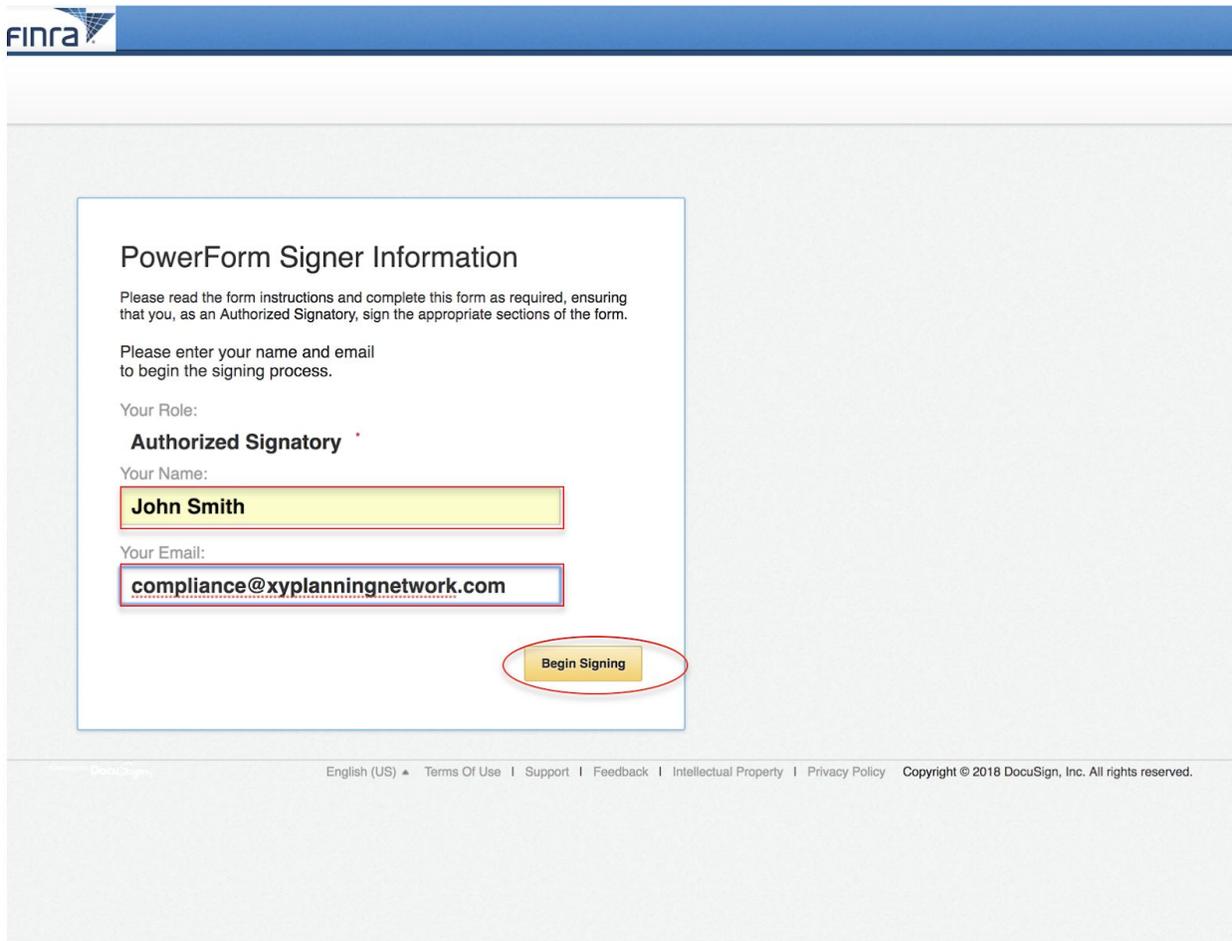


In order to begin the initial registration process, you will need have Super Account Administrator (SAA) access to the FINRA Firm Gateway. Here are the instructions for completing and submitting the SAA Entitlement Form:

- 1) The form can be accessed at this link:
<https://na2.docusign.net/Member/PowerFormSigning.aspx?PowerFormId=9642f3c1-41d0-40a4-8322-7bee7f9ac358>
- 2) You will need to enter your name and email address to receive your access code:



FINRA

PowerForm Signer Information

Please read the form instructions and complete this form as required, ensuring that you, as an Authorized Signatory, sign the appropriate sections of the form.

