

**ATTACHMENT B  
TO HISTORIC DATA AGREEMENT**

Please submit the completed form to:

FINRA - TRACE Data Services  
Telephone: 888-507-3665  
E-Mail: TRACEUsage@finra.org

**1. FIRM INFORMATION**

**(a) Name of Your Firm ("Vendor"):**

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**(b) Is Your Firm a Qualified Tax-Exempt Organization?**

Yes  No

**(c) Is Your Firm a FINRA member firm?**

Yes  No

**If Yes, provide CRD #:**

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**(d) Firm Address :**

Street Address:	
City:	State/Province:
Postal Code:	Country:

**(e) Billing Address (if different from above):**

Street Address:	
City:	State/Province:
Postal Code:	Country:

**(f) Primary Contact:**

First Name:

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Last Name:

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Phone Number:

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E-Mail Address:

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**(g) Billing Contact:**

First Name:

Last Name:

Phone Number:

E-Mail Address:

**2. DATA USE**

**(a) INTERNAL USE**

**(1)** Check all that apply

Application Display	<input type="checkbox"/>
Internal System, Non-Display Use	<input type="checkbox"/>
Derivative Products (for example indices)	<input type="checkbox"/>
Other (specify)	<input type="checkbox"/>

**(2)** Describe how you intend to use the data:

**(b) EXTERNAL USE**

**(1) PROFESSIONAL REDISTRIBUTION (IF APPLICABLE)**

**(A)** Redistribution / Delivery Methods: Check all that apply

Application Display	<input type="checkbox"/>
Internal System, Non-Display Use	<input type="checkbox"/>
Derivative Products (for example indices)	<input type="checkbox"/>
Other (specify)	<input type="checkbox"/>

**(B)** Name of the product(s)/service(s) your firm will provide to your Clients which incorporates, is related to or which is based upon the Enhanced Historic Information and Data:

**(C)** Describe your product(s)/service(s):

Vendor certifies that the information provided on this Attachment B is true and accurate.

**VENDOR:**

\_\_\_\_\_  
Signature of authorized representative of Vendor

\_\_\_\_\_  
Name

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date

**Attachment C**

Please select the data sets that you wish to subscribe to:

BTDS\*     ATDS\*     SPDS\*     144A\*     TSDS\*

**Data received will be aged as per FINRA Rule 7730.**

- |                                      |                                      |
|--------------------------------------|--------------------------------------|
| <input type="checkbox"/> 2002 & 2003 | <input type="checkbox"/> 2017        |
| <input type="checkbox"/> 2004        | <input type="checkbox"/> 2018        |
| <input type="checkbox"/> 2005        | <input type="checkbox"/> 2019        |
| <input type="checkbox"/> 2006        | <input type="checkbox"/> 2020        |
| <input type="checkbox"/> 2007        | <input type="checkbox"/> 2021        |
| <input type="checkbox"/> 2008        | <input type="checkbox"/> 2022        |
| <input type="checkbox"/> 2009        | <input type="checkbox"/> 2023        |
| <input type="checkbox"/> 2010        | <input type="checkbox"/> 2024        |
| <input type="checkbox"/> 2011        | <input type="checkbox"/> 2025        |
| <input type="checkbox"/> 2012        | <input type="checkbox"/> 2026**      |
| <input type="checkbox"/> 2013        | <input type="checkbox"/> 2027**      |
| <input type="checkbox"/> 2014        | <input type="checkbox"/> Perpetual** |
| <input type="checkbox"/> 2015        |                                      |
| <input type="checkbox"/> 2016        |                                      |

\* As per FINRA Rule 7730:

For BTDS and Corporate 144A, 2002 and 2003 Calendar Years are packaged together.

For ATDS, 2010 and 2011 Calendar Years are packaged together.

For SPDS, 2011 and 2012 Calendar Years are packaged together.

\*\* If future years or the Perpetual subscription are selected, the data will be provided in quarterly increments as it becomes available and Vendor will be billed at the beginning of each calendar year for the available calendar year's data. The Perpetual subscription will continue until the Vendor submits written notification of cancellation.