



TRACE REPORTING TIMEFRAMES EFFECTIVE DECEMBER 7, 2015

Type of Security	Other Transactions - Reporting Times	List or Fixed Offering Price Transaction (as defined in FINRA Rule 6710(q)), or Takedown Transaction (as defined in FINRA Rule 6710(r))- Reporting Time
Corporate Bond (see FINRA Rule 6710(a))	Within 15 minutes of time of execution (see FINRA Rule 6730(a)(1)).	T+1 (see FINRA Rule 6730(a)(2))
Agency Debt Security (as defined in FINRA Rule 6710(l))	Within 15 minutes of time of execution (see FINRA Rule 6730(a)(1)).	T+1 (see FINRA Rule 6730(a)(2))
CMOs/REMICs (as defined in FINRA Rule 6710(dd))	<ul style="list-style-type: none"> • For transactions executed before the issuance of the security, the earlier of: the business day that the security is assigned a CUSIP, a similar numeric identifier or a FINRA symbol (unless such identifier is assigned after 1:00:00 p.m. ET, and in such cases, transactions must be reported no later than the next business day during TRACE system hours) (see FINRA Rule 6730(a)(3)(C). • For all other transactions: same day during TRACE system hours (see FINRA Rule 6730(a)(3)(A)). 	N/A
Agency Pass-Through MBS Traded TBA for Good Delivery (see FINRA Rule 6710(u))	Within 15 minutes of time of execution (see FINRA 6730(a)(3)(D)(ii)).	N/A
Agency Pass-Through MBS Traded TBA not for Good Delivery	Within 60 minutes of time of execution (see FINRA 6730(a)(3)(E)(ii)).	N/A
Specified Pool Transactions (as defined in FINRA Rule 6710(x)) and SBA Backed ABS Transactions (as defined in FINRA Rule 6710(bb))	Within 60 minutes of time of execution (see FINRA Rules 6730(a)(3)(F)(ii) and 6730(a)(3)(G)(ii)).	N/A
Asset-Backed Securities (as defined in FINRA Rule 6710(cc))	Within 15 minutes of time of execution (see FINRA 6730(a)(3)(B)(i)).	T+1 (see FINRA Rule 6730(a)(2))
All other Securitized Products a/k/a ABSX (CDO, CLO, CBO and private label CMBS)	Same day during TRACE business hours (see FINRA Rule 6730(a)(3)(A)).	N/A

This chart is for informational purposes only and is subject to modification. Firms should rely on and refer to the applicable FINRA rules for complete information on TRACE reporting requirements.