Please enter your name and email to begin the signing process.

Your Role:
Authorized Signatory

Your Name:
John Smith

Your Email:
compliance@xyplanningnetwork.com

Begin Signing

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3) The access code will be sent to the email address that you provide.

FINRA

Please enter the access code to view the document

Keaba Sayeh
Financial Industry Regulatory Authority, Inc.

An email has just been sent to your email address with a special validation code in it. To proceed to sign your documents please open your email, and enter the code into the box below. Keep this browser window open while you get your email.

Access Code

[Show Text](#) [VALIDATE](#) [I NEVER RECEIVED AN ACCESS CODE](#)

Email Validation: Please DocuSign - New Organization SAA Form John Smith

Keaba Sayeh via DocuSign <dse_na2@docuSign.net> to me

9:07 AM (10 minutes ago)

FINRA

Signing validation code **2116e0fd**

[RESUME SIGNING](#)

Copy and enter the validation code into the access page to continue signing.
If you did not start signing Please DocuSign - New Organization SAA Form John Smith, please contact support.

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FINRA

Please enter the access code to view the document

Keaba Sayeh
Financial Industry Regulatory Authority, Inc.

An email has just been sent to your email address with a special validation code in it. To proceed to sign your documents please open your email, and enter the code into the box below. Keep this browser window open while you get your email.

Access Code

[Show Text](#) [VALIDATE](#) [I NEVER RECEIVED AN ACCESS CODE](#)

4) After validating your access code, you will be directed to the disclosure.

Please Review & Act on These Documents

 **Keaba Sayeh**
Financial Industry Regulatory Authority, Inc.



Please check your email for an Access Code which you will need to access the New Organization SAA Form.

Please read the [Electronic Record and Signature Disclosure](#).
 I agree to use electronic records and signatures.

CONTINUE OTHER ACTIONS ▾

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FINRA
Financial Industry Regulatory Authority

New Organization Agreement Instructions

New Organization Super Account Administrator (SAA) & FINRA Entitlement Agreement (FEA) Instructions

Use this form when your Organization is:

- 1) New and requires access to systems owned or maintained by FINRA
- 2) An existing Investment Adviser (IA) firm that has not yet filed its initial Form ADV and needs to replace its SAA
- 3) An existing Investment Adviser (IA) firm applying to be a broker-dealer firm
- 4) An existing BD/CAB firm applying to be a joint BD/IA or CAB/IA firm
- 5) An existing Relying Adviser firm applying to be an IA firm - Note: Use your Relying Adviser Organization ID#

Note: To modify contact information on your Organization's SAA, or to replace your SAA, contact FINRA to request an Update/Replace SAA Agreement.

This form has two versions -- Form A and Form B. Complete only one form.

Form A - Use this form when the person signing this form meets the Authorized Signatory Requirements below and the SAA who is being designated by your Organization is a person different from the person who signs this form.

Form B - Use this form when the person signing this form is designating himself/herself as the SAA for your Organization. This form typically is used when: 1) the Organization is a sole proprietorship; 2) due to unusual circumstances such as illness or travel, at the time the form is completed, the Organization has no other person authorized to sign the form other than the person being designated as the SAA (FINRA will verify); or, 3) the Authorized Signatory is someone who is authorized to execute this agreement on behalf of the Organization but does not meet the Authorized Signatory Requirements below.

