



NASD Account Administrator Entitlement Form (AAEF)

IA FIRM (SEC & State)

SEC IA FIRM STATE IA FIRM

IARDSM

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 entitled before 8/30/2004 making its first request after 8/30/2004 for a new or replacement AA, before you submit this AAEF, your firm must complete and mail an originally signed NASD Entitlement Agreement. The NASD Entitlement Agreement is available at <http://www.nasd.com/entitlement>.

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 NASD Entitlement Group will delete access to the IARD System for the current Primary AA's account when creating the replacement Primary AA. (You do not need to complete the NASD 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 NASD 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. A 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):

Your Investment Adviser Information

Date of Formation:
(Date officially registered as Corporation, Partnership, LLC, LLP, Sole Proprietorship, etc.)

Organization Type:
(e.g., Corp., Partnership, LLC, LLP, Sole Prop, etc.)

Place of Formation:
(State or Country)

Your Broker Dealer Information

CRD #

Date of Formation:
(Date officially registered as Corporation, Partnership, LLC, LLP, Sole Proprietorship, etc.)

Organization Type:
(e.g., Corp., Partnership, LLC, LLP, Sole Prop, etc.)

Place of Formation/Filing:
(State or Country)

Business Names

* IA Firm CRD# (if available)

* Full Legal Name:

* Primary Business Name:

Principal Office and Place of Business

* Street address:

* City: *State:
* Country: *Zip:
* Telephone Number: * Fax Number:

Contact Person

Name:
*Last *First *Middle
* Contact Title:
* Street address:

* City: *State:
* Country: *Zip:

Account Administrator

If this individual is already an entitled AA/User to an NASD Entitlement Application, check here:
Name:
(* First, Middle, Last, Suffix)
Individual CRD# (if applicable): IA Firm Employee Service Provider Rep.
* 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

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		https://www.webiard.com/iad
For - IA Firms		
IA Organization		
<input type="checkbox"/>	IA View Organization Information	Provides the capability to view information about your IA Firm.
<input type="checkbox"/>	IA Non-Filing Information	Provides the capability to view the Firm's IA Non-Filing Information.
<input type="checkbox"/>	Transitions	Provides the capability to transition state registrations and Notice Filings onto the system.
<input type="checkbox"/>	Firm Queues	Provides the capability to view Firm IA Notices.
Form Filing		
<input type="checkbox"/>	Form ADV and ADV-W	Provides the capability to enter : ADV - Initial Application and Amendments to Form ADV. ADV-W - Partial and Full form filings.
<input type="checkbox"/>	Submit Forms	Provides the capability to submit : ADV - Initial Application and Amendments to Form ADV. ADV-W - Partial and Full form filings.
Accounting		
<input type="checkbox"/>	Accounting	Provides the capability to view your Firm's IA Accounting data.
Reports		
<input type="checkbox"/>	Reports	Provides the capability to access ReportMart to retrieve your Firm's IA Reports.

* Signature: <input type="text"/>	* Date: <input type="text"/>
<i>(Must be signed by an AA or Designated IA Firm Signatory requesting an Initial or Replacement AA.)</i>	
* Print Name: <input type="text"/>	
<i>(Please print clearly)</i>	

Please FAX completed form to:
NASD Entitlement Group at 240.386.4669

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

Questions: Call Gateway Call Center at 240.386.4848



NASD Account Administrator Entitlement Form (AAEF)
CRD Participant Firm (**IA Only**)
Web CRD[®]

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 entitled before 8/30/2004 making its first request after 8/30/2004 for a new or replacement AA, before you submit this AAEF, your firm must complete and mail an originally signed NASD Entitlement Agreement. The NASD Entitlement Agreement is available at <http://www.nasd.com/entitlement>.

