

## Welcome Investment Advisers Planning To Register with the SEC

In 1996 Congress authorized the SEC to establish a one-stop electronic filing system for investment advisers and directed the SEC to provide investors with ready access to information about investment advisers. The switch from a paper filing system to an electronic filing system formally began in January 2001 through the Investment Adviser Registration Depository (IARD).

As of January 1, 2001, the SEC no longer accepts paper filings of Form ADV from investment advisers that want to register with the SEC. Instead, an investment adviser seeking to become SEC-registered must file Form ADV electronically through IARD. Before the adviser can make an electronic filing using IARD, it must establish an IARD User Account.

The IARD Entitlement Forms and related information needed to establish an IARD User Account are provided here. Print a copy of this Entitlement Packet. Fill out the three required forms ( FINRA Entitlement Agreement, IA Firm AAEF, and the CRD Participant AAEF ), sign them, and send them to FINRA at the address indicated on the forms. Upon receipt of your forms, FINRA will create User Accounts for the IARD Account Administrators (AAs) designated by your firm. FINRA will contact your firm's AAs with the Firm's CRD number and User IDs and initial Passwords for accessing IARD. In addition, FINRA will e-mail each AA a link to the Entitlement IARD Confirmation Packet. Please note that deficient or incomplete entitlement forms could delay your firm's access to IARD.

Once IARD access is granted, you may fill out the Form ADV on your computer and apply to register with the SEC by electronically submitting your Form ADV for review. Assuming that your application meets all SEC requirements, the SEC will mail you an order approving your registration, typically within 45 days, and also will notify you electronically through IARD that your registration is approved. Notice Filings required by state regulators also will be submitted electronically through IARD with your SEC filing. All future amendments to your Form ADV must be made electronically after you are SEC-registered.

To keep informed about developments related to filing on IARD, we suggest you check the SEC's IARD Web Site at [www.sec.gov/IARD](http://www.sec.gov/IARD). Questions about IARD entitlement forms should be directed to FINRA at (240) 386-4848. Please contact the SEC if you have questions about the status of your registration, legal or policy questions. The phone numbers and email addresses for inquiries to the SEC can be found at [www.iard.com/support\\_contacts.asp](http://www.iard.com/support_contacts.asp).

**To:** Investment Adviser Firms (SEC-Registration)  
**From:** FINRA Registration and Disclosure Department  
**Re:** The IARD<sup>SM</sup> Entitlement Process

FINRA welcomes you to the Investment Adviser Registration Depository (IARD). This memorandum contains general information about the IARD System and IARD Account Entitlement Forms for investment advisers seeking SEC-registration. Your firm is requesting access to IARD/Web CRD<sup>®</sup> through the FINRA Entitlement Program. Once your firm has completed and submitted your Entitlement Forms, FINRA will contact the IARD Account Administrators (AAs) designated by your firm with their Firm's CRD number, User ID and initial Password information. Note that a form deficiency may delay establishing your IARD User Account, so please pay careful attention when completing the Entitlement Forms. FINRA will also follow up by sending each AA an e-mail with a link to the IARD Confirmation Packet. The IARD Confirmation Packet contains six (6) attachments with detailed information to assist AAs.

**INCLUDED IN THIS PACKET ARE THREE (3) FORMS THAT MUST BE COMPLETED AND RETURNED TO FINRA IN ORDER TO ENTITLE YOUR FIRM'S ACCOUNT ADMINISTRATOR(S) TO USE THE IARD and Web CRD SYSTEMS.**

### **Background Information**

IARD is a Web-based system for registration of investment advisers. The United States Securities and Exchange Commission (SEC or Commission) and the North American Securities Administrators Association (NASAA) created IARD. FINRA is the developer and operator of the system. IARD allows SEC-registered advisers to file Form ADV and ADV amendments with the Commission and satisfy their "Notice Filing" obligations with the states at the same time. IARD provides regulators with the ability to monitor and process investment adviser information via a single, centralized system.

