



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

**Instructions:** Complete this form for each Account Administrator whose account needs to be updated. Prior to processing this Modification Form, FINRA must have a fully executed FINRA Entitlement Agreement (FEA) on file for your organization. If you are not sure whether an FEA is on file for your organization, please contact the Gateway Call Center. 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) as designated on an approved FINRA Account Administrator Entitlement Form (AAEF) on file. The AA may only designate information for the application for which s/he is an AA. Any field marked with an asterisk (\*) is a required field. Fax or mail the signed form – always include the signature page along with the applicable Modify, Disable or Delete section(s).

If a user is to be designated as an IA Firm's AA (Primary or Alternate), **do not** complete this form – use the CRD Participant IA-Only Firm FINRA Account Administrator Entitlement Form (AAEF) for the Web CRD Application available at <http://www.iard.com>.

Please ✓ the appropriate box(es).

- To Modify Personal Data Only – Complete only the fields that need to be changed in the Modify Personal Data Section.
- To Modify Privileges Only – Check specific privileges that need to be added or removed in the Modify Privileges Section.
- To Disable an AA's access to all applications in the FINRA Entitlement Program or To Delete an AA's access to this Application – Complete the Disable or Delete Account Administrator Section.
- User (Mark ONLY when an AA needs to edit another AAs account to mark user privileges. Make changes to the Modify Privileges Section.)

To delete an AA's account for **all applications** (e.g., 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 Firm CRD#: \_\_\_\_\_ \* CRD Participant Firm Name: \_\_\_\_\_

**Modification Request for:**

User ID: \_\_\_\_\_

Name: \_\_\_\_\_

(\*First, Middle, Last, Suffix )

**Modify Personal Data Section**

*Instructions: Complete only the Personal Data fields that have changed.*

Name: \_\_\_\_\_

(First, Middle, Last, Suffix)

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

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

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

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

## Modify Privileges Section

Instructions: Please mark (A) to Add or (R) to Remove the entitlement(s) for the Account Administrator.

Added privileges will be set to "Use/Read/Grant". Any Removed privileges will be set to "Read/Grant" which will enable the person to perform the role of Account Administrator.

Entitlement Privileges for Web CRD For – CRD Participant Firms IA-Only			
A	R	A= Add R=Remove	
<b>Form Filing</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.
		<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.

**Disable or Delete Account Administrator Section**

Instructions: Please ✓ to Disable AA's account or Delete AA from this application and complete this section.

**Disable** AA's access to all applications in the FINRA Entitlement Program.

**Delete** AA's access to the Web CRD Application.

Reason For Disabling/Deleting: \_\_\_\_\_

\* Signature: \_\_\_\_\_  
(Must be signed by an AA requesting the modifications.)

\* Date: \_\_\_\_\_

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

**Please FAX completed form to:  
FINRA Entitlement Group at 301.216.3721**

**or mail to:**

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

**Questions: FINRA Call Gateway Call Center at 301.869.6699**