

**FINRA/NYSE
Trade Reporting Facility[®] (TRF[®])**

Annual Certification - Retail Participants

ORGANIZATIONAL PROFILE

Date: _____ SEC No.: _____ CRD No.: _____ MPID: _____
LEI #: _____

GENERAL INFORMATION

Name of TRF Subscriber (hereinafter "Participant"): _____
Business Address: _____
City _____ State: _____ Zipcode: _____
Business Phone: _____ Fax: _____
Contact Name: _____ Title: _____
Phone: _____ Fax: _____
Email Address: _____

TYPE OF ORGANIZATION

Corporation Limited Liability Company Partnership Sole Proprietor

TYPE OF BUSINESS ACTIVITY TO BE CONDUCTED WITH TRF (Check all that apply)

Market Maker Public Customer Business Clearing Services
 Proprietary Trading Other _____

FINRA MEMBERSHIP CONFIRMATION

Subscriber is a current FINRA member

ANNUAL ATTESTATION OF QUALIFICATION AS A RETAIL PARTICIPANT

Participant attests that as of the date of this attestation it is a "Retail Participant," as defined in FINRA Rule 7620B(a), and reasonably expects that it will qualify as a "Retail Participant," as defined in as defined in FINRA Rule 7620B(a), for a one year period following the date hereof.

Applicant shall monitor its trade reporting activities and plans and promptly inform the FINRA/NYSE TRF at any time that it no longer qualifies or reasonably expects that it will no longer qualify as a Retail Participant.

Authorized Signature: _____
Name _____
Title: _____
Date: _____

Please return this completed form to crs@nyse.com