The CRD System was developed jointly by the National Association of Securities Dealers (NASD) and the North American Securities Administrators Association (NASAA). The CRD system was first launched in 1981 to centralize the registration process for the securities industry. (i.e., BD & agent) The CRD system enabled "one-stop filing" (i.e., the ability to submit one application seeking registration in all jurisdictions and self-regulatory organizations). The CRD system streamlined the registration process by maintaining the qualification, employment, disclosure histories, fingerprint process, registration fees and renewal fees. Over the past two (2) decades, it has been expanded and modified extensively to meet the evolving needs of the FINRA's constituencies. All states that register investment advisers and their representatives participate in Web CRD and accept filings submitted via the Web CRD System.

When you file through IARD, you can complete your electronic Form ADV over a period of time and save the filing as a draft or "pending" filing. It is important to know that no one, other than people entitled by your firm as users, can view "pending" filing information. Only after you submit the filing to IARD does it become available for viewing by regulators.

Investment adviser representative registration was implemented through the Web CRD System on March 18, 2002. Investment Adviser Representative (RA) registration requests and terminations are submitted on Form U4 and Form U5 filings via Web CRD.

## **Role of FINRA**

In its role as the operator of the IARD System, FINRA is responsible for designing and operating the system according to the requirements specified by the SEC and NASAA. FINRA also oversees entitlement to the IARD System, system maintenance and availability. FINRA staff are available to answer your questions regarding the Entitlement Forms, system navigation and system usage. FINRA has no regulatory authority over investment advisers. The review of adviser filings is done entirely by the SEC and/or states with whom you file. FINRA staff **cannot** advise you on the legal status of filings once they are submitted to the IARD System.

## **IARD Entitlement**

Included in this packet are the three forms you must complete and return to FINRA in order to establish an IARD User Account for your firm. **These forms must be returned with original signatures to FINRA Entitlement.**

### *Setting Up Your IARD User Account*

The first step in setting up your Firm's IARD User Account is to complete the three (3) FINRA forms in this packet: (1) The FINRA Entitlement Agreement (**FEA**) (2) the IA Firm Account Administrator Entitlement Form (**IA Firm AAEF**) and (3) the CRD Participant IA-Only Account Administrator Entitlement Form (**CRD Participant IA-Only AAEF**).

Send the completed forms to the FINRA Entitlement Group either by regular mail or by overnight service.

To send completed forms via regular mail, please mail to:

FINRA Entitlement Group  
P.O. Box 9495  
Gaithersburg, MD 20898-9495

To send completed forms via overnight service, please mail to:

FINRA Entitlement Group  
9509 Key West Avenue  
Rockville, MD 20850

***Completing Account Entitlement Forms: the FINRA Entitlement Agreement, the IA Firm AAEF and the CRD Participant IA-Only AAEF.***

The IARD System is a secure system. These forms are used to identify all Account Administrators (AAs) authorized by your firm to access IARD. The AA(s) is the person(s) responsible for creating and maintaining your firm's IARD User Accounts. The AA also establishes user accounts to enable Firm users to access the system.

- 1. FINRA Entitlement Agreement** - This form must be signed by an officer of the organization or by an individual within the organization who has the legal authority to bind the organization. All fields must be completed. FINRA requires the FINRA Entitlement Agreement to be signed with an original signature. **This form cannot be faxed.**
  
- 2. IARD Account Administrator Entitlement Form (IA Firm AAEF)** - This form must be completed by each person designated as either the Primary AA or Alternate AA. The IA Firm AAEF is used to designate what IARD account privileges the AA should have. One (1) IA Firm AAEF form is enclosed in this packet. A separate IA Firm AAEF must be completed by each Primary AA and Alternate AA. For more information on the role and responsibilities of the AA(s), refer to the IARD Account Administration Navigation Guide available on the IARD Web Site.
  
- 3. CRD Participant IA-Only Account Administrator Entitlement Form (CRD Participant IA-Only AAEF)** - This form must be completed by each person designated as either the Primary AA or Alternate AA. The CRD Participant IA-Only AAEF is used to designate what Web CRD account privileges the AA will have. One (1) CRD Participant IA-Only AAEF form is enclosed in this packet. A separate CRD Participant IA-Only AAEF must be completed by each Primary AA and the Alternate AA. For more information on the role and responsibilities of the AA(s), refer to the Account Administrator Navigation Guide available on the FINRA Web Site.