Authorized Signatory Requirements:

- **Broker-Dealer (BD) and CAB Firms:** An Authorized Signatory is the Chief Compliance Officer (CCO) or authorized officer (or other authorized person) who is currently listed on Schedule A of the Organization's Form BD.
- **Investment Adviser Firms:** An Authorized Signatory is the Chief Compliance Officer (CCO), Additional Regulatory Contact (ARC) or authorized officer (or other authorized person) who is currently listed on Schedule A of the Organization's Form ADV.
- **Regulators:** An Authorized Signatory is the Securities Commissioner, Chief Regulatory Officer or other Authorized Signatory.

Note that an SAA is formally delegated the authority by the organization submitting this form to perform the SAA responsibilities on the organization's behalf. Refer to the Super Account Administrator Quick Reference Guide available from www.finra.org/entitlement for more information on the responsibilities of the SAA. Following FINRA processing, a confirmation email is sent to the person who

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Please Review & Act on These Documents

 **Keaba Sayeh**
Financial Industry Regulatory Authority, Inc.



Please check your email for an Access Code which you will need to access the New Organization SAA Form.

Please read the [Electronic Record and Signature Disclosure](#).
 I agree to use electronic records and signatures.

CONTINUE OTHER ACTIONS ▾

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FINRA
Financial Industry Regulatory Authority

New Organization Agreement Instructions

New Organization Super Account Administrator (SAA) & FINRA Entitlement Agreement (FEA) Instructions

Use this form when your Organization is:

- 1) New and requires access to systems owned or maintained by FINRA
- 2) An existing Investment Adviser (IA) firm that has not yet filed its initial Form ADV and needs to replace its SAA
- 3) An existing Investment Adviser (IA) firm applying to be a broker-dealer firm
- 4) An existing BD/CAB firm applying to be a joint BD/IA or CAB/IA firm
- 5) An existing Relying Adviser firm applying to be an IA firm - Note: Use your Relying Adviser Organization ID#

Note: To modify contact information on your Organization's SAA, or to replace your SAA, contact FINRA to request an Update/Replace SAA Agreement.

This form has two versions -- Form A and Form B. Complete only one form.

Form A - Use this form when the person signing this form meets the Authorized Signatory Requirements below and the SAA who is being designated by your Organization is a person different from the person who signs this form.

Form B - Use this form when the person signing this form is designating himself/herself as the SAA for your Organization. This form typically is used when: 1) the Organization is a sole proprietorship; 2) due to unusual circumstances such as illness or travel, at the time the form is completed, the Organization has no other person authorized to sign the form other than the person being designated as the SAA (FINRA will verify); or, 3) the Authorized Signatory is someone who is authorized to execute this agreement on behalf of the Organization but does not meet the Authorized Signatory Requirements below.

Authorized Signatory Requirements:

- **Broker-Dealer (BD) and CAB Firms:** An Authorized Signatory is the Chief Compliance Officer (CCO) or authorized officer (or other authorized person) who is currently listed on Schedule A of the Organization's Form BD.
- **Investment Adviser Firms:** An Authorized Signatory is the Chief Compliance Officer (CCO), Additional Regulatory Contact (ARC) or authorized officer (or other authorized person) who is currently listed on Schedule A of the Organization's Form ADV.
- **Regulators:** An Authorized Signatory is the Securities Commissioner, Chief Regulatory Officer or other Authorized Signatory.

Note that an SAA is formally delegated the authority by the organization submitting this form to perform the SAA responsibilities on the organization's behalf. Refer to the Super Account Administrator Quick Reference Guide available from www.finra.org/entitlement for more information on the responsibilities of the SAA. Following FINRA processing, a confirmation email is sent to the person who

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5) After agreeing to the disclosure terms, you will be given access to the form. The form will provide a navigation button on the left side of the page to take you to the next section of the form that requires completion. (The “Start” button will be displayed first.)

