

**FINRA TRANSPARENCY SERVICES  
UNIFORM EXECUTING BROKER AGREEMENT**

This Uniform Executing Broker Agreement (“**Agreement**”) is for use by a FINRA member participating in one or more FINRA market transparency facilities (“**Participant**”) to authorize another FINRA member (“**Executing Broker**”) to report trades on behalf of the Participant on such facilities.

1. By executing this Agreement, the undersigned Participant hereby:
  - a. authorizes the Executing Broker identified below 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**” means those FINRA facilities listed in Attachment A which have been selected by Participant or the Executing Broker; and
  - b. accepts and approves all trade reports submitted to the Approved Facilities on the Participant's behalf by the Executing Broker identified below.
2. By executing this Agreement, the undersigned Executing Broker agrees:
  - a. to report to the Approved Facilities all give-up or other trades executed and/or reported by the 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 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.

PARTICIPANT AND EXECUTING BROKER (THE “**PARTIES**”) HEREBY 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 AGREEMENT TO BE EXECUTED BY THEIR DULY AUTHORIZED REPRESENTATIVES EFFECTIVE AS OF THE DATES FIRST SET FORTH BELOW.

**EXECUTING BROKER**

**PARTICIPANT**

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

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

\_\_\_\_\_  
*MPID or Executing Broker Symbol*

\_\_\_\_\_  
*MPID or Participant Symbol*

\_\_\_\_\_  
*CRD Number*

\_\_\_\_\_  
*CRD Number*

\_\_\_\_\_  
*Signature*

\_\_\_\_\_  
*Signature*

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*Name*

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*Name*

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*Title*

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*Title*

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*Date*

\_\_\_\_\_  
*Date*

**ATTACHMENT A  
APPROVED FACILITIES**

<b>Name of Approved Facility</b>	<b>Date Effective</b>	<b>MPID of Executing Broker</b>	<b>MPID of Participant</b>
<b>Alternative Display Facility (ADF)</b>			
<b>Trade Reporting and Compliance Engine (TRACE)</b>			
<b>OTC Reporting Facility (ORF)</b>			
<b>FINRA/Nasdaq Trade Reporting Facility (FINRA/Nasdaq TRF) Carteret</b>			
<b>FINRA/Nasdaq Trade Reporting Facility (FINRA/Nasdaq TRF) Chicago</b>			
<b>FINRA/NYSE Trade Reporting Facility (FINRA/NYSE TRF)</b>			