

**FINRA TRANSPARENCY SERVICES**  
**UNIFORM REPORTING AGREEMENT**

This Uniform Reporting Agreement (“Agreement”) is for use by a FINRA member (“Participant”) to authorize another FINRA member (“Reporting Participant”) to report trades on its behalf to a FINRA facility identified on Attachment A hereto as an “Approved Facility.”

1. By executing this Agreement, the undersigned Participant hereby:
  - a. authorizes the Reporting Participant identified below to add to or delete from the list of Approved Facilities attached hereto at Attachment A at any time and without Participant’s prior knowledge and/or approval; and
  - b. accepts and approves all trade reports and will be responsible for all trades submitted to the Approved Facilities on the Participant’s behalf by the Reporting Participant identified below.
2. By executing this Agreement, the undersigned Reporting Participant agrees:
  - a. to report trades to the Approved Facilities on behalf of the Participant; and
  - b. to observe and comply with the provisions of this Agreement, any agreements relating to the trades reported to the Approved Facilities, any other agreements relating to the Approved Facilities and all applicable rules, including but not limited to FINRA trade reporting rules, in submitting trade information to the Approved Facilities on the Participant’s behalf; and
  - c. that the Reporting Participant shall not report on behalf of or provide access to the Approved Facilities to any individual or entity that has not executed the appropriate documentation.

PARTICIPANT AND REPORTING PARTICIPANT (THE “PARTIES”) HEREBY ACKNOWLEDGE AND AGREE THAT FINRA AND THE APPROVED FACILITIES ARE THIRD PARTY BENEFICIARIES OF THIS AGREEMENT AND THAT FINRA AND THE APPROVED FACILITIES HAVE RELIED ON THE STATEMENTS AND OBLIGATIONS OF THE PARTIES AS SET OUT HEREIN IN ALLOWING ACCESS TO THE APPROVED FACILITIES. IN WITNESS WHEREOF, THE PARTIES HAVE CAUSED THIS AGREEMENT TO BE EXECUTED BY THEIR DULY AUTHORIZED REPRESENTATIVES EFFECTIVE AS OF THE DATE FIRST SET FORTH BELOW.

**REPORTING PARTICIPANT**

**PARTICIPANT**

\_\_\_\_\_  
*Name of Firm*

\_\_\_\_\_  
*Name of Firm*

\_\_\_\_\_  
*MPID/Reporting Participant Symbol*

\_\_\_\_\_  
*MPID/Participant Symbol*

\_\_\_\_\_  
*CRD Number*

\_\_\_\_\_  
*CRD Number*

\_\_\_\_\_  
*Signature*

\_\_\_\_\_  
*Signature*

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*Name*

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*Name*

\_\_\_\_\_  
*Title*

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*Title*

\_\_\_\_\_  
*Date*

\_\_\_\_\_  
*Date*

**ATTACHMENT A  
APPROVED FACILITIES**

<b>Name of Approved Facility</b>	<b>Date Effective</b>	<b>MPID of Reporting Participant</b>	<b>MPID of Participant</b>
<b>Alternative Display Facility (ADF)</b>			
<b>Trade Reporting and Compliance Engine (TRACE)</b>			
<b>OTC Reporting Facility (ORF)</b>			
<b>FINRA/Nasdaq Trade Reporting Facility (FINRA/Nasdaq TRF) Carteret</b>			
<b>FINRA/Nasdaq Trade Reporting Facility (FINRA/Nasdaq TRF) Chicago</b>			
<b>FINRA/NYSE Trade Reporting Facility (FINRA/NYSE TRF)</b>			