The IARD AA(s) must complete the CRD Participant IA-Only AAEF in order to register Investment Adviser Representatives (RAs). The CRD Participant IA-Only AAEF is used to designate what CRD account privileges the AA should have.

<p><b>You must send the completed FINRA Entitlement Agreement (with an original signature) and the completed IARD and CRD Participant IA-Only AAEFs to the FINRA Entitlement Group at the designated address on the forms.</b></p>
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If you are a Joint BD/IA firm and already have access to Web CRD/Focus, you still must complete and return the FINRA Entitlement Agreement and the IARD AAEF as explained above to gain access to IARD.

## ***IARD Confirmation Packet and Account ID Information***

Once FINRA receives and processes your completed FINRA Entitlement Agreement and IARD and CRD Participant IA-Only AAEFs, FINRA will create User Accounts for the IARD Account Administrators (AAs) designated by your firm. FINRA will contact your firm's AAs with the Firm's CRD number, User ID and initial Password for accessing IARD. In addition, FINRA will e-mail each AA with a link to the IARD Confirmation Packet. The IARD Confirmation Packet provides AAs with information on their role, responsibilities, security information, and links to other helpful entitlement information.

The IARD Confirmation Packet contains seven (7) attachments with detailed information to assist you, the AA, and your organization as a FINRA Entitlement Program participant.

- I. **Recommended Hardware/Software Configuration** - This attachment lists the minimum hardware and software requirements necessary to access and operate the IARD System.
- II. **Account Management Tool General Overview** - This attachment provides information on features of the FINRA Login screens for the AAs and Users.
- III. **IARD Account Administrator Roles & Responsibilities** - This attachment provides the roles and responsibilities of an Account Administrator using the Account Management Tool and provides Entitlement Tips.
- IV. **Password Change Instructions** - This attachment provides the steps for changing your password and accessing the FINRA Entitlement Program and the IARD System.
- V. **Password Change Instructions for IARD Users** - This attachment provides the users with the activities they should perform to access the FINRA Entitlement Program and the IARD System. The attachment also includes important reminders regarding password security. You may distribute this attachment to your users as a reference aid.
- VI. **Entitlement – Firm Download Report** – This attachment provides the benefits and instructions for using the Firm Download Report which enables the Account Administrator to review their users and what access they have.
- VII. **FINRA Entitlement Program Support** – This attachment provides a reference of support information available for the FINRA Entitlement Program and the IARD System located at the IARD Web Site, <http://www.iard.com>.

Joint Firms that already have Web CRD access, as a broker/dealer will use their existing Web CRD entitlement User ID and Password on IARD. Joint Firms **will not** receive a new User ID or Password. In addition, Joint Firms will use their existing financial account for all Web CRD and IARD transactions.

### **Your Firm's IARD Financial Account:**

When you receive your User ID and Password, you will be able to access IARD and begin completing the Form ADV on-line. **However, you will not be able to submit an electronic filing until funds are deposited into your financial account, either by Web E-Pay, wire transfer or check.** Your Firm's CRD number should always be written on checks deposited into your IARD Financial Account. Details on how to submit funds by Web E-Pay, wire transfer or check and other important Accounting information can be found at <http://www.iard.com/fees.asp>.

**\*\*\*Special Note\*\*\***

**Please DO NOT send payment along with your Entitlement Forms.** Funds should be deposited **after** you have received your Firm's CRD number from the Entitlement Group.

**Support for IARD and User Assistance Tools:**

FINRA has established a dedicated telephone number, **240.386.4848**, for IARD questions related to the Entitlement Forms, system navigation, and system usage. We request that all questions and/or problems you may have using the system be directed to this number. If the Call Center staff is unable to answer your question, they will route your inquiry to a subject-matter expert who will promptly return your call.

**Any questions related to policy, interpretation, or regulatory requirements should be directed to the SEC's IARD hotline @ 202.551.6999, or to the SEC's e-mail box, [IARDLIVE@sec.gov](mailto:IARDLIVE@sec.gov). Inquiries concerning state issues should be directed to the NASAA IARD Hotline, 202.737.0900. Inquiries regarding the status of filings should be directed to the SEC at 202.551.7250 or appropriate state (refer to the Regulator's Directory available on [www.iard.com](http://www.iard.com)).**

To assist filers, FINRA has created a User's Manual. This User's Manual is available for your review and reference at [www.iard.com](http://www.iard.com). The manual is designed to allow you to view and print all, or part of it, as necessary.

