

**ATTACHMENT B
TO VENDOR AGREEMENT**

Once approved by FINRA, this Attachment B shall be deemed to be incorporated into the Vendor Agreement executed by the undersigned Vendor. Capitalized terms used herein have the meanings given in the Vendor Agreement.

You may type the information requested directly on this form. Be sure to electronically save this file in order to retain your firm-specific information.

Please submit the completed form to:

FINRA - TRACE Data Services
TRACEDataServices@finra.org

1. IDENTIFY THE FEED(S) SELECTION(S):

BTDS ATDS SPDS 144A

2. FIRM INFORMATION

(a) Name of Your Firm ("Vendor"):

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(b) Is Your Firm a FINRA Member Firm?

YES NO

If Yes, provide your CRD Number:

(c) Installation Address:

Street Address:	
City:	State/Province:
Postal Code:	Country:

(d) Disaster Recovery Facility/Alternate Installation Address:

Street Address:	
City:	State/Province:
Postal Code:	Country:

(e) Billing Address (if different than installation address):

Street Address:	
City:	State/Province:
Postal Code:	Country:

(f) Primary Contact:

Phone Number:

E-Mail Address:

Installation Address Billing Address

(g) Billing Contact:

Phone Number:

E-Mail Address:

Installation Address Billing Address

(h) Technical Contact:

Phone Number:

E-Mail Address:

Installation Address Billing Address

(i) Reporting Contact:

Phone Number:

E-Mail Address:

Installation Address Billing Address

3. DATA ACCESS

(a) Name of Primary Datafeed Provider:

(b) Name of Back-up Datafeed Provider:

4. DATA USE

(a) INTERNAL USE

(1) Check all that apply:

Disaster Recovery/Back-Up	<input type="checkbox"/>
Display Application	<input type="checkbox"/>
Internal System, Non-Display Use	<input type="checkbox"/>
Derivative Products (for example indices)	<input type="checkbox"/>
Other (specify)	<input type="checkbox"/>

(2) Describe your product(s)/service(s):

(3) Identify the provider(s) of the entitlement system(s) used to control distribution of BTDS, ATDS, SPDS, and 144A Information and Data (as applicable) to your Display Application users. Enter "proprietary" if your firm provides the system.

(4) Does your datafeed/network system provide an audit trail, identifying each entitlement transaction (additions or deletions)?

Yes No

(5) The Vendor Agreement requires that Audit Trail Reports be maintained on file for the Audit Period. Does your firm have this capability?

Yes No

(b) EXTERNAL USE

(1) CONTROLLED DISTRIBUTION FORMAT -- DISPLAY APPLICATION/DESKTOP RETRANSMISSION¹

(A) Name of the product(s)/service(s) your firm will provide to your external Subscribers which incorporates, is related to or which is based upon the BTDS, ATDS, SPDS, and 144A Information and Data (if utilizing BTDS, ATDS, SPDS, and 144A, describe all):

¹ For distribution of Information and Data to professionals only. For distribution of Information and Data to non-professionals for personal, non-commercial use, please contact TRACE Data Services.

(B) Describe your product(s)/service(s):

(C) Describe the delivery method of this product(s)/services(s):

(D) Identify the provider(s) of the entitlement system(s) used to control distribution of BTDS, ATDS, SPDS, and 144A Information and Data (as applicable) to your Display Application Subscribers (enter "proprietary" if your firm provides system).

(E) Identify the location of where entitlement control will take place and where entitlement database is stored (including who controls entitlement device).

(F) How will Display Application entitlement be controlled?

- | | | | | |
|-----------------------------|-----|--------------------------|----|--------------------------|
| (i) Terminal ID basis | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> |
| (ii) User ID/Password basis | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> |
| (iii) Other: | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> |

- Each user must have a separate and unique ID/password or TID that is not shared.
- The system will not allow simultaneous access to Information and Data by the same user ID/password or TID.

- The system must have the ability to generate entitlement reports that show those users that are entitled, and those that are not entitled to receive a specific data provider's data.

(G) Does your datafeed/network system provide an audit trail, identifying each entitlement transaction (additions or deletions)?

Yes No

(H) Do your systems/procedures prevent the unauthorized use or concurrent sharing of IDs?

Yes No

(I) The Vendor Agreement requires that Audit Trail Reports be maintained on file for the Audit Period. Does your firm have this capability?

Yes No

(J) How will this data be maintained?

Hard Copy Electronic File

Other

(K) DISPLAY SAMPLES:

Proposed display samples showing how your firm will display the Information and Data to external Subscribers must be submitted. The Display Requirements can be located on the Website, or are available by contacting (888) 507-3665. If the display samples are not received, FINRA cannot process your application.

Check here to acknowledge that your firm has included the required screen samples with this application.

Yes No

(L) Will your firm provide Information and Data on a delayed basis?

Yes No

If yes, provide the actual text of your delay message that will be displayed to your customers:

(2) CONTROLLED DISTRIBUTION FORMAT -- SNAPSHOT RETRANSMISSION (IF APPLICABLE)

(a) Name of the product(s)/service(s) your firm will provide to your external Subscribers which incorporates, is related to, or which is based upon the Snapshot Information and Data:

(b) Describe your product(s)/service(s):

(c) Describe the delivery method of this product(s)/services(s):

(d) Identify and describe the entitlement system and/or access controls for Snapshot Distribution (access is restricted only to customers that have executed a Subscriber Agreement):

(e) Does your network system provide an audit trail, identifying each entitlement transaction (additions or deletions)?

Yes No

(f) Vendors are required to submit monthly reports indicating the number of subscriptions and names of the organization(s) entitled to access the Snapshot Data. The Vendor Agreement requires that Audit Trail Reports be maintained on file for the Audit Period. Does your firm have this capability?

Yes No

(g) How will this data be maintained?

Hard Copy Electronic File

Other

(3) UNCONTROLLED DISTRIBUTION FORMAT -- DATA FEED/FTP/API RETRANSMISSION (IF APPLICABLE)

(A) Name of the product(s)/service(s) your firm will provide to your Clients which incorporates, is related to or which is based upon the BTDS, ATDS, SPDS and 144A Information and Data (as applicable):

(B) Describe your product(s)/service(s):

(C) Describe the delivery method of this product(s)/services(s):

(D) Prior to permissioning a Client to receive Information and Data in an Uncontrolled Distribution Format (e.g., a Data Feed, FTP or API Retransmission), a Vendor is required to obtain a copy of an approval letter issued by FINRA (Original Approval Letter is issued to the recipient of the Data Feed). Do your access or distribution controls have the capability to prevent unauthorized data access from non-approved Clients?

Yes No

(E) Vendors are required to Audit Trail Reports indicating the number and recipients of permissioned data feeds. The Vendor Agreement requires that Audit Trail Reports be maintained on file for the Audit Period. Does your firm have this capability?

Yes No

(F) Compliance with the requirements of Section 4 of the Vendor Agreement is required.

Acknowledged

Vendor certifies that the information provided on this **Attachment B** is true and accurate.

VENDOR:

Signature of authorized representative of Vendor

Name

Title

Date