FINRA Vendor Management

Welcome!

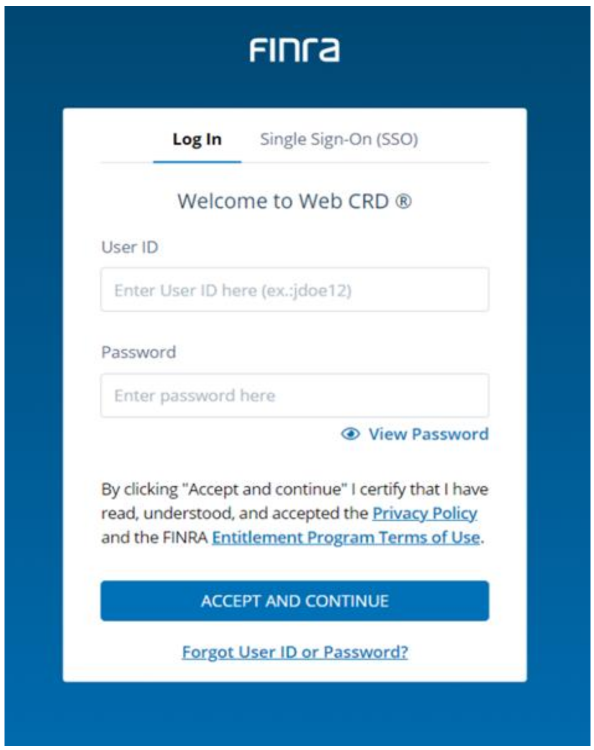
What is the Vendor Management System?

This system allows vendors to confirm product subscriptions, maintain contact information, report current usage, and review prior reported usage in one central location. To learn more about FINRA's Market Data policies please see https://www.finra.org/filing-reporting/trace/data

Accessing the Site

Access to this secure site requires a login id and password. TRACE data services will assist your organization with signing up and establishing the initial account administrator who will maintain firm user access.

Web Address: Https://Vendor.Finra.org . Please note Chrome is the supported browser.

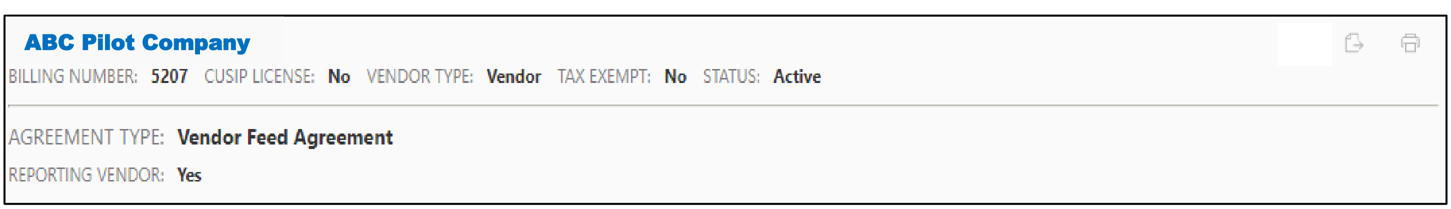


Viewing the Vendor Management Screen

Your vendor name will display at the top of the screen. The screen is partitioned into three modules:

1. Vendor Information

This section displays information such as your Billing Number, the status of your CUSIP License and the type of Vendor your organization is. This section also displays all active agreements. This information may not be edited; however, if you notice any discrepancy please reach out to TRACE Data Services .



2. Usage Filing

This module displays your reported usage by month for each product. For each product you are subscribed to, you will enter the number of users with the ability to access Real-Time TRACE Data.

Usage

	Report Period	BTDS Terminals	ATDS Terminals	SPDS Terminals	144a Terminals	Status	Amendment	Billed as Prevoi Month
○	2021-05	31	21	1	1	Invoiced	No	No
○	2021-04	31	22	1	1	Invoiced	No	No

3. Contacts

This module is pre-populated with information pertaining to the contacts maintained for your organization including phone and email address. You may edit existing contact information as well as add new contacts.

Contacts

Location	Contact Type	First Name	Last Name	Phone #	Email	Mobile #	Billing Contact	Status
Headquarters	Primary	Joe	Smith		jsmith@abcpilot.com		N	Active

Reporting Usage

Usage is by product is reported on a monthly basis. Your firm will be able to report usage for the previous month at the beginning of the current month. For example, your firm will be able to report usage for November beginning December 1.

The current month for submission will have a workflow status of ***Open for Submission***.