Additionally, a series of functional Navigation Guides have been developed to be used as quick reference tools for users on how to use the system. They are not meant to replace the Users Manual. Rather, the Guides are a support tool to keep handy by your PC. These Navigation Guides are available on the IARD Web Site at [www.iard.com](http://www.iard.com).

We anticipate your experience with electronic filing on the IARD System will be a smooth one. Please remember to use the support tools that have been put in place to assist you when you have questions. FINRA looks forward to working with you as you use IARD.

Please refer to the IARD Web Site at [www.iard.com](http://www.iard.com), for additional information and guidance on setting up your firm's IARD User Accounts or contact the IARD Hotline at 240.386.4848.

For additional information on Web CRD and Investment Adviser Representative (RA) registration and termination requests on the Forms U4 and U5, please refer to the FINRA – Central Registration Depository (CRD) Web Site.



## FINRA Entitlement Agreement

**Instructions:** This form must be signed by an officer of the organization or by an individual within the organization who has the legal authority to bind the organization. All fields must be completed. Mail the signed FINRA Entitlement Agreement to the address shown on the signature page. This form cannot be submitted via facsimile.

The FINRA Entitlement Agreement is required when an organization that is not currently entitled to certain FINRA non-public, controlled access applications (hereinafter, FINRA Entitlement Applications) requires access to such applications. (Please note: applications covered by this Agreement are listed at <http://www.finra.org/entitlement>).

FINRA must have a fully executed FINRA Entitlement Agreement (FEA) on file for your organization prior to processing an FINRA Entitlement Modification Form.

In addition to completing the FINRA Entitlement Agreement, you must complete the appropriate FINRA Account Administrator Entitlement Form (AAEF) to designate your organization's Account Administrator(s) (Primary and/or Alternate) to the specific FINRA Entitlement Application your firm is requesting. The AAEF can be found at <http://www.finra.org/entitlement>.

\* Organization CRD#: (if available) \_\_\_\_\_

\* Organization Name: \_\_\_\_\_

\* Organization Street Address: \_\_\_\_\_

\* City, State & Zip Code: \_\_\_\_\_

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### FINRA Entitlement Agreement Acknowledgment of Responsibility

Organization Name: \_\_\_\_\_ (Hereinafter referred to as "You" or "Your" and includes your authorized agent or designee) does hereby acknowledge and agree that any and all Account Administrators (referred to herein as "Account Administrator" or "AA") which are: (i) appointed by You in any FINRA Account Administrator Entitlement Form ("AAEF"); (ii) appointed by You in any other FINRA or non-FINRA-designated form that purports to appoint any individual(s) to act as your agent-in-fact to access and assign access to FINRA applications; (iii) any other individual given access to FINRA applications by You, regardless of whether such individual was formally appointed as Your AA; or (iv) as otherwise authorized by You; have the authority to act on Your behalf with respect to the entitlements granted and that You take responsibility for such actions. You also acknowledge and agree that any and all AAs You appoint have the authority to obtain, distribute, revoke and monitor entitlements granted by FINRA for the specific applications, materials and services established by FINRA, and to act on Your behalf with respect to the entitlements granted and that You take responsibility for such actions. An AA may authorize Subscribers and may submit information for the application(s) for which s/he has been properly authorized to act as an AA. All applications, materials and services for which entitlements are hereby granted are governed by the FINRA Entitlement Program Agreement and Terms of Use. You may obtain copies of the most current version of the FINRA Entitlement Program Agreement and Terms of Use by going to the FINRA Entitlement web page at <http://www.finra.org/entitlement> or by contacting FINRA. You hereby acknowledge and agree that You have read and agree to the FINRA Entitlement Program Agreement and Terms of Use without exception or alteration, which are contained in the "FINRA Entitlement Program Agreement and Terms of Use."

FINRA may revise the FINRA Entitlement Program Agreement and Terms of Use from time to time in its sole discretion and pursuant to the FINRA Entitlement Program Agreement and Terms of Use. You are encouraged periodically to review the current FINRA Entitlement Program Agreement and Terms of Use. Each use of any of the applications supported by the FINRA Entitlement Program by You, Your AA(s) or Your Subscribers constitutes Your renewed agreement to the FINRA Entitlement Program Agreement and Terms of Use as modified.

