

**Notice Address Language for  
CAT Reporter Agreement & CAT Reporting Agent Agreement**

Notices under CAT Reporter Agreement or CAT Reporting Agent Agreement

Notices under or related to a CAT Reporter Agreement or a CAT Reporting Agent Agreement must be directed as follows:

- **Notices of termination:** Notice of termination of a CAT Reporter Agreement required by Sections 6.2 and 6.4 of the CAT Reporter Agreement or CAT Reporting Agent Agreement shall be emailed to [CATPPAccess@finracat.com](mailto:CATPPAccess@finracat.com), with a copy to the FINRA CAT Helpdesk ([help@finracat.com](mailto:help@finracat.com)), and must include a reference to “Termination Notice” in the subject line.
- **Security-related notices:** Any security-related notices, including notices required under Sections 2.2 and 2.6 of the CAT Reporter Agreement or Sections 2.2 and 2.5 of the CAT Reporting Agent Agreement, shall be emailed to [security@finracat.com](mailto:security@finracat.com), with a copy to the FINRA CAT Helpdesk ([help@finracat.com](mailto:help@finracat.com)), and must include a reference to “Security Notice” in the subject line.
- **All other notices:** All other notices under or relating to a CAT Reporter Agreement or CAT Reporting Agent Agreement shall be emailed to the FINRA CAT Helpdesk ([help@finracat.com](mailto:help@finracat.com)) with a reference to “CRA Notice” or “CRAA Notice,” as applicable, in the subject line.

Any notice sent in accordance with the above related to a CAT Reporter Agreement or a CAT Reporting Agent Agreement shall be deemed to be notice to Consolidated Audit Trail, Inc. and to FINRA CAT, LLC (as the Plan Processor).

Any notice not directed as required above, even if actually received, shall not be considered effective notice under the terms of the CAT Reporter Agreement or the CAT Reporting Agent Agreement, as applicable.