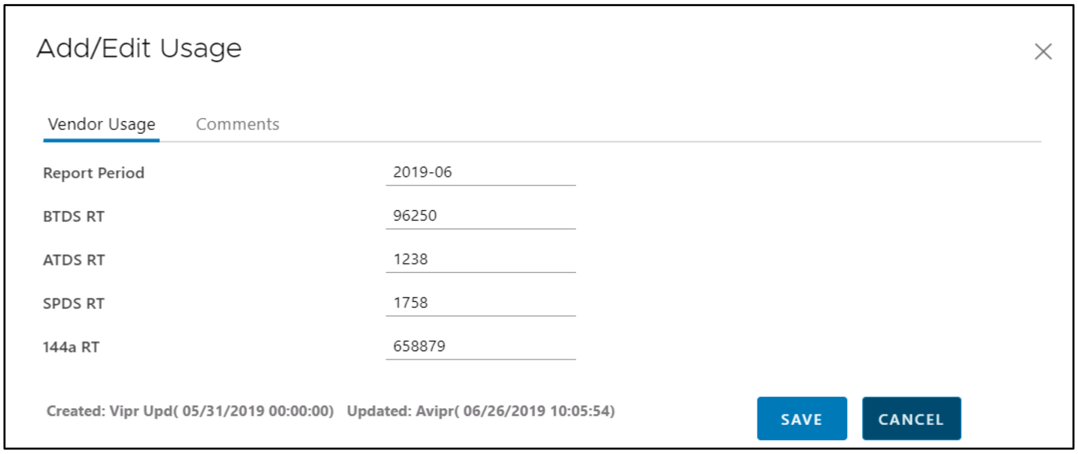
Usage

	Report Period	BTDS RT	ATDS RT	SPDS RT	144a RT	Status
○	2019-06	96,250	1,238	1,758	658,879	Open for Submission
○	2019-05	9,625	1,238	1,758	6,588	Invoiced

Reports are due by the 15th day of the month. If you miss the deadline for reporting, then the system will use the usage numbers that were reported the previous month.

Reporting Monthly Usage

1. Under **Usage**, double click the date of the report to display the usage form for the month.



2. Click the field next to the product you wish to populate and type in the total number of users with the ability to access Real-Time TRACE Data.

3. When all applicable products have been reported on, click **Save**. The Usage Report will close and the Vendor main screen will display. The usage numbers for the month display.

4. The report is complete, close the Vendor window to exit the system.

Creating an Amendment

If you discover that an error was made to a Usage Submission, but it is after the Reporting Period deadline, you must create an amendment to reconcile the error. Amendments may be created for any past Reporting Period available in the system.

From the Vendor Profile screen, under **Usage**:

1. Choose a prior reporting period with the status of ***Invoiced* or *In Review*** and double click to open the Add/Edit Usage Form.
2. Modify the data as applicable to reflect the correct usage number(s) then click the **Amend** button. The Add/Edit Usage Form closes and a second row displays for the billing period with a **Status** of Amended.

	Report Period	BTDS RT	ATDS RT	SPDS RT	144a RT	Status	Amendment
○	2019-06	9,800	1,238	1,758	658	Amended	Yes
○	2019-06	9,800	1,238	1,758	658,879	Invoiced	No

3. The system sends an email notification to FINRA Market Operations. Market Ops will reconcile the data changes on their end and change the Status to ***Invoiced***.

Maintaining Contacts

FINRA maintains a list of contacts for each vendor. Please review your list and edit/add as necessary.

Searching for a Contact

The Contact grid displays a list of all contacts FINRA currently maintains for the firm displayed.

Sorting

The list can be sorted in ascending or descending order by column type. For example, click the **Last Name** column header. The list will sort in ascending alphabetical order (an ↑arrow will display to the right of the column name.) Click the column header a second time to sort in descending order.

