



AMENDMENT TO THE FINRA PARTICIPATION AGREEMENT v. 1.2

THIS AMENDMENT TO THE FINRA PARTICIPATION AGREEMENT is entered into by and between _____ [*Firm Name*], a _____ [*place of incorporation and type of entity (i.e. corporation, LLC, Partnership, etc.)*] with a principal place of business at _____ [*address*] and MPID(s) _____ and CRD Number _____ ("*Participant*") and Financial Industry Regulatory Authority, Inc., a Delaware corporation ("*FINRA*").

RECITALS

WHEREAS, Participant and FINRA are parties to a FINRA Participation Agreement (the "Agreement") and;

WHEREAS, Participant and FINRA wish to amend the Agreement as set forth herein;

NOW, THEREFORE, in consideration of the mutual covenants and promises contained herein, the parties hereto agree as follows:

1. Participant hereby requests that its FINRA Participation Agreement be amended in accordance with the information provided below:

- a. Participant requests that the following Products be **INCLUDED** as part of its Agreement (*Initial all that apply*):

☐ ADF (*Alternative Display Facility*)

Check One: ___ Market Maker ___ ECN

Clearing Firm Name: _____

NSCC Clearing #: _____ Default Clearing: ___ Yes ___ No

☐ TRACE (*Trade Reporting and Compliance Engine*)

☐ ORF (*OTC Reporting Facility*)

Clearing Firm Name: _____

NSCC Clearing #: _____ Default Clearing: ___ Yes ___ No

- b. Participant requests that the following Products be **DELETED** from its Agreement (*Initial all that apply*):

- ☐ ADF (*Alternative Display Facility*)
☐ TRACE (*Trade Reporting and Compliance Engine*)
☐ ORF (*OTC Reporting Facility*)

c. Participant requests that the contact Information in *Section 32* be **UPDATED** as follows:

i. *For billing purposes:*

ADF (*Alternative Display Facility*):

Name: _____
Title: _____
Address: _____

Phone #: _____
Fax #: _____
Email: _____

TRACE (*Trade Reporting and Compliance Engine*):

Name: _____
Title: _____
Address: _____

Phone #: _____
Fax #: _____
Email: _____

ORF (*OTC Reporting Facility*):

Name: _____

Title: _____

Address: _____

Phone #: _____

Fax #: _____

Email: _____

ii. For all purposes other than billing:

Name/Title: _____

Address: _____

Phone/Fax #: _____

Email: _____

2. All other terms and conditions of the Agreement remain unchanged.

IN WITNESS WHEREOF, the parties have executed this Agreement as of the day and year last written below.

*By my signature below, I hereby represent that I have the proper authority to make the changes requested above.
I further acknowledge and agree that this form is governed by the FINRA Participation Agreement and request that FINRA make the above reference changes to that Agreement and to my FINRA account.*

By: _____
(Name of Participant)
Signature: _____
Name/Title: _____
(Name of Authorized Officer)
Title: _____
Date: _____

Agreed to by FINRA:

Signature: _____
Name: _____
Title: _____
Date: _____

INSTRUCTIONS FOR SUBMISSION

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

- E-mail to FINRAOperations@finra.org;
- Facsimile to FINRA Market Operations at 301-527-4918

If you have any questions or concerns, you may contact FINRA Market Operations at FINRAOperations@finra.org or toll free 866-776-0800, Option 2.