

NASD Provides Guidance on AGU and QSR Relationships



Please Route To: Head Traders; Technical Contacts; Compliance Officers, Clearing Contacts

What you need to know:

- Pursuant to [NASD Member Alert: Notice to All TRF, ADF and Other NASD Facility Participants Regarding AGU and QSR Relationships](#), NASD/NASDAQ Trade Reporting Facility (TRF) participants who wish to submit locked-in trade reports under Qualified Service Representative (QSR) agreements will need to have an Automated Give-Up (AGU) agreement on record with NASDAQ for each QSR relationship by February 26, 2007.
- The [Uniform Trade Reporting Facility Service Bureau/Executing Broker Agreement](#) for relationships on the NASD/NASDAQ TRF should be faxed to NASDAQ Subscriber Services at 212.231.5426.
- Please note that NASD/NASDAQ TRF participants that have executed the [NASDAQ AGU/Attachment 2 Agreement](#) are not required to execute a new agreement.

Whom you should contact:

- [NASDAQ Market Sales](#) at 800.846.0477
- NASD Operations at 866.776.0800

What is NASD's guidance regarding AGU and QSR relationships?

As announced in [NASD Member Alert: Notice to All TRF, ADF and Other NASD Facility Participants Regarding AGU and QSR Relationships](#), NASD/NASDAQ TRF participants who wish to submit locked-in trade reports under QSR agreements will need to have an AGU agreement on record with NASDAQ® for each QSR relationship by February 26, 2007.

The form of give-up agreement that must be executed for purposes of "on behalf of" trade reporting to the NASD/NASDAQ TRF is the [Uniform Trade Reporting Facility Service Bureau/Executing Broker Agreement](#). The agreement should be faxed to NASDAQ Subscriber Services at 212.231.5426. Members that have already executed the [NASDAQ AGU/Attachment 2 Agreement](#) are not required to execute a new agreement.

Where can I get a list of my firm's QSR relationships?

For a list of your firm's QSR relationships without an AGU agreement, please contact [NASDAQ Market Sales](#) at 800.846.0477.

Where can I get additional information?

- Refer to the [NASD Member Alert](#).
- Contact [NASDAQ Market Sales](#) at 800.846.0477.
- Contact NASD Operations 866.776.0800.

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