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 NASD 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 NASD 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 an NASD 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:

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

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 https://www.weberd.com		
For – CRD Participant Firm – IA Only		
Organization		
<input type="checkbox"/>	View Organization Information	Provides the capability to view information about your Organization.
<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"/>	Maintain Contact (BD Only)	Provides the capability to view & maintain the Firm's Contact information.
<input type="checkbox"/>	Maintain Firm Notification	Provides the capability to view & maintain the Firm's Notification information.
<input type="checkbox"/>	Firm Queues	Provides the capability to view Firm Notices. (Current Deficiencies, Withdrawal or Termination, SFG Retirement)
<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"/>	View Individual Information	Provides the capability to view information about individuals that have been previously employed or currently employed by your Firm or your Firm's Simultaneous Filing Group.
<input type="checkbox"/>	View CHRI Information (BD Only)	Provides the capability to view an individual's Criminal History Report Information (CHRI).
<input type="checkbox"/>	Non-Filing Information	Provides the capability to view the Individual's Non-Filing information.
<input type="checkbox"/>	IARD NFI Transition Registrations	Provides the capability to transition an existing Investment Adviser Representative's State IA Registrations.
<input type="checkbox"/>	Queue Approve/Remove All	Provides the capability to remove all items in the Firm Queues.
<input type="checkbox"/>	Firm Queues	Provides the capability to view Individual Notices. (Registrations, Disclosure, Fingerprint, Exams, CE, & Termination)
<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"/>	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"/>	Form U5	Provides the capability to enter Partial, Full and Amendment U5 form filings.
<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"/>	Form BR	Provides the capability to enter & submit BR Initial, Amendment and Closing/Withdrawal form filings.
<input type="checkbox"/>	Form Non-Registered FP (BD Only)	Provides the capability to enter Non-Registered individuals fingerprint cards.
Accounting		
<input type="checkbox"/>	Accounting	Provides the capability to view your Firm's Accounting data.
Reports		
<input type="checkbox"/>	Reports	Provides the capability to access ReportMart to retrieve your Firm's Reports.

* Signature:

* Date:

(Must be signed by an AA or Designated Firm Signatory requesting an Initial or Replacement AA.)

* Print Name:

(Please print clearly)

Please FAX completed form to:
NASD Entitlement Group at 240.386.4669

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

Questions: Call Gateway Call Center at 240.386.4848



NASD Entitlement Modification Form

IA FIRM
(SEC or State)

SEC IA FIRM STATE IA FIRM

IARDSM

I 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 IA Firm NASD 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 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., 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 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:

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 IARD		https://www.webiard.com/iad	
For – IA Members			
A	R	A= Add R=Remove	
Organization			
<input type="checkbox"/>	<input type="checkbox"/>	IA View Organization Information	Provides the capability to <u>view</u> information about your IA Firm.
<input type="checkbox"/>	<input type="checkbox"/>	IA Non-Filing Information	Provides the capability to <u>view</u> the Firm's IA Non-Filing Information.
<input type="checkbox"/>	<input type="checkbox"/>	Transitions	Provides the capability to <u>transition</u> state registrations and Notice Filings onto the system.
<input type="checkbox"/>	<input type="checkbox"/>	Firm Queues	Provides the capability to <u>view</u> Firm's IA Notices.
Form Filing			
<input type="checkbox"/>	<input type="checkbox"/>	Form ADV and ADV-W	Provides the capability to <u>enter</u> : ADV - Initial Application and Amendments to Form ADV. ADV-W - Partial and Full form filings.
<input type="checkbox"/>	<input type="checkbox"/>	Submit Forms	Provides the capability to <u>submit</u> : ADV - Initial Application and Amendments to Form ADV. ADV-W - Partial and Full form filings.
Accounting			
<input type="checkbox"/>	<input type="checkbox"/>	Accounting	Provides the capability to <u>view</u> your Firm's IA Accounting data.
Reports			
<input type="checkbox"/>	<input type="checkbox"/>	Reports	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 NASD Entitlement Program.
- Delete AA's access to the IARD Application.

*Reason For Disabling/Deleting:

* Signature: <input type="text"/>	* Date: <input type="text"/>
<i>(Must be signed by an AA requesting the modifications.)</i>	
*Print Name: <input type="text"/>	
<i>(Please print clearly)</i>	

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 or mail to:
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