Please review the documents below. FINISH OTHER ACTIONS ▾

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START  Financial Industry Regulatory Authority

New Organization Super Account Administrator (SAA) & FINRA Entitlement Agreement (FEA) Instructions

Use this form when your Organization is:

- 1) New and requires access to systems owned or maintained by FINRA
- 2) An existing Investment Adviser (IA) firm that has not yet filed its initial Form ADV and needs to replace its SAA
- 3) An existing Investment Adviser (IA) firm applying to be a broker-dealer firm
- 4) An existing BD/CAB firm applying to be a joint BD/IA or CAB/IA firm
- 5) An existing Relying Adviser firm applying to be an IA firm - Note: Use your Relying Adviser Organization ID#

Note: To modify contact information on your Organization's SAA, or to replace your SAA, contact FINRA to request an Update/Replace SAA Agreement.

This form has two versions -- Form A and Form B. Complete only one form.

Form A - Use this form when the person signing this form meets the Authorized Signatory Requirements below and the SAA who is being designated by your Organization is a person different from the person who signs this form.

Form B - Use this form when the person signing this form is designating himself/herself as the SAA for your Organization. This form typically is used when: 1) the Organization is a sole proprietorship; 2) due to unusual circumstances such as illness or travel, at the time the form is completed, the Organization has no other person authorized to sign the form other than the person being designated as the SAA (FINRA will verify); or, 3) the Authorized Signatory is someone who is authorized to execute this agreement on behalf of the Organization but does not meet the Authorized Signatory Requirements below.

Authorized Signatory Requirements:

- **Broker-Dealer (BD) and CAB Firms:** An Authorized Signatory is the Chief Compliance Officer (CCO) or authorized officer (or other authorized person) who is currently listed on Schedule A of the Organization's Form BD.
- **Investment Adviser Firms:** An Authorized Signatory is the Chief Compliance Officer (CCO), Additional Regulatory Contact (ARC) or authorized officer (or other authorized person) who is currently listed on Schedule A of the Organization's Form ADV.
- **Regulators:** An Authorized Signatory is the Securities Commissioner, Chief Regulatory Officer or other Authorized Signatory.

Note that an SAA is formally delegated the authority by the organization submitting this form to perform the SAA responsibilities on the organization's behalf. Refer to the Super Account Administrator Quick Reference Guide available from www.finra.org/entitlement for more information on the responsibilities of the SAA. Following FINRA processing, a confirmation email is sent to the person who signed the form and to the SAA.

An asterisk (*) indicates a required field. Complete all required fields and follow Authorized Signatory requirements or the form will not be processed.

How To Submit this Form:

You may execute this FINRA Entitlement Agreement by completing all required sections and either: a) submit via DocuSign, or use another electronic signature (as defined in 15 U.S.C. § 7006) on condition that (i) you must have in place a technical or technical...

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6) For all firms when you are designating yourself as the SAA, and no other authorized signatory is present, you will select Form B. Then, select "Next".

Select one radio button

FINISH OTHER ACTIONS ▾

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Question 1: Are you authorized to sign this agreement on behalf of your firm?

Yes No

Question 2: Are you the designated Super Account Administrator (SAA) on this agreement?

Yes No

Complete [Form A](#) if you answered:

- Yes to Question 1 and No to Question 2.

Complete [Form B](#) if you answered:

- No to Question 1, OR
- Yes to Question 1 and Yes to Question 2.

Complete only one form.

Based on the two questions above, I will be completing:

Form A Form B

NEXT

New SAA Agreement Instructions Ver. 4 – 1/23/2018 Page 2 of 2

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7) The form will then allow you to enter your firm's name, address, phone number, organization type, and your information as the SAA.

Enter text FINISH OTHER ACTIONS ▾

New SAA/FEA Form Ver. 4 – 1/23/2018 Page 2 of 2

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DocuSign Envelope ID: 4948F667-0FAB-47B0-91D9-ADFB0D13B108 New Organization Form – B

Form B New Organization Super Account Administrator (SAA) Form & FINRA Entitlement Agreement (FEA)

Section 1 – Organization Information

Organization ID # (if available):

Organization Legal Name:

Primary Business Name:

Please select Organization Type:
-- select --

By selecting Joint BD/IA, you affirm that both firms are truly one legal entity, sharing the same ownership and control.

