



**AMENDMENT TO THE FINRA PARTICIPATION AGREEMENT v. 1.3a**

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: \_\_\_\_\_

NSSC 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: \_\_\_\_\_

NSSC 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: \_\_\_\_\_