

**FINRA TRANSPARENCY SERVICES  
SLATE SERVICE BUREAU AUTHORIZATION**

This SLATE Service Bureau Authorization ("**Authorization**") is for use to notify Financial Industry Regulatory Authority, Inc. ("**FINRA**") that a "covered person" as defined in 17 C.F.R. § 240.10c-1a ("**SEA Rule 10c-1a**") (such entity, a "**Covered Person**") or a "reporting agent" as defined in SEA Rule 10c-1a (such entity, a "**Reporting Agent**") has authorized another entity (such entity, a "**Service Bureau**") to provide connectivity and other services to Covered Person/Reporting Agent to facilitate Covered Person's/Reporting Agent's reporting of securities loan transactions to the Securities Lending and Transparency Engine ("**SLATE**"), a facility operated by FINRA.

**NOTE:** This Authorization is not for use to authorize a "reporting agent" to report to SLATE on behalf of a "covered person" as permitted by paragraph (a)(2) of SEA Rule 10c-1a. Use the FINRA Transparency Services SLATE Reporting Authorization instead.

By acknowledging this Authorization:

1. The Covered Person/Reporting Agent identified below hereby authorizes the Service Bureau identified below to provide connectivity and other services to Covered Person/Reporting Agent to facilitate Covered Person's/Reporting Agent's reporting of securities lending transactions to SLATE as of the effective date shown below.
2. The Service Bureau identified below hereby accepts and confirms the above authorization as of the effective date entered below.
3. Each of Covered Person/Reporting Agent and Service Bureau acknowledges that:
  - a. it must observe and comply with all applicable law (including without limitation SEA Rule 10c-1a and FINRA Rule 6500 series) and any applicable agreements to which it is a party relating to the transactions reported pursuant to this Authorization; and
  - b. FINRA will rely on this Authorization in connection with Covered Person's and Service Bureau's access to and use of SLATE.
4. Either Covered Person/Reporting Agent or Service Bureau may terminate this Authorization, without prior notice to the other party, by submitting a deactivation request to FINRA.

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

**SERVICE BUREAU**

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

MPID: \_\_\_\_\_

OrgID: \_\_\_\_\_

CRD #: \_\_\_\_\_

**Acknowledged:** ☐

**COVERED PERSON/REPORTING AGENT**

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

MPID: \_\_\_\_\_

OrgID: \_\_\_\_\_

CRD #: \_\_\_\_\_

**Acknowledged:** ☐