FINRA API TERMS OF SERVICE
Specific Terms
for the
Firm Registration Data

These Specific Terms for the Firm Registration Data supplement the FINRA API Terms of Service ("**Terms of Service**") and, together with the Terms of Service and the API Program Terms, govern Developer's use of the Query API to access and use the Licensed Data included in the datasets in the "firm" dataset group in the "Registration" data category (the "**Firm Registration Data**"). These Specific Terms were last updated on December 20, 2022. Capitalized terms used but not defined herein have the meanings given in the Terms of Service.

1.   **Description**.

        1.1   **Available Datasets.** The Firm Registration Data includes the following datasets: all datasets listed in the "firm" dataset group in the "Registration" data category, excluding any such datasets that are specifically governed by other Specific Terms. Additional information about the Firm Registration Data can be found in the API Program Terms.

        1.2   **Permitted Developers**. The Firm Registration Data may only be accessed and used by Developers who are (i) current FINRA members; (ii) current members of a registered national securities exchange that uses FINRA's Central Registration Depository ("**CRD**") for registration purposes; or (iii) state-registered or SEC-registered investment advisory firms with valid entitlement to CRD or the Investment Advisor Registration Depository ("**IARD**").

2.   **Use Rights**.

        2.1   **Authorized Users**. Authorized Users for the Firm Registration Data are Developer personnel and contractors who (a) have a legitimate need to access the Firm Registration Data in connection with the performance of their job functions or regulatory responsibilities and (b) have valid entitlement to access CRD or IARD, as applicable, or whose job function supports otherwise authorized use (e.g., developing and supporting Developer's technical implementation of its use of the Query API to access Firm Registration Data).

        2.2   **Permitted Use**. The license to access and use the Firm Registration Data is limited to the following use(s) (the "**Permitted Use**"): evaluating regulatory compliance; performing regulatory compliance activities; communicating with FINRA; and performing regulatory or self-regulatory activities.

        2.3   **No Redistribution**. Redistribution of Firm Registration Data to any Person other than an Authorized User for the Permitted Use is prohibited.

        2.4   **Derivative Data/Resultant Data**. Developer is prohibited from creating derivative data and Resultant Data from the Firm Registration Data.

3.   **Exceptions to Terms of Service**. Not applicable.

4.   **Additional Obligations**. Not applicable.

5.   **Additional Restrictions**. Not applicable.

6.   **Data Retention**. Notwithstanding anything to the contrary in the Terms of Use, Developer may retain copies of the Firm Registration Data accessed by Developer via the Query API as required to comply with applicable law and regulatory requirements, provided that Developer shall not use such retained Firm Registration Data for any purpose other than complying with applicable law and regulatory requirements.

7.   **Third Party Terms**. Not applicable.

8.   **Other FINRA Terms**. Not applicable.

9.   **Compliance with FINRA Rules**. If Developer is a FINRA member, Developer shall comply with the FINRA Rules applicable to Licensed Data accessible via the Query API. In the event of a conflict between the FINRA Rules and the Terms of Service (including these Specific Terms), the FINRA Rules shall prevail to the extent of the conflict.