The FINRA Entitlement Program Agreement and Terms of Use contain provisions that govern use of, contributions to and access to the applications covered by the FINRA Entitlement Program by You, Your AA(s) and Your Subscribers, including but not limited to restrictions on the transfer of Your right to access the applications supported by the FINRA Entitlement Program, restrictions on the use and/or copying of the applications supported by the FINRA Entitlement Program, permission for FINRA to use material submitted by You, Your Subscribers or Your AA(s) via any applications supported by the FINRA Entitlement Program, limitations on warranties and damages, permissible amendments to the FINRA Entitlement Program Agreement and Terms of Use or Entitlement Forms, treatment of private information, waiver of rights to a jury trial and choice of law and jurisdiction provisions.

You further agree that Your Primary AA(s), Your Alternate AA(s) and Your Subscriber(s) can take actions on Your behalf with respect to and on the applications supported by the FINRA Entitlement Program, and that FINRA can and should rely on the actions of Your AA(s) and Your Subscribers as if they were Your own. Further, in addition to the indemnification provisions in the FINRA Entitlement Program Agreement and Terms of Use, You agree to defend, indemnify and hold FINRA harmless from the actions or inactions of You, Your AA(s) and Your Subscribers and from any breaches of the FINRA Entitlement Program Agreement and Terms of Use by You, Your AA(s) or Your Subscribers, or for negligent or tortious conduct by You, Your AA(s) or Your Subscribers with respect to the entitlements granted, as well as any third party claims based thereon.

The terms "You," and "Your" in this form refer to the organization on whose behalf this form is submitted. "Subscriber" as used herein is as defined in the FINRA Entitlement Program Agreement and Terms of Use.

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***By signing below, the signatory hereby certifies that s/he is authorized to legally bind the Organization on behalf of which s/he is executing this Agreement.***

\* Signature: \_\_\_\_\_ Date: \_\_\_\_\_  
(Signatory must be an officer of the organization or otherwise have the legal authority to bind the organization.)

\* Print Name: \_\_\_\_\_ Title of Signatory: \_\_\_\_\_  
(Please print clearly)

**Please mail completed form, with original signature, to:**

**FINRA Entitlement Group  
9509 Key West Avenue  
Rockville, Maryland 20850**

**For Questions Call:  
301.869.6699 for Broker/Dealer Firms  
240.386.4848 for IA-Only Firms**



## FINRA Account Administrator Entitlement Form (AAEF)

### IA FIRM (SEC & State)

SEC IA FIRM     STATE IA FIRM

### IARD<sup>SM</sup>

SEC 801# - \_\_\_\_\_

**Instructions:** Complete this form for each Account Administrator. This form must be signed by an Investment Adviser (IA) Firm's Account Administrator (either Primary or Alternate, each of which is referred to herein as AA) or designated signatory of the firm. Please ✓ the specific request below and complete all pages of the form. Any field marked with an asterisk (\*) is a required field. Fax or mail the signed form – always include the signature page.

INITIAL PRIMARY AA

REPLACE PRIMARY AA

\*Current Primary AA's full name \_\_\_\_\_

INITIAL ALTERNATE AA

ADD ALTERNATE AA

If you are a new Firm, or an IA-Only Firm, before you submit this AAEF, your firm must complete and mail an originally signed FINRA Entitlement Agreement.

If your Primary AA is being replaced, make sure you check the Replace Primary AA box and provide the current Primary AA's full name. The FINRA Entitlement Group will delete access to the IARD Application for the current Primary AA's account when creating the replacement Primary AA. (You do not need to complete the FINRA Entitlement Modification Form for the Primary AA for whom you are designating a replacement.) To modify, disable or delete the IARD System for an AA, use the IA Firm FINRA Entitlement Modification Form for the IARD System available at <http://www.iard.com>.

To delete an AA's account for all applications (e.g., IARD, Web CRD, etc), fax on company letterhead, the AA's First and Last Name, Organization CRD#, and the request to delete the AA's account from all applications. An IA Firm signatory must sign the deletion request letter.

