



## FINRA Entitlement Modification Form

**IA FIRM**  
(SEC or State)

**IARD<sup>SM</sup>**

SEC IA FIRM     STATE IA FIRM

**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 IA Firm FINRA Account Administrator Entitlement Form (AAEF) for IARD 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., 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.

\* IA Firm CRD#: \_\_\_\_\_ \* IA 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 IARD		
For – IA Members		
A	R	A= Add R=Remove
<b>Organization</b>		
		<b>IA View Organization Information</b> Provides the capability to <u>view</u> information about your IA Firm.
		<b>IA Non-Filing Information</b> Provides the capability to <u>view</u> the Firm's IA Non-Filing Information.
		<b>Transitions</b> Provides the capability to <u>transition</u> state registrations and Notice Filings onto the system.
		<b>Firm Queues</b> Provides the capability to <u>view</u> Firm's IA Notices.
<b>View Individual SSN</b>		
		<b>View Individual SSN</b> Provides the capability to <u>view</u> Social Security numbers.
<b>Form Filing</b>		
		<b>Form ADV and ADV-W</b> Provides the capability to <u>enter</u> : ADV - Initial Application and Amendments to Form ADV. ADV-W - Partial and Full form filings.
		<b>Submit Forms</b> Provides the capability to <u>submit</u> : ADV - Initial Application and Amendments to Form ADV. ADV-W - Partial and Full form filings.
<b>Accounting</b>		
		<b>Accounting</b> Provides the capability to <u>view</u> your Firm's IA Accounting data.
<b>Reports</b>		
		<b>Reports</b> Provides the capability to <u>access</u> ReportMart to retrieve your Firm's IA 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 IARD 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: Call Gateway Call Center at 240-386-4848**