



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#: _____

* Organization Name: _____

* Organization Street Address: _____

* City, State & Zip Code: _____

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.

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: _____ <i>(Signatory must be an officer of the organization or otherwise have the legal authority to bind the organization.)</i>
* Print Name: _____ Title of Signatory: _____ <i>(Please print clearly)</i>

**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**