

# FINRA/NYSE TRF Pillar Connectivity Questionnaire (CQ)

## Instructions and Information

Subscribers must complete, and the FINRA/NYSE Trade Reporting Facility® (“TRF”) must approve, the following questionnaire prior to establishing connectivity to the TRF. All connections are subject to and governed by applicable laws, regulations and rules and any applicable subscriber agreement.

### 1. Process for adding Connectivity:

- Step 1: Completed Connectivity Questionnaire (CQ) is sent to Client Relationship Services (CRS) at [CRS@nyse.com](mailto:CRS@nyse.com). Please complete a separate CQ for MPIDs with different access types.
- Step 2: When the CQ is approved, CRS permissions the new access type for the next business day and notifies the Subscriber.
- Step 3: If a new session, or modification to an existing session is required, please also submit the NYSE Pillar Native Gateway Session Request Form available at [www.nyse.com/pillar](http://www.nyse.com/pillar). If you have any questions related to sessions, please reach out to [support@nyse.com](mailto:support@nyse.com).
- Step 4: Subscriber's new access to the TRF is complete.
- If a connection is terminated by the Subscriber, the Subscriber must notify [CRS@nyse.com](mailto:CRS@nyse.com) within one business day

### 2. Subscriber Contact Information

Subscriber Firm Name:		CRD Number:	
Business Contact:		Business Contact E-Mail:	
Compliance Contact:		Compliance Contact E-Mail:	

### 3. Details

MPID(s) requesting reporting access to the FINRA/NYSE TRF:	<b><u>MPID(s):</u></b>
How will this MPID(s) be accessing the TRF? Please check the appropriate box(es).  *Service Bureaus must sign in Section 5.	<input type="checkbox"/> Direct (FIX) <input type="checkbox"/> Service Bureau (SB Name: _____) <input type="checkbox"/> Identifier Only - No Connectivity

### By signing this Connectivity Questionnaire:

- **The Subscriber represents that it has established reasonably designed regulatory policies and procedures and pre-trade risk management systems pursuant to applicable Rules and federal rules over the order flow that is sent through this connection.**
- **The Subscriber confirms having established reasonably designed regulatory policies and procedures to monitor order flow pursuant to SEC Rule 15c3-5.**
- **The Subscriber understands that this route is not to be used for any other purpose or for any other entity other than what is documented in this Connectivity Questionnaire.**

Name and Title (Printed)		
Name (Signature)		Date:

*Please return to Client Relationship Services via email at [CRS@nyse.com](mailto:CRS@nyse.com).*

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**4. Access Provider Authorization (Service Bureau)**

Subscriber Firm Name:		MPID:	
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The undersigned, as an approved TRF Service Bureau, agrees to provide access to the TRF for the above mentioned Subscriber per the information outlined in this Connectivity Questionnaire and in accordance with the NYSE Pillar Access Provider Connection Agreement, or other applicable NYSE Agreement.

Access Provider Name (Service Bureau):			
Authorized Signature:		Date	
Name and Title:			
Phone:			
E-Mail:			

Please return to Client Relationship Services via email at [CRS@nyse.com](mailto:CRS@nyse.com).