members of this group have access to the Equity Report Cards and associated Detail Data for equity transactions reported by your firm. For more information on the Equity Reports, go to **www.finra.org/reportcenter/equity**.
View TRACE Quality of Market Report Card	Members of this group have access to the TRACE Quality of Markets Report Cards and associated Detail Data for transactions reported by your firm to TRACE. For more information on the TRACE QMRC reports, go to **www.finra.org/reportcenter/TRACE**.
View TRACE Entitlement and Contact Report	Members of this group have access to the TRACE Entitlement and Contact Report, which allows TRACE Security Administrators to verify who at the firm has access to the TRACE system. For more information on the TRACE Entitlement and Contact Report, go to **www.finra.org/reportcenter/traceeandc.**
View MSRB Report Cards	Members of this group have access to FINRA's MSRB Report Cards. For more information on FINRA's MSRB Report Cards, go to **www.finra.org/reportcenter/munibonds.**
View Disclosure Reports	Members of this group have access to the Web CRD Late Filing Fee Report and the Disclosure Timeliness Report Card. For more information on these reports, go to **www.finra.org/reportcenter/CRD** or **www.finra.org/reportcenter/4530**.
View Online Learning Reports	Members of this group have access to the CE Regulatory Element Report and the Webcast Usage Report. For more information on these reports, go to **www.finra.org/reportcenter**.
View Risk Monitoring Reports	Members of this group have access to the Risk Monitoring Reports. Please note: These reports contain information that you may deem sensitive and FINRA encourages you to monitor which employees have access to this information. For more information on these reports, go to **www.finra.org/reportcenter/riskmonitoring.**

View NYSE Report Card	Members of this group have access to the NYSE Front End Systematic Capture (FESC) Report Cards.

Regulation Filing Applications	
Reg-17a-11 Financial Notification	
Submit	Provides the capability to **submit** a 17a-11 Financial Notification to the FINRA.
Reg-3012 Claim for Exception	
Submit	Provides the capability to **submit** a 3012 Claim of Exception to the FINRA.
Reg-Rule 4530 Application	
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-2711 - Annual Attestation of Compliance	
Submit	Provides the capability to **submit** your Firm's Annual Attestation of Compliance data.
Reg-Advertising Regulation	
Read Own Comments	Permits the user to **view** FINRA Advertising Regulation Department comment letters addressed to the user only.
Read All Firm Comments	Permits the user to **view** FINRA Advertising Regulation Department comment letters addressed to anyone at the user's FINRA Member Firm.
Access to Fee Statements	Permits the user to **view** your Firm's Advertising Fee Statement.
Reg-Blue Sheets	
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-Insite Firm Data Filing	
Read	Provides the capability to **view** your Firm's Insite Firm Data Filing data.
Submit	Provides the capability to **enter & submit** your Firm's Insite Firm Data Filing data.
Reg-Market Volatility	
Write	Provides the capability to **enter & submit** your Firm's quick financial snap shot of its Market Volatility. For Clearing Firms and Market Makers.
Reg-FINRA Contact System (FCS)	
Write	Provides the capability to **view & maintain** your Firm's Contact data.
Reg-Short Position Reporting	
Read	Provides the capability to **view** your Firm's Shorts data.
Submit	Provides the capability to **enter & submit** your Firm's Shorts data.

TRACE Order Form	
Submit/Read All	Provides the capability to **enter & submit** your own TRACE Order Forms on behalf of your firm to FINRA and view all TRACE Order Forms submitted on behalf of your firm by other users.
TRACE New Issue Form	
Submit/Read All	Provides the capability to **enter & submit** your own TRACE New Issue Forms on behalf of your firm to FINRA and view all TRACE New Issue Forms submitted on behalf of your firm by other users.
Information Request Forms	
Submit	Provides the capability for the user to **view and submit** Information Request Forms that are applicable to their firms.
Firm Clearing Arrangement Form	
Submit	Provides the capability to **create/submit** the Firm Clearing Arrangement Form on behalf of your firm.
Customer Margin Balance Form	
Submit	Provides the ability to **enter and submit** data, as well as **view** submitted and draft forms on behalf of your firm**.**
Central Review Group Request (CRG)	
Submit	Provides the ability to **view, update and submit** a completed Central Review Group Request to FINRA on behalf of the firm**.**

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)	
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 **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.**	
Send Files Only	Provides the capability to **View** this privilege in the Account Management Tool for the FTP/IFT User Account.
Send and Receive Files	Provides the capability to **View** this privilege in the Account Management Tool for the FTP/IFT User Account.

eFOCUS Application	
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.

FINRA Waiver Forms	
Manager	Provides the capability to **create/submit** Exam Waivers and **view/submit** Exam Waivers created by another user.
Create/Submit	Provides the capability to **create/submit** Exam Waivers.

Secure Request Manager	
User	Provides the capability to **view** the Secure Request Manager on behalf of your firm.

eAnalytics	
User	Provides the capability to **view** the eAnalytics information on behalf of Your Firm.

Form T Equity Trade Reporting	
Submit	Provides the capability to **submit** the Form T Equity Trade Reporting form.

NYSE Rule 407A Form (Must have NYSE Approved Registration Status)	
Submit	Provides the capability to **create/submit** the NYSE Rule 407A Form on behalf of your firm.

REX-Regulation-T & 15C3-3 Extensions	
Read	Provides the capability to **view** your Firm's REX -T data.
Submit	Provides the capability to **enter & submit** your Firm's REX - T data.

CMA – Continuing Member Application	
Submit	Provides the capability to **enter & submit** your Firm's Continuing Member Application Form.

eBill	
Invoices	Provides the capability to **view** your eBill Invoices.

FINRA Data Delivery	
TRACE Trade Journals	Users with this privilege can request their TRACE Trade Journal files and download their files for viewing.

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.

Annual Audit	
Annual Audit Electronic Submission	

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	
Submit	Submit and view Form 5122 and 5123.