



FINRA Entitlement Form
Federal Reserve Depository Institutions
Account Administrator

Use this form to request a new Account Administrator (AA) account, update an existing AA account, or delete an AA account for various compliance tools offered by FINRA. In order for FINRA to process this form, your organization must have a signed FINRA Entitlement Agreement (FEA) on file with FINRA.

Authorized Signatory Requirement:

An officer of the organization or an individual who has the legal authority to bind the organization must sign this form. An Authorized Signatory may not designate themselves as the AA and sign the form if another Authorized Signatory is available to sign this form.

Organization Information

Organization ID # (if available):	
Organization Name:	
Street Address:	
City, State & Zip Code:	
Organization Email:	Phone Number:

Account Administrator (New or Update)

First Name:	Middle:	Last:	Suffix:
Email:			
Phone Number:	Fax Number:		

Entitlement Privilege – Participant Data Management (Account Administrator)

As the Participant Data Management System Account Administrator for your organization, the privilege below will be set to "User/Administrator". This privilege provides access to the Participant Data Management System, which enables firms to administer their access to FINRA reporting facilities.

<input checked="" type="checkbox"/>	Participant Data Management
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Entitlement Privilege – FINRA New Issue Form (Account Administrator)

As the FINRA New Issue Form Administrator for your organization, the privilege below will be set to "User/Administrator". This privilege provides access to the FINRA New Issue Form, through which firms may submit TRACE or OTCE securities to FINRA.

<input checked="" type="checkbox"/>	FINRA New Issue Form
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Entitlement Privilege – FINRA Data Delivery (Account Administrator)

As the FINRA Data Delivery Account Administrator for your organization, the privilege below will be set to "User/Administrator". This privilege provides access to the Automated Data Delivery System, through which firms may request trade journals containing transactions submitted to TRACE. SFTP access to trade journals is optional and subject to [monthly fees](#). See FINRA Rule 7510 for more information about data delivery fees.

<input checked="" type="checkbox"/>	TRACE Trade Journals
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Entitlement Privilege – Report Center (Account Administrator)

As the Report Center System Account Administrator for your organization, the privilege below will be set to "User/Administrator". This privilege provides access to the TRACE Report Cards.

<input checked="" type="checkbox"/>	Report Center
<input checked="" type="checkbox"/>	TRACE Quality of Markets Report Card

Entitlement Privilege – E-Bill (Account Administrator)

As the Account Administrator for E-Bill, the privilege you require to perform your role will be set to "User/Administrator". The privilege provides the capability for a user to pay invoices electronically.

Invoices

Delete AA Account

Delete AA account

Name of AA to Delete: _____

Reason for Deleting Account: _____

Authorized Signatory

Executed on: _____

Authorized Signatory's Signature: _____

- I am an officer or authorized individual who may act on behalf of the Organization and I am designating another individual to be the Account Administrator.
- I am the only officer or authorized individual who may act on behalf of the Organization and I am required to designate myself as the Account Administrator.
- Other (If other, explain below why another Authorized Signatory is not available to sign this form which designates you as the Account Administrator).

If Other, please explain:

Title: _____

Print Name: _____

Email: _____

How To Submit this Form: You may execute this form by completing all required sections and either: a) submit via DocuSign, or use another electronic signature (as defined in 15 U.S.C. § 7006), on condition that (i) you must have in place a technical or technological security procedure to attribute the electronic signature to the signatory, and (ii) a textual or graphical statement is included next to the electronic signature identifying the signatory and the date of execution and noting that the signature was generated electronically; or, b) mail the manually-signed form to the address below; or, c) attach a scanned image (such as a .pdf file or fax) of the manually-signed form to an email or other electronic transmission and send to FINRA.

**Email: finraoperations@finra.org
Phone: FINRA Market Operations at 1-866-776-0800 option 2**