FINRA API TERMS OF SERVICE
Specific Terms
for
Pre-Registration Search Data

These Specific Terms for Pre-Registration Search 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 "Individual Pre-Registration Search" dataset in the "Registration" data category (the "**Pre-Registration Search Data**"). These Specific Terms were last updated on September 16, 2024. Capitalized terms used but not defined herein have the meanings given in the Terms of Service.

1.   **Description.**

      1.1   **Available Datasets.** The Pre-Registration Search Data includes the following dataset(s):

            preRegistrationIndividual
            preRegistrationIndividualv2

      Additional information about the Pre-Registration Search Data can be found in the API Program Terms.

      1.2   **Permitted Developers**. The Pre-Registration Search 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) other entities with valid entitlement to conduct pre-registration searches (or to use comparable functionality) using registration data available from FINRA for pre-registration purposes.

2.   **Use Rights**.

      2.1   **Authorized Users**. Authorized Users for the Pre-Registration Search Data are Developer personnel and contractors who (a) have a legitimate need to access the Pre-Registration Search Data in connection with the performance of their job functions or regulatory responsibilities and (b) have valid entitlement to access CRD 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 Pre-Registration Search Data).

      2.2   **Permitted Use**. The license to access and use the Pre-Registration Search Data is limited to the following use(s) (the "**Permitted Use**"): review and verification of certain FINRA-maintained data relating to an individual that Developer is intending to sponsor for registration with FINRA, a registered national securities exchange, a state securities regulator or the SEC, consistent with the requirements of FINRA Rule 3110(e) or equivalent exchange rule, or state or federal law or regulation, as applicable.

      2.3   **No Redistribution**. Redistribution of the Pre-Registration Search 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 Pre-Registration Search Data.

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

4.   **Additional Obligations**.

4.1   **Written Consents**. Developer must, and represents and warrants that it will, prior to each use of the Query API to access Pre-Registration Search Data to review an individual's FINRA-maintained information, obtain the individual's written consent to access that information and all other necessary approvals, consents and authorizations. Developer shall maintain records of such consents as required to comply with applicable law and regulatory requirements (including the FINRA Rules). Access or use of Pre-Registration Search Data about an individual without all necessary approvals, consents and authorizations is a breach of Terms of Service and may result in disciplinary action(s) against Developer (if Developer is a FINRA member), termination of Developer's access to the Query API or other Licensed APIs, termination of Developer's access to other FINRA systems or data, or other adverse consequences.

4.2   **Most Current Data.** Except as set forth in Section 6 below, for each use of the Pre-Registration Search Data, Developer shall obtain the most current version of the Pre-Registration Search Data that is available via the Query API.

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

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

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 the access or use of 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.