Are you (the Investment Adviser) currently registered as a Broker Dealer in the United States?    Yes [ ] No [ ]  
(If YES, please complete the following):

<u>Your Investment Adviser Information</u>	<u>Your Broker Dealer Information</u>
<p><b>Date of Formation:</b> _____ (Date officially registered as Corporation, Partnership, LLC, LLP, Sole Proprietorship, etc.)</p> <p><b>Organization Type:</b> _____ (e.g., Corp., Partnership, LLC, LLP, Sole Prop, etc.)</p> <p><b>Place of Formation:</b> _____ (State or Country)</p>	<p><b>CRD #</b> _____</p> <p><b>Date of Formation:</b> _____ (Date officially registered as Corporation, Partnership, LLC, LLP, Sole Proprietorship, etc.)</p> <p><b>Organization Type:</b> _____ (e.g., Corp., Partnership, LLC, LLP, Sole Prop, etc.)</p> <p><b>Place of Formation/Filing:</b> _____ (State or Country)</p>

### Business Names

\* IA Firm CRD# (if available) \_\_\_\_\_

\* Full Business Legal Name: \_\_\_\_\_

\* Primary Business Name: \_\_\_\_\_



## Entitlement Privileges

Instructions: As the Account Administrator for this application, mark the Entitlement Privileges that your Firm requires you to have to perform your job function(s). Marked privileges will be set to "Use/Read/Grant". Any unmarked privileges will be set to "Read/Grant" which will enable you to perform your role as an Account Administrator.

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

\* Signature: \_\_\_\_\_ \* Date: \_\_\_\_\_  
(Must be signed by a Designated Firm Signatory or a FINRA Account Administrator.)

\* Print Name: \_\_\_\_\_  
(Please print clearly)

**Please FAX completed form to:  
FINRA Entitlement Group at 240.386.4669**

**or mail to  
FINRA Entitlement Group  
9509 Key West Avenue  
Rockville, Maryland 20850**

**Questions: Call FINRA Gateway Call Center at 240.386.4848**



**FINRA Account Administrator Entitlement Form (AAEF)**  
**CRD Participant Firm** (  **IA Only** )  
**Web CRD**<sup>®</sup>

**Instructions:** Complete this form for each Account Administrator. This form must be signed by a Firm's Account Administrator (either Primary or Alternate, each of which is referred to herein as AA) or designated signatory of the firm. Please ✓ the specific request below and complete all pages of the form. Any field marked with an asterisk (\*) is a required field. Fax or mail the signed form – always include the signature page.

**INITIAL PRIMARY AA**

**REPLACE PRIMARY AA**

\*Current Primary AA's full name \_\_\_\_\_

**INITIAL ALTERNATE AA**

**ADD ALTERNATE AA**

If you are a new Firm, or an IA-Only Firm, before you submit this AAEF, your firm must complete and mail an originally signed FINRA Entitlement Agreement.

If your Primary AA is being replaced, make sure you check the Replace Primary AA box and provide the current Primary AA's full name. The FINRA Entitlement Group will delete access to the Web CRD Application for the current Primary AA's account when creating the replacement primary AA for Web CRD. (You do not need to complete the FINRA Entitlement Modification Form for the Primary AA for whom you are designating a replacement.) To modify, disable or delete the Web CRD Application for an AA, use the CRD Participant IA-Only Web CRD Entitlement Modification Form for the Web CRD Application available at <http://www.iard.com>.

To delete an AA's account for all applications (e.g., IARD, Web CRD, etc), fax on company letterhead, the AA's First and Last Name, Organization CRD#, and the request to delete the AA's account from all applications. A firm signatory must sign the deletion request letter.

\* CRD Participant IA-Only Firm CRD#: \_\_\_\_\_

\* CRD Participant IA-Only Firm Name: \_\_\_\_\_

\* CRD Participant IA-Only Firm Street Address: \_\_\_\_\_

\* City, State & Zip Code: \_\_\_\_\_

**Account Administrator**

If this individual is already an entitled AA/User to a FINRA Entitlement Application, check here:

Name: \_\_\_\_\_  
 (\* First, Middle, Last, Suffix)

Individual CRD# (if applicable): \_\_\_\_\_  IA-Only Firm Employee  Service Provider Rep.

