



NASD Entitlement Modification Form CRD Participant Firm (IA Only) Web CRD[®]

Instructions: Complete this form for each Account Administrator whose account needs to be updated. Prior to processing this Modification Form, NASD must have a fully executed NASD Entitlement Agreement (NEA) on file for your organization. If you are not sure whether an NEA is on file for your organization, please contact the Gateway Call Center. In the event you need to execute an NEA, copies of the form and instructions for completion can be found at <http://www.nasd.com/entitlement>. 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 NASD Account Administrator Entitlement Form (AAEF) on file with NASD. 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 NASD 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 NASD 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:

Instructions: Select most applicable Job Code/Title

- President/CEO Head of Compliance Compliance Employee Head Trader Trader Head of Operations
- Operations Finance Technology Registration Management Registration Employee Executive Representative
- Other

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		https://www.webercd.com	
For - CRD Participant Firms IA-Only			
A	R	A= Add R=Remove	
Form Filing			
<input type="checkbox"/>	<input type="checkbox"/>	View Organization Information	Provides the capability to view information about your Organization.
<input type="checkbox"/>	<input type="checkbox"/>	Non-Filing Information (read only)	Provides the capability to view the Firm's Non-Filing information (contact information, trustee information, name change history, and mass transfer history).
<input type="checkbox"/>	<input type="checkbox"/>	Maintain Contact (BD Only)	Provides the capability to view & maintain the Firm's Contact information.
<input type="checkbox"/>	<input type="checkbox"/>	Maintain Firm Notification	Provides the capability to view & maintain the Firm's Notification information.
<input type="checkbox"/>	<input type="checkbox"/>	Firm Queues	Provides the capability to view Firm Notices. (Current Deficiencies, Withdrawal or Termination, SFG Retirement)
<input type="checkbox"/>	<input type="checkbox"/>	Mass Transfers	Provides the capability to prepare a Mass Transfer of individuals from one Member Firm to another without requiring U4 filings, U5 filings, or fingerprint cards submission. (NASD, RAD must initiate process)
Individual			
<input type="checkbox"/>	<input type="checkbox"/>	View Individual Information	Provides the capability to view information about individuals that have been previously employed or currently employed by your Firm.
<input type="checkbox"/>	<input type="checkbox"/>	View CHRI Information (BD Only)	Provides the capability to view an individual's Criminal History Report Information (CHRI).
<input type="checkbox"/>	<input type="checkbox"/>	Non-Filing Information	Provides the capability to view the Individual's Non-Filing information.
<input type="checkbox"/>	<input type="checkbox"/>	IARD Transition Registrations	Provides the capability to transition an existing Investment Adviser Representative's State IA Registrations.
<input type="checkbox"/>	<input type="checkbox"/>	Queue Approve/Remove All	Provides the capability to remove all items in the Firm Queues.
<input type="checkbox"/>	<input type="checkbox"/>	Firm Queues	Provides the capability to view Individual Notices. (Registrations, Disclosure, Fingerprint, Exams, CE, & Termination)
<input type="checkbox"/>	<input type="checkbox"/>	Fingerprint Status Received from FBI Queue	Provides the capability to view fingerprint statuses received from the FBI. Provides the capability to view & print Criminal History Report Information (CHRI) received from the FBI.
Form Filing			
<input type="checkbox"/>	<input type="checkbox"/>	Form U4	Provides the capability to enter Initial, Amendment, Concurrence, Page 2 for BD Schedule A or B, Relicense, and Dual Registration form filings.
<input type="checkbox"/>	<input type="checkbox"/>	Form U5	Provides the capability to enter Partial, Full and Amendment U5 form filings.
<input type="checkbox"/>	<input type="checkbox"/>	Form BD and BDW (BD Only)	Provides the capability to enter BD Amendments and Partial and Full BDW form filings.
<input type="checkbox"/>	<input type="checkbox"/>	Form BR	Provides the capability to enter & submit BR Initial, Amendment and Closing/Withdrawal form filings.
<input type="checkbox"/>	<input type="checkbox"/>	Form Non-Registered FP (BD Only)	Provides the capability to enter Non-Registered individuals fingerprint cards.
Accounting			
<input type="checkbox"/>	<input type="checkbox"/>	Accounting	Provides the capability to view your Firm's Accounting data.
Reports			
<input type="checkbox"/>	<input type="checkbox"/>	Reports	Provides the capability to access 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 NASD Entitlement Program.

Delete AA's access to the Web CRD Application.

Reason For Disabling/Deleting:

* Signature:

* Date:

(Must be signed by an AA requesting the modifications.)

*Print Name:

(Please print clearly)

Please FAX completed form to:
NASD Entitlement Group at 240.386.4669 or 240.386.4840

or mail to:

NASD Entitlement Group
9509 Key West Avenue
Rockville, Maryland 20850

Questions: Call Gateway Call Center at 301.869.6699