Financial Industry Regulatory Authority

FINRA Entitlement Form
FILE TRANSFER Applications
FTP User

Use this form to request a File Transfer Protocol (FTP) user account for your organization or when a modification/update is needed to an FTP 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 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 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 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.

Section 2

Complete all required fields as a Service Provider.

Section 3

Complete all required fields for an FTP 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 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 user account.

Section 5

Complete this section when you need to disable or delete an FTP user account.

Section 6

A signature must be provided when requesting an FTP 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.

FTP Entitlement
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An asterisk (*) denotes a required field.

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

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

Section 3 — FTP 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 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. Adding an application will provide the capability to send/receive data files via FTP.

Add	Remove	
☐	☐	OnDemand File Transfer
☐	☐	SRM File Transfer
☐	☐	VA File Transfer
☐	☐	NYSE File Transfer
☐	☐	ID Track File Transfer
☐	☐	REG M File Transfer
☐	☐	REX File Transfer
☐	☐	ADV File Transfer
☐	☐	Blue Sheets File Transfer
☐	☐	IFDF File Transfer
☐	☐	R4530 File Transfer
☐	☐	Shorts File Transfer
☐	☐	UED File Transfer
☐	☐	ATS File Transfer

Section 5—Delete an Account

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

☐	Delete FTP user access to the FTP Application

Reason for Deleting:_____

Section 6 — Signature

Complete this section if you are designating an FTP User. Please note 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 Gate Way Call Center at 301-86-6699 or FINRA Entitlement Group at: 240.386-4185

For questions about File Transfer Applications, please contact FTP Support.