

# **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**

**FINRA Broker Dealer (CRD) Number**

**MPID using/requesting for TRACE**

**Non-FINRA Member**

**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](mailto:finraoperations@finra.org)
- Facsimile to FINRA Operations at (240) 386-6225, or
- Mail documentation to: FINRA Operations, 9509 Key West Avenue, 5<sup>th</sup> Floor, Rockville, MD 20850.

If you have any questions or concerns, you may contact FINRA Operations at [finraoperations@finra.org](mailto: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 Logon ID Email	Add User Account Add Entitlements Remove Entitlements Delete User Account	Reporting Access Corporate Time & Sales Data Agency Time & Sales Data	Yes No
User Name Logon ID Email	Add User Account Add Entitlements Remove Entitlements Delete User Account	Reporting Access Corporate Time & Sales Data Agency Time & Sales Data	Yes No
User Name Logon ID Email	Add User Account Add Entitlements Remove Entitlements Delete User Account	Reporting Access Corporate Time & Sales Data Agency Time & Sales Data	Yes No
User Name Logon ID Email	Add User Account Add Entitlements Remove Entitlements Delete User Account	Reporting Access Corporate Time & Sales Data Agency Time & Sales Data	Yes No
User Name Logon ID Email	Add User Account Add Entitlements Remove Entitlements Delete User Account	Reporting Access Corporate Time & Sales Data Agency Time & Sales Data	Yes No
User Name Logon ID Email	Add User Account Add Entitlements Remove Entitlements Delete User Account	Reporting Access Corporate Time & Sales Data Agency Time & Sales Data	Yes No
User Name Logon ID Email	Add User Account Add Entitlements Remove Entitlements Delete User Account	Reporting Access Corporate Time & Sales Data Agency Time & Sales Data	Yes No

---

## 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.nasdagtrader.com/content/AdministrationSupport/AgreementsTrading/nasdaq\\_access\\_agreement.pdf](http://www.nasdagtrader.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.*