

AMENDMENT TO THE FINRA PARTICIPATION AGREEMENT v. 1.3

THIS AMENDMENT TO THE FINRA PARTICIPATION AGREEMENT is entered into by and between _____ [*Firm Name*], a _____ [*place of incorporation and type of entity (i.e. corporation, LLC, Partnership, etc.)*] with a principal place of business at _____ [*address*] and MPID(s) _____ and CRD Number _____ ("Participant") and Financial Industry Regulatory Authority, Inc., a Delaware corporation ("FINRA").

RECITALS

WHEREAS, Participant and FINRA are parties to a FINRA Participation Agreement (the "Agreement") and;

WHEREAS, Participant and FINRA wish to amend the Agreement as set forth herein;

NOW, THEREFORE, in consideration of the mutual covenants and promises contained herein, the parties hereto agree as follows:

1. Participant hereby requests that its FINRA Participation Agreement be amended in accordance with the information provided below:
 - a. Participant requests that the following Products be **INCLUDED** as part of its Agreement (*Initial all that apply*):

☐ ADF (*Alternative Display Facility*)

Check One: ____ Market Maker ____ ECN ____ Trade Reporting Only

Clearing Firm Name: _____

NSCC Clearing #: _____ Default Clearing: ____ Yes ____ No

☐ TRACE (*Trade Reporting and Compliance Engine*)

Check applicable: ____ Corporate/Agency Debt ____ Securitized Products

☐ ORF (*OTC Reporting Facility*)

Clearing Firm Name: _____

NSCC Clearing #: _____ Default Clearing: ____ Yes ____ No

- b. Participant requests that the following Products be **DELETED** from its Agreement
(Initial all that apply):

☐ ADF (*Alternative Display Facility*)

☐ TRACE (*Trade Reporting and Compliance Engine*)

Initial applicable: _____Corporate/Agency Debt _____Securitized Products

☐ ORF (*OTC Reporting Facility*)

- c. Participant requests that the contact Information in *Section 32* be **UPDATED** as follows:

- i. *For billing purposes:*

ADF (*Alternative Display Facility*):

Name: _____

Title: _____

Address: _____

Phone #: _____

Fax #: _____

Email: _____

TRACE (*Trade Reporting and Compliance Engine*):

Name: _____

Title: _____

Address: _____

Phone #: _____

Fax #: _____

Email: _____

ORF (*OTC Reporting Facility*):

Name: _____

Title: _____

Address: _____

Phone #: _____

Fax #: _____

Email: _____

ii. *For all purposes other than billing:*

Name/Title: _____

Address: _____

Phone/Fax #: _____

Email: _____

2. All other terms and conditions of the Agreement remain unchanged.

IN WITNESS WHEREOF, the parties have executed this Amendment as of the day and year last written below.

*By my signature below, I hereby represent that I have the proper authority to make the changes requested above.
I further acknowledge and agree that that this form is governed by the FINRA Participation Agreement and
request that FINRA make the above reference changes to that Agreement and to my FINRA account.*

By: _____
(Name of Participant)

Signature: _____

Name/Title: _____
(Name of Authorized Officer)

Title: _____

Date: _____

Agreed to by FINRA:

Signature: _____

Name: _____

Title: _____

Date: _____