Broker-Dealers/Capital Acquisition Brokers:
Will a Service Provider be transmitting OATS data on your firm's behalf? Yes No

Principal Office and Place of Business

Address:

City: State/Province:

Country: Zip/Postal Code:

Phone Number:

Section 2 – SAA Designation

First Name: MI: Last Name: Suffix:

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Select an option from the list FINISH OTHER ACTIONS ▾

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DocuSign Envelope ID: 4948F667-0FAB-47B0-91D9-ADFB0D13B108 New Organization Form – B

Form B New Organization Super Account Administrator (SAA) Form & FINRA Entitlement Agreement (FEA)

Section 1 – Organization Information

Organization ID # (if available):

Organization Legal Name:

Primary Business Name:

Please select Organization Type:
Required - Form B - Organization Type

- select --
- Broker-Dealer (BD) – Registration with FINRA
- Broker-Dealer (BD) – Registration with SRO (other than FINRA)
- Broker Dealer (BD) – Registration with FINRA as Capital Acquisition Broker (CAB)
- Investment Adviser (IA)
- Joint Broker-Dealer/Investment Adviser (BD/IA)
- Regulator

By selecting Joint BD/IA, you affirm that both firms are truly one legal entity, sharing the same ownership and control.

Principal Office and Place of Business

Address:

City: State/Province:

Country: Zip/Postal Code:

Phone Number:

Section 2 – SAA Designation

First Name: MI: Last Name: Suffix:

Email:

Phone Number:

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Section 1 – Organization Information

Organization ID # (if available):

Organization Legal Name:

Primary Business Name:

Please select Organization Type:

By selecting Joint BD/IA, you affirm that both firms are truly one legal entity, sharing the same ownership and control.

Broker-Dealers/Capital Acquisition Brokers:
 Will a Service Provider be transmitting OATS data on your firm's behalf? Yes No

Principal Office and Place of Business

Address:

City: State/Province:

Country: Zip/Postal Code:

Phone Number:

Section 2 – SAA Designation

First Name: MI: Last Name: Suffix:

Email:

Phone Number:

Section 3 – Agreement and Signature

FINRA Entitlement Agreement

I, (name), (title) hereby acknowledge and agree that I am an individual legally authorized to act for and on behalf of the organization identified in Section 1 of this Agreement ("Organization") and that I am authorized to execute this agreement on behalf of that Organization.

I acknowledge and agree that my Organization designated the individual identified in Section 2 to act as a Super Account Administrator ("SAA") for the purposes of accessing certain systems owned or operated by FINRA. I further acknowledge and agree that the designated SAA, on behalf of the Organization, will ensure only authorized employees of the Organization are granted entitlement to view the data within those systems. In the event the SAA terminates employment or otherwise has its authority rescinded by the Organization, a replacement SAA will be promptly appointed. I further acknowledge and agree that the systems that I or my Organization may access may contain personal and/or confidential information pertaining to my Organization or my Organization's customers that must be safeguarded from loss.

NEXT

8) For the question a, the answer is generally: "Organization has no other person authorized to sign the form other than the person being designated as the SAA."

9) For question b, the answer is generally: "I am the Chief Compliance Officer (CCO) of the investment adviser firm."

Enter email address FINISH OTHER ACTIONS ▾

cal copies of such information and generally ensuring compliance with appropriate state or federal laws pertaining to information security.

I acknowledge and agree that my Organization and the designated SAA for my Organization are solely responsible for obtaining, distributing, revoking and monitoring Account Administrator (AA) and User entitlements granted by my Organization. I further acknowledge and agree that my Organization assumes full responsibility for such entitlements and actions.