\* Address: \_\_\_\_\_

\* City, State & Zip Code: \_\_\_\_\_

\* Email Address: \_\_\_\_\_ \* Telephone Number: \_\_\_\_\_

\* Fax Number: \_\_\_\_\_

## Entitlement Privileges

*Instructions: As the Account Administrator for this application, mark the Entitlement Privileges that your Firm requires you to have to perform your job function(s). Marked privileges will be set to "Use/Read/Grant". Any unmarked privileges will be set to "Read/Grant" which will enable you to perform your role as an Account Administrator.*

Entitlement Privileges for Web CRD For – CRD Participant Firm – IA Only		
<b>Organization</b>		
	<b>View Organization Information</b>	Provides the capability to <b>view</b> information about your Organization.
	<b>Non-Filing Information (read only)</b>	Provides the capability to <b>view</b> the Firm's Non-Filing information (contact information, trustee information, name change history, and mass transfer history).
	<b>Maintain Contact (BD Only)</b>	Provides the capability to <b>view &amp; maintain</b> the Firm's Contact information.
	<b>Maintain Firm Notification</b>	Provides the capability to <b>view &amp; maintain</b> the Firm's Notification information.
	<b>Firm Queues</b>	Provides the capability to <b>view</b> Firm Notices. (Current Deficiencies, Withdrawal or Termination, SFG Retirement)
	<b>Mass Transfers</b>	Provides the capability to <b>prepare</b> 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)
<b>Individual</b>		
	<b>View Individual Information</b>	Provides the capability to <b>view</b> information about individuals that have been previously employed or currently employed by your Firm or your Firm's Simultaneous Filing Group.
	<b>View CHRI Information (BD Only)</b>	Provides the capability to <b>view</b> an individual's Criminal History Report Information (CHRI).
	<b>Non-Filing Information</b>	Provides the capability to <b>view</b> the Individual's Non-Filing information.
	<b>IARD Transition Registrations</b>	Provides the capability to <b>transition</b> an existing Investment Adviser Representative's State IA Registrations.
	<b>Firm Queues</b>	Provides the capability to <b>view</b> Individual Notices. (Registrations, Disclosure, Fingerprint, Exams, CE, & Termination)
	<b>Fingerprint Status Received from FBI Queue</b>	Provides the capability to <b>view</b> fingerprint statuses received from the FBI. Provides the capability to <b>view &amp; print</b> Criminal History Report Information (CHRI) received from the FBI.
<b>View Individual SSN</b>		
	<b>View Individual SSN</b>	Provides the capability to <b>view</b> Social Security numbers.
<b>Form Filing</b>		
	<b>Form U4</b>	Provides the capability to <b>enter</b> Initial, Amendment, Concurrence, Page 2 for BD Schedule A or B, Relicense, and Dual Registration form filings.
	<b>Form U5</b>	Provides the capability to <b>enter</b> Partial, Full and Amendment U5 form filings.
	<b>Form BD and BDW (BD Only)</b>	Provides the capability to <b>enter</b> BD Amendments and Partial and Full BDW form filings.
	<b>Form BR</b>	Provides the capability to <b>enter &amp; submit</b> BR Initial, Amendment and Closing/Withdrawal form filings.
	<b>Form Non-Registered FP (BD Only)</b>	Provides the capability to <b>enter</b> Non-Registered individuals fingerprint cards.
<b>Accounting</b>		
	<b>Accounting</b>	Provides the capability to <b>view</b> your Firm's Accounting data.
<b>Reports</b>		
	<b>Reports</b>	Provides the capability to <b>access</b> ReportMart to retrieve your Firm's Reports.

\* Signature: \_\_\_\_\_ \* Date: \_\_\_\_\_  
(Must be signed by a Designated Firm Signatory or a FINRA Account Administrator.)

\* Print Name: \_\_\_\_\_  
(Please print clearly)

**Please FAX completed form to:  
FINRA Entitlement Group at 240.386.4669**

**or mail to  
FINRA Entitlement Group  
9509 Key West Avenue, Rockville, Maryland 20850**

**Questions: Call FINRA Gateway Call Center at 240.386.4848**