

**ATTACHMENT A
TO
NON-REAL-TIME TRACE DATA AGREEMENT¹**

1. PRODUCTS

☐ **TRACE End-of-Day Report (TEOD)**

BTDS ☐ ATDS ☐ SPDS ☐ 144A ☐

Description: The TRACE End-of-Day Report (TEOD) is described in FINRA Rule 7730.

Frequency: Daily

Authorized Use: Vendor may use the TRACE End-of-Day Data Report for internal purposes only and may not disseminate the Data included therein except as follows: Vendor is permitted to: (1) display limited amounts of the Data to customers on display Devices that actively prevent downloading of the Data, in written advertisements, correspondence, or other literature; and (2) furnish limited amounts of Data to customers during voice telephonic conversations not entailing computerized voice, automated information inquiry systems, or similar technologies. Vendor may not present the Data in any false, unfair, misleading, or discriminatory format. Vendor shall take all reasonable security precautions to prevent unauthorized persons from gaining access to the Data.

☐ **TRACE Treasury End-of-Day Report (TSEOD)**

Description: The TRACE Treasury End-of-Day Report (TSEOD) is described in FINRA Rule 7730.

Frequency: Daily

Authorized Use: Vendor's use of the TRACE Treasury End-of-Day Data Report is limited to the following: (1) display and/or use (including derivative works) provided all such display/use is solely for Vendor's internal purposes, (2) unlimited use and/or distribution of "derivative" data (e.g. indices and charts) provided such derivative data use complies with the terms of the FINRA's Derived Data policy set forth on the FINRA TRACE data page located at <https://www.finra.org/filing-reporting/trace/derived-data>, (3) external use by Vendor to its customers provided the display Device(s) used to display/convey such Data actively prevents bulk downloading and (4) furnishing limited amounts of Data to customers during voice telephonic conversations that do not utilize computerized voice, an automated information inquiry system, or similar technologies. Vendor may only share Data in bulk, or allow downloading of the Data in bulk, upon receipt of an approval letter from FINRA issued on behalf of the receiving firm/party. In all instances Vendor may not present the Data in any false, unfair, misleading, or discriminatory format. Vendor shall take all reasonable security precautions to prevent unauthorized persons from gaining unauthorized access to the Data.

¹ Vendor may modify this Attachment A to add or delete Products by providing FINRA with written notice (pursuant to Section 19) of any changes to that information and a copy of the revised Attachment A (which changes shall be effective upon acceptance by FINRA).

Vendors wishing to receive the data in bulk from a third party firm must complete the below:

Name of Third party Firm: _____.

E-mail contact at Third party Firm : _____



TRACE Security Activity Report (TSAR)

Description: The TRACE Security Activity Report (TSAR) is described in FINRA Rule 7730.

Frequency: Monthly

Authorized Use: Vendor may use the TRACE Security Activity Report for internal purposes only and may not disseminate the Data included therein, except as follows: (1) to furnish limited amounts of Data to customers during voice telephonic conversations not entailing computerized voice, automated information inquiry system, or similar technologies; and (2) to provide limited amounts of the Data to regulatory agencies through electronic communications where the communication of the Data is required to meet the regulatory obligations of the respective regulator. Vendor may not present the Data in any false, unfair, misleading, or discriminatory format. Vendor shall take all reasonable security precautions to prevent unauthorized persons from gaining access to the Data.

2. VENDOR INFORMATION

Vendor Full Name:	
CRD Number: (if FINRA Member)	
Street Address:	
City/State/ZIP:	
Country:	
Primary Contact:	
Primary Contact Phone:	
Primary Contact Email:	
Billing Contact:	
Billing Contact Phone:	
Billing Contact Email:	

3. INTENDED USE

Please state the intended use for the selected Product(s):

--

4. AFFILIATES

Please list all Affiliates (a separate sheet may be appended to the back of this document if required):

Vendor represents that the entities listed above fall within the definition of "Affiliates" set forth in the Agreement. Vendor must update this Attachment A if any entity listed above ceases to fall within the definition.

This Attachment A shall be incorporated into the Non-Real-Time TRACE Data Agreement executed by Vendor.

The undersigned certifies that (1) he/she is authorized to sign this Attachment A on behalf of Vendor and (2) the information provided on this Attachment A is complete and accurate.

Signature: _____

Name: _____

Date: _____

Title: _____

ATTACHMENT B

REPORT ACCESS

To gain access to FINRA's Firm Gateway to view the report(s), please complete this Attachment B. Section 2 is required **only** for firms wishing to access the files via SFTP. If you are unaware of your firm's CRD number, please check with your firm's compliance officer, or call FINRA's Gateway Call Center at 301-869-6699.

An asterisk (*) denotes a required field.

Section 1 — Organization Information

Organization ID# (CRD Number for FINRA Members):

Organization Name:*

Organization/SAA Email:*

Organization/SAA Phone Number:*

Section 2 — Designated Account Administrator (AA) Information

Firms that are not current FINRA members with an Organization ID and Firm Gateway account must complete this section **and** the FINRA Entitlement Agreement found at the link below.

FINRA Entitlement Agreement: https://www.finra.org/sites/default/files/finra_entitlement_agreement_fea.pdf

First Name:*

MI:

Last Name:*

Suffix:

Email Address:*

Phone Number:*

Section 3 — FTP User Information

First Name:*

MI.:

Last:*

Suffix:

Email:*

Phone Number:*

User ID (Updates Only):

Incoming IP Address:*

Section 4 — Entitlement Privileges

☐ CUSIP ☐ No CUSIP (check as applicable)

☐ Add ☐ Remove

TRACE End Of Day BTDS

☐ Add ☐ Remove

TRACE End Of Day ATDS

☐ Add ☐ Remove

TRACE End Of Day SPDS

☐ Add ☐ Remove

TRACE End Of Day 144A

☐ Add ☐ Remove

TRACE End Of Day Treasury

☐ Add ☐ Remove

TRACE Monthly Security Activity Report

The undersigned certifies that he/she is authorized to sign this Attachment B on behalf of Vendor.

Signature: _____

Name: _____

Date: _____

Title: _____

[Email](#) completed form to Transparency Services.