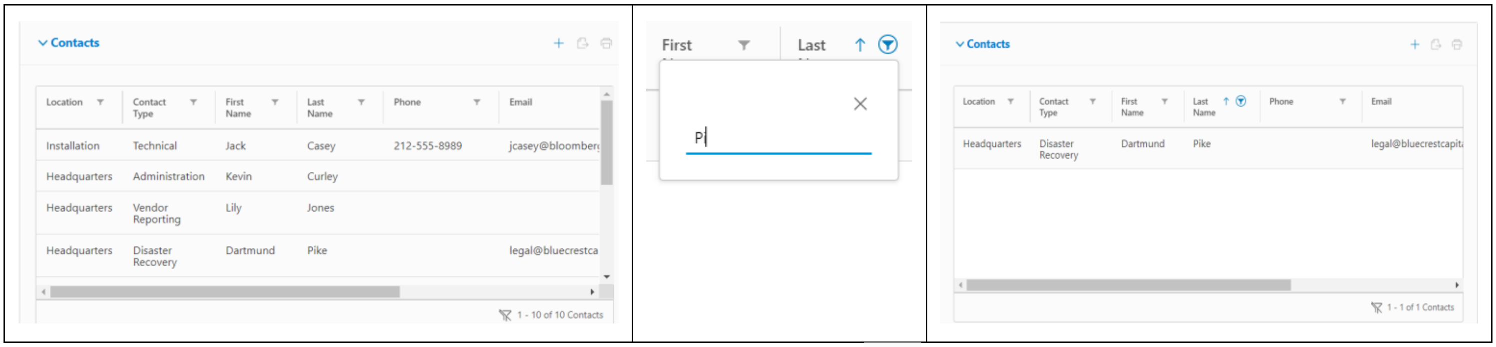
To remove the current sort preference and refresh the list, click **Remove Filter**. The list returns to the full display.

Filtering

The system features a “type ahead search” functionality that allows you to progressively search and filter through the existing text available.

To Filter the Contact List:

1. Click the **Filter Icon** to the right of the column you wish to filter. A text box displays.
2. Type the first letter of the word in the box. The list will automatically filter based on the number of matches to the search. The more letters you type, the more refined the return list becomes.



3. To remove the current sort preference and refresh the list, click **Remove Filter**. The list returns to the full display.

Edit an Existing Contact

Contacts will be pre-populated for you. Review the existing contact list and make edits as necessary.

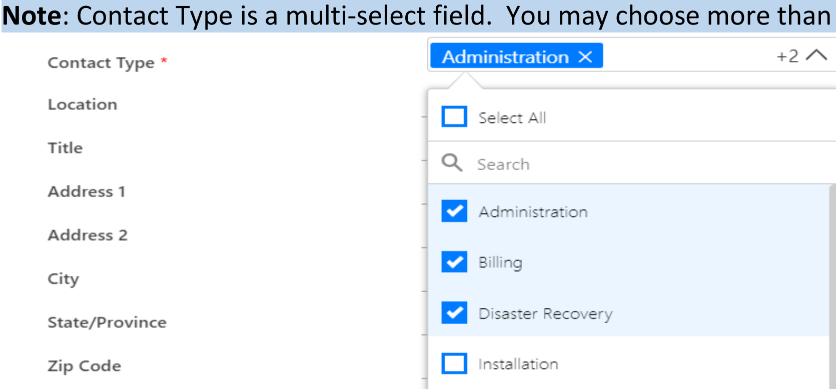
1. From the Contacts module, highlight the circle next to the user you with to edit.
2. Click **Edit** on the button bar. The **Add/Edit Contacts** window displays.
3. Click in any field to change, edit or clear information.
4. Click **Save** when the edits are complete. The Add/Edit window closes and the newly edited contact displays on the list.

Add a New Contact

You may add as many contacts as is necessary.

1. From the Contact module, on the button bar click + **Add**. A blank **Add/Edit Contacts** window displays. All fields denoted by an * are mandatory fields.
2. Click the field you wish to populate. Type or choose from the drop down menu as applicable.
3. Click **Save** when you have completed the information. The Add/Edit window closes and the new contact displays in the Contacts module.

Note: Contact Type is a multi-select field. You may choose more than one type- click the check box for all that apply.



FAQS

What if I don't know my Login?

Please contact your account administrator or the FINRA Call Center at 1-301-869-6699.

What if I submitted the wrong usage numbers?

The system allows you to edit your submitted numbers until the 15th of the month, after that you may create an amendment. Please contact Market Operations at 1-866-776-0800 regarding any updates to this data. You may also email TRACE Usage.

Who can I contact if I have questions?

TRACE Data Services at 1-888-507-3665

Is entry to this system sufficient or do I have to report usage via the old PDF?

Entry into our Vendor Management system is sufficient for usage. No need to report via the previous method.

I noticed some of the data in the vendor information is incorrect; how can it be corrected?

Please contact TRACE Data Services.

I have feedback regarding this website, who can I reach out to?

Please provide all feedback to TRACE Data Services.