

**FINRA TRANSPARENCY SERVICES  
SERVICE BUREAU ACCESS AUTHORIZATION**

By executing this Service Bureau Access Authorization ("**Authorization**"), the undersigned Service Bureau requests Financial Industry Regulatory Authority, Inc. ("**FINRA**") to authorize Service Bureau to access one or more of the Facilities (defined below) in order for Service Bureau to provide transaction reporting, quotation or connectivity services or any other functionality supported by the Facilities ("**Services**") to FINRA members or other persons or entities participating in the Facilities ("**Participants**").

"**Facilities**" means market transparency facilities operated by or on behalf of FINRA, and any data, functionality, applications or APIs available as part of such facilities. The Facilities include without limitation the Alternative Display Facility (ADF), the OTC Reporting Facility (ORF), the Securities Lending and Transparency Engine (SLATE), and the Trade Reporting and Compliance Engine (TRACE).

In exchange for such authorization, Service Bureau hereby agrees as follows:

1. Service Bureau may only access and use the Facilities to the extent necessary to provide Services to Participants and shall comply with all reasonable security specifications and requirements of FINRA. Service Bureau shall not provide access to the Facilities to any third party other than a Participant and shall not access or use the Facilities for any other purpose (including Service Bureau's internal use).
2. Service Bureau shall: (a) use commercially reasonable efforts to ensure that no viruses, worms or other malicious code ("**Viruses**") are transmitted from its systems to the Facilities or FINRA's (or its agents') systems ("**FINRA Systems**"); and (b) institute and maintain information and systems security measures (including without limitation firewalls and Virus protection, detection and eradication technology) consistent with leading industry standards and practices in connection with its access to FINRA Systems. If there is unauthorized access to, or a Virus is introduced into, FINRA Systems from Service Bureau's systems, Service Bureau shall reasonably cooperate with FINRA, at Service Bureau's expense, to mitigate the effect of such unauthorized access or Virus, including restoring, replacing, recreating or correcting any errors in any FINRA Systems, data or other property, and to prevent future incidents. Service Bureau shall notify FINRA promptly should it become aware of any unauthorized access to, or that a Virus is introduced into, FINRA Systems from Service Bureau's systems.
3. Service Bureau shall indemnify and hold harmless FINRA from any and all third-party claims resulting from Service Bureau's breach of the terms of this Authorization.

Service Bureau acknowledges and agrees that: (a) this Authorization is not effective until executed by FINRA; (b) FINRA may terminate this Authorization for any reason upon thirty (30) days' notice; (c) FINRA may suspend Service Bureau's access to the Facilities at any time in the event that Service Bureau's access to the Facilities poses a security risk or other adverse impact to the Facilities or FINRA Systems; and (d) Service Bureau may not assign or otherwise transfer this Authorization or any of its rights, remedies or obligations under this Authorization, including by merger, consolidation, dissolution, operation of law, or any other manner, without the prior written consent of FINRA.

Service Bureau has caused this Authorization to be executed by its duly authorized officer as of the date set forth below.

<div style="border-bottom: 1px solid black; text-align: center; margin-bottom: 10px;"><b>("Service Bureau")*</b></div> <div>By: _____</div> <div>Name: _____</div> <div>Title: _____</div> <div>Date: _____</div>	<div>Address: _____</div> <div>_____</div> <div>_____</div> <div>Phone: _____</div> <div>Email: _____</div> <div>Also doing business as (if applicable):*</div> <div>_____</div> <div>_____</div> <div>_____</div>
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**Approved by FINRA:**

By: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

\* Service Bureau must notify FINRA of any change to its legal or d/b/a names.