All applications, materials and services for which entitlements are hereby granted are governed by the FINRA Entitlement Program Terms of Use and can be found at www.finra.org/entitlement/termsfuse. I hereby acknowledge that I have read and agree to bind my Organization and employees to the FINRA Entitlement Program Terms of Use without exception, alteration or addition thereto. FINRA may revise the FINRA Entitlement Program Terms of Use from time to time in its sole discretion. I assume the obligation and responsibility to periodically review the current FINRA Entitlement Program Terms of Use. Use of the systems accessed by the Organization and the Organization's SAA and AA(s) after modification of the FINRA Entitlement Program Terms of Use constitutes my Organization's renewed agreement to the FINRA Entitlement Program Terms of Use as modified.

If you are duly authorized by the Organization to execute this Agreement, I certify under penalty of perjury under the laws of the United States of America, 18 U.S.C. § 1746, that the foregoing information provided by me on behalf of the Organization is true and correct to the best of my knowledge, information and belief and that I am legally authorized to make the foregoing certification on behalf of the Organization.

Please answer the two questions below:

a. Explain why another Authorized Signatory is not available to execute this Agreement:

Organization has no other person authorized to sign the form other than the person being designated as the SAA.

b. Explain your authority to act on behalf of the Organization:

I am the Chief Compliance Officer (CCO) of the investment adviser firm.

Sign

Authorized Signatory's Signature: _____

Title:

Print Name:

Email:

Executed on:

Note: The email address provided by an Organization's Authorized Signatory must match the email address that will be filed in CRD, IARD or on the FINRA Contact System.

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10) Once all of the fields have been completed, you will be able to digitally sign the form by selecting the “Authorized Signatory’s Signature” line.

11) You will then be asked to create your digital signature.

12) Once the form has been signed with your digital signature, you can select “Finish” to submit the form.

Done! Select Finish to send the completed document. FINISH OTHER ACTIONS ▾

designated as the SAA.

b. Explain your authority to act on behalf of the Organization:

I am the Chief Compliance Officer (CCO) of the investment adviser firm.

Authorized Signatory's Signature: DocuSigned by:
John Smith
BFD75E9E174440

Title:

Print Name:

Email:

Executed on:

Note: The email address provided by an Organization's Authorized Signatory must match the email address that will be filed in CRD, IARD or on the FINRA Contact System.

New SAA/FEA Form Ver. 4 – 1/23/2018 Page 2 of 2

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FINISH

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13) If you are not able to complete the form in one sitting, you can select the option “Finish Later” from the “Other Actions” menu at the top right corner of the page.

The screenshot shows a DocuSign document completion interface. At the top, a blue bar contains the text "Done! Select Finish to send the completed document." and two buttons: "FINISH" and "OTHER ACTIONS". The "OTHER ACTIONS" button is highlighted with a red box. A dropdown menu is open from the "OTHER ACTIONS" button, listing several options: "Finish Later", "Print & Sign", "Assign to Someone Else", "Decline to Sign", "Help & Support", "About DocuSign", "View History", "View Certificate (PDF)", "View Electronic Record and Signature Disclosure", and "Session Information". The "Finish Later" option is highlighted in blue. The main document area shows a form with fields for "Authorized Signatory's Signature" (with a signature of John Smith), "Title" (Owner and CCO), "Print Name" (John Smith), "Email" (example@xyplanningnetwork.com), and "Executed on" (March 6, 2018). A note at the bottom of the form states: "Note: The email address provided by an Organization's Authorized Signatory must match the email address that will be filed in CRD, IARD or on the FINRA Contact System." The footer of the document includes "New SAA/FEA Form Ver. 4 - 1/23/2018", "Page 2 of 2", and "2018-01-23 - SAA New Org Form (DocuSign Version).docx". At the bottom of the page, there is a "FINISH" button and a footer with "Powered by DocuSign", "Change Language - English (US)", "Terms Of Use & Privacy", and "Copyright © 2018 DocuSign Inc. | v2R".