

**FINRA TRANSPARENCY SERVICES**  
**UNIFORM SERVICE BUREAU/EXECUTING BROKER AGREEMENT**

This Uniform Service Bureau/Executing Broker Agreement (“Agreement”) is for use by an FINRA member (“Participant”) using a facility of FINRA listed on Attachment A hereto.

1. By executing this Agreement, the undersigned Participant hereby:
  - a. authorizes the Service Bureau/Executing Broker to add to or delete from the list of Approved Facilities attached hereto at Attachment A at any time and without Participant’s prior knowledge and/or approval, Approved Facilities are those FINRA facilities listed in Attachment A which have been selected by Participant or the Service Bureau/Executing Broker; and
  - b. accepts and approves all trade reports submitted to the Approved Facilities on the Participant's behalf by the Service Bureau/Executing Broker identified below.
  
2. By executing this Agreement, the undersigned Service Bureau/Executing Broker agrees:
  - a. to report to the Approved Facilities all give-up or other trades executed and/or reported by the Service Bureau/Executing Broker on behalf of the Participant; and
  - b. to observe and comply with the provisions of this Agreement, any agreements relating to the trades reported to the Approved Facilities, any other agreements relating to the Approved Facilities and all applicable FINRA Rules in submitting trade information to the Approved Facilities on the Participant's behalf; and
  - c. that the Service Bureau/Executing Broker shall not report on behalf of or provide access to the Approved Facilities to any individual or entity that has not executed the appropriate documentation.

THE PARTICIPANT AND SERVICE BUREAU/EXECUTING BROKER (“PARTIES”) HEREBY UNDERSTAND, ACKNOWLEDGE AND AGREE THAT FINRA AND THE APPROVED FACILITIES ARE THIRD PARTY BENEFICIARIES OF THIS AGREEMENT AND THAT FINRA AND THE APPROVED FACILITIES HAVE RELIED ON THE STATEMENTS AND OBLIGATIONS OF PARTIES AS SET OUT HEREIN IN ALLOWING ACCESS TO APPROVED FACILITIES. IN WITNESS WHEREOF, THE PARTIES HAVE CAUSED THIS SERVICE BUREAU/EXECUTING BROKER AGREEMENT TO BE EXECUTED BY THEIR DULY AUTHORIZED OFFICERS EFFECTIVE AS OF THE DATE FIRST SET FORTH BELOW.

**SERVICE BUREAU/  
EXECUTING BROKER**

**PARTICIPANT**

Signature \_\_\_\_\_

Signature \_\_\_\_\_

Name \_\_\_\_\_

Name \_\_\_\_\_

Title \_\_\_\_\_

Title \_\_\_\_\_

Date \_\_\_\_\_

Date \_\_\_\_\_

Name of Firm \_\_\_\_\_

Name of Firm \_\_\_\_\_

MMID or Executing Broker Symbol \_\_\_\_\_

MMID or Participant Symbol \_\_\_\_\_

**ATTACHMENT A**  
**APPROVED FACILITIES**

NAME OF APPROVED FACILITY	DATE EFFECTIVE	MPID OF SERVICE BUREAU/EXECUTING BROKER	MPID OF PARTICIPANT
Alternative Display Facility (ADF)			
Trade Reporting and Comparison Engine (TRACE)			
Over-the-Counter Reporting Facility (ORF)			
FINRA/Nasdaq Trade Reporting Facility (FINRA/Nasdaq TRF)			
FINRA/NYSE Trade Reporting Facility (FINRA/NYSE TRF)			