

TRACE Order Form

(Revised December 2009)

**New TRACE
Firm**

**Modify Current
TRACE Firm**

**Terminate
TRACE Firm**

Order Date

Firm Name

Contact Name

Address

City

State

Zip

County

Telephone #

Fax #

Email Address

FINRA Member

Non-FINRA Member

**FINRA Broker Dealer (CRD) Number
MPID using/requesting for TRACE**

Provide general explanation of order:

**MPID Change
User ID Change
Other, please specify:**

**MPID Deletion
User ID Deletion**

**MPID Addition
User ID Addition**

**Firm Name Change
Billing Info Change**

INSTRUCTIONS FOR SUBMISSION

You may submit this form in one of the following ways:

- E-mail to finraoperations@finra.org
- Facsimile to FINRA Operations at (240) 386-6225, or
- Mail documentation to: FINRA Operations, 9509 Key West Avenue, 5th Floor, Rockville, MD 20850.

If you have any questions or concerns, you may contact FINRA Operations at finraoperations@finra.org or 1-(866) 776-0800, toll free.

Check all appropriate options below:

Option 1: FINRA Web Application via public Internet

Web access is available in two levels of service:

- **Reporting Access:** \$20 per month per user and provides TRACE trade reporting and corrections and TRACE downloadable participant and eligible bond list.
- **Time and Sales:** \$60 per month per user per data set (Corporate or Agency) and provides access to real-time TRACE disseminated market data.

NOTE: To receive access with CUSIP, FINRA must receive confirmation from CUSIP that your firm has a Daily License agreement in place.

	Type of Request	Entitlements	CUSIP
User Name	Add User Account	Reporting Access	Yes
Logon ID	Add Entitlements	Corporate Time & Sales Data	No
Email	Remove Entitlements	Agency Time & Sales Data	
	Delete User Account		
User Name	Add User Account	Reporting Access	Yes
Logon ID	Add Entitlements	Corporate Time & Sales Data	No
Email	Remove Entitlements	Agency Time & Sales Data	
	Delete User Account		
User Name	Add User Account	Reporting Access	Yes
Logon ID	Add Entitlements	Corporate Time & Sales Data	No
Email	Remove Entitlements	Agency Time & Sales Data	
	Delete User Account		
User Name	Add User Account	Reporting Access	Yes
Logon ID	Add Entitlements	Corporate Time & Sales Data	No
Email	Remove Entitlements	Agency Time & Sales Data	
	Delete User Account		
User Name	Add User Account	Reporting Access	Yes
Logon ID	Add Entitlements	Corporate Time & Sales Data	No
Email	Remove Entitlements	Agency Time & Sales Data	
	Delete User Account		
User Name	Add User Account	Reporting Access	Yes
Logon ID	Add Entitlements	Corporate Time & Sales Data	No
Email	Remove Entitlements	Agency Time & Sales Data	
	Delete User Account		

Option 2: Computer-To-Computer Interface (CTCI)

Use existing CTCI circuit Circuit Number

New CTCI circuit

NOTE: Requires a firm to complete a Nasdaq CTCI Agreement. A link to this agreement can be found on the following Web Site:

http://www.nasdaqtrader.com/content/AdministrationSupport/AgreementsTrading/nasdaq_access_agreement.pdf

Use IBM® MQSeries software over Nasdaq's CTCI line

NOTE: Contact NASDAQ Subscriber Services at 212-231-5180 for more information regarding this option.

Option 3: Reporting through Third-Party Reporting Service

FINRA Member Firm

NOTE: Firm must complete Attachment B from the TRACE Participant Agreement

Firm Name

MPID

Service Bureau (Non-FINRA Member Firm)

Firm Name

NSCC's RTTM Interface

Option 4: Access to downloadable list of TRACE-eligible securities and list of participants via secure FTP.

NOTE: If requesting Secure FTP access, a separate certificate, user ID and password will be assigned that is only permitted to access the FTP server. The Web Administrator of your firm that was identified in your Participation Agreement will be designated as the "User" of the FTP Service. Note that this person does NOT need to actually perform the download himself/herself, however, his/her user ID and password will be used to access the FTP

Web Admin

Telephone #

E-mail

With CUSIP

Without CUSIP

NOTE: To access the TRACE Reportable Bond file containing CUSIP numbers, FINRA must receive confirmation from CUSIP that your firm has a Daily License agreement in place.