

Member or SRO Group: Financial Industry Regulatory Authority, Inc. (FINRA)

- Is the Member for-profit or not-for-profit?

Not-For-Profit

- If the Member is for-profit, is it publicly or privately owned?

N/A

- If privately owned, list any owner with an interest of 5% or more of the Member, where to the Member's knowledge, such owner, or any affiliate controlling, controlled by, or under common control with the owner, subscribes, directly or through a third-party vendor, to CT Feeds and/or Member PDP.

N/A

- Does the Member offer PDP?

No. While FINRA does not offer any Proprietary Market Data Products, FINRA has oversight responsibilities relating to exchange proprietary data feeds that incorporate FINRA/Exchange TRF data.

- If yes, list each product, describe its content, and provide a link to where fees for each product are disclosed.

N/A

- Provide the names of the Voting Representative, any alternate Voting Representatives designated by the Member, and any Member Observers. Also provide a narrative description of such persons' roles within the Member organization, including the title of each individual as well as any direct responsibilities related to the development, dissemination, sales, or marketing of the Member's PDP, and the nature of those responsibilities sufficient for the public to identify the nature of any potential conflict of interest that could be perceived by a reasonable objective observer as having an effect on the operation of the Company. If such persons work in or with the Member's PDP business, describe such persons' roles and describe how that business and such persons' Company responsibilities impacts their compensation. In addition, describe how such persons' responsibilities with the PDP business may present a conflict of interest with their responsibilities to the Company.
 - Voting Representative – Christopher B. Stone, Vice President, Equity and Debt Capital Markets Business, Transparency Services. Responsible for all FINRA real time fixed income and equity quotation and transaction reporting business.
 - Alternate Voting Representative - Brendan K. Loonam, Senior Director, Business Services. Responsible for FINRA/Exchange TRF Business Member compliance oversight, the Alternative Display Facility (ADF) & OTC Transparency Data

initiatives.

- Member Observer – Randy G. Rivera, Director, Business Services. Responsible for business oversight of OTC Equities, including the OTC Reporting Facility (ORF).
 - Member Observer – Robert A. McNamee, Vice President & Associate General Counsel, Capital Markets Policy, Office of General Counsel (OGC). Responsible for managing legal advice on equities and options market structure, transparency, and audit trail matters, including equity quotation and transaction reporting.
 - Member Observer – Adrian Stepanian, Assistant General Counsel, Capital Markets, OGC. Responsible for providing legal support on market structure and transparency matters, including equity quotation and transaction reporting.
- Does the Member, its Voting Representative, its alternate Voting Representative, its Member Observers, or any affiliate have additional relationships or material economic interests that could be perceived by a reasonable objective observer to present a potential conflict of interest with their responsibilities to the Company? If so, provide a detailed narrative discussion of all material facts necessary to identify the potential conflicts of interest and the effects they may have on the Company.

No.