

FINRA Member Application Program (MAP) – File Naming Guidelines

In an effort to process all applications as efficiently as possible, MAP requests that all applicants completing Form New Member Applications (NMAs) and Continuing Member Applications (CMAs) follow the below suggested naming guidelines when uploading response letters and other documents to FINRA Gateway.

Guidance for All Documents – When providing a response to a request for information, incorporate into the document questions from FINRA staff prior to providing your firm’s response.

When amending any previously submitted documents, use the original file name and note that it has been updated (capitalized) and the date on which the file was updated.

- **Guideline** – Original File Name, UPDATED, Month.Date.Year of the Document
- **Example 1** – LLC Agreement of ABC Financial UPDATED 2.14.22

Initial and Additional Response Letters – File response letters under Standard 1 and include the firm name and date of the response letter:

- **Guideline** – Firm Name, Response Letter, Month.Date.Year of the Document
- **Example 1** – ABC Financial Initial Response Letter 5.1.22
- **Example 2** – ABC Financial Additional Response Letter 7.1.22

Bank Statements – Include the applicant’s, associated entity’s or individual’s name, bank name, last four digits of account number and date of document.

- **Guideline** – Firm or Associated Entity’s or Individual’s Name, Bank Name, Last Four Digits of Account Number, Month.Date.Year of the Document
- **Example 2** – ABC Financial National Bank 1234 4.30.22

Other Types of Documents – Use a descriptive name of the document that allows MAP to understand the nature and content of the document and the date the document was created.

- **Guideline** – Descriptive Name of Document, Month/Date/Year of the Document
- **Example 1** – LLC Agreement of ABC Financial 01.10.22
- **Example 2** – Organization Chart of ABC Financial Affiliated Entities 5.1.22
- **Example 3** – Pre-Ownership Change Org Chart ABC Bank 5.1.22

Exhibits – Follow instructions under Other Types of Documents above and add in front of the name “Exhibit” with its name or number.

- **Guideline** – Exhibit X – Title of Exhibit, Month.Date.Year of the Document
- **Example 1** – Exhibit A – LLC Agreement of ABC Financial UPDATED 2.14.22
- **Example 2** – Exhibit B – Pre-Ownership Change Org Chart ABC Bank 5.1.22