

**Instructions for the Electronic Fingerprint Processing System (EFS)**  
**Authorized Broker-Dealer Agent Agreement**

Any agent wishing to submit Electronic Fingerprint Submissions (EFS) transmissions to FINRA's EFP System must complete the Authorized Broker-Dealer Agent Agreement.

Follow these steps when completing the form:

1. Thoroughly read the agreement and the Terms and Conditions for the use of the EFP system posted on FINRA's corporate web site at [www.finra.org](http://www.finra.org).
2. Complete the attached Authorized Broker-Dealer Agent Agreement.  
All information in the signature section of the form must be completed.  
The Authorized Agent must **sign** and **date** the form.
3. **Mail** the completed and signed Authorized Broker-Dealer Agent Agreement to the following address:

FINRA Registration and Disclosure Dept.  
Attn: EFS Coordinator  
9509 Key West Ave  
Rockville, MD 20850

Please call the Gateway Call Center at (301) 869-6699, if you have any questions regarding this form. Thank you.



## **FINRA Electronic Fingerprint Processing System Authorized Broker-Dealer Agent Agreement**

The Financial Industry Regulatory Authority, FINRA, operates the FINRA Electronic Fingerprint Processing (EFP) System to facilitate electronic submission of fingerprints to the Federal Bureau of Investigation (FBI) consistent with FINRA's role as a channeling agent for securities industry personnel required to be fingerprinted under the Securities Exchange Act of 1934. Authorized participants may electronically submit fingerprints to FINRA's EFP System using a certified electronic fingerprint system.

1. I certify that I have been authorized as an agent by one or more broker-dealer participants to make electronic fingerprint submissions on the firm's behalf, and will meet all legal and technical requirements imposed by FINRA before I make electronic fingerprint submissions on the firm's behalf. My use of FINRA's EFP System does not transfer to me any rights in FINRA systems or databases, including, without limitation, the EFP System.
2. I agree to any and all applicable Terms and Conditions posted on FINRA's corporate web site at [www.finra.org](http://www.finra.org), without modification, including terms and conditions specific to the electronic submission and processing of fingerprints and the general FINRA corporate web site Terms and Conditions ("General Terms"). I acknowledge that FINRA reserves the right, at its sole discretion, to modify the Terms and Conditions for use of the EFP System at any time by changing applicable agreements or Terms and Conditions, and any changes are effective immediately. Any such changes will be displayed on FINRA's corporate web site and my continued use of the EFP System constitutes my acceptance of the changes. Terms and Conditions are incorporated into this agreement by reference and will be provided to me upon request.
3. I acknowledge and agree that if I, as an authorized agent of the broker-dealer, submit data via the EFP system, I assume full responsibility for all such filings submitted and FINRA has no obligation to control, redact, correct, remove or otherwise edit or oversee my submission of information and use of the System functions. Therefore, I agree to indemnify and hold FINRA harmless from any third party claim arising from my use of the EFP System. I agree to submit fingerprints only on behalf of broker-dealers that have executed an EFP Participant Agreement.
4. I hereby acknowledge that FINRA reserves the right at its sole discretion to prohibit me from further use of the EFP System upon notice from FINRA.

By signing below, I certify that I have read and understand all of the terms set forth above and intend to form a binding agreement with FINRA on those terms. If I am accepting this agreement on behalf of an organization, I certify that I have the authority of that organization to enter into this agreement.

\_\_\_\_\_  
Signature of Authorized Agent

\_\_\_\_\_  
Printed Name of Authorized Signatory

\_\_\_\_\_  
Company Name (if different than Name above)

\_\_\_\_\_  
Contact Phone Number

\_\_\_\_\_  
Date