



THE NASDAQ STOCK MARKET LLC (NASDAQ)  
**Waive-In Membership Application and Membership Agreement**

To qualify for expedited Waive-In Membership in The NASDAQ Stock Market LLC (NASDAQ®), the applicant must be an approved Financial Industry Regulatory Authority (FINRA™) member. To apply, please complete and submit this Waive-In Application Form and Membership Agreement and the NASDAQ OMX Services Agreement. Each application must be accompanied by a check for the \$2,000.00 application fee made payable to The NASDAQ Stock Market LLC.

Applications may be submitted via email to [membership@nasdaqomx.com](mailto:membership@nasdaqomx.com), or mailed to:

Deborah Siluk  
1735 K Street, NW  
6<sup>th</sup> Floor  
Washington, DC 20006-1506  
Attention: NASDAQ Membership Application Processing

**Waive-In Membership Application**

| A. General Company Information   |  |
|--|--|
| Applicant firm name and address:<br><br>_____<br><br>_____<br><br>_____<br><br>CRD Number _____<br><br>Firm Main Number _____  | Contact for questions concerning this application:<br><br>Name _____<br><br>Title _____<br><br>Phone _____<br><br>Email _____<br><br>Fax _____ |
| B. Nature of Activity on NASDAQ  |  |
| Please check the business activity(ies) in which the firm intends to engage as a NASDAQ member. If this is not the same business activity that the firm currently engages in as a FINRA member (e.g. market making), the applicant must, pursuant to FINRA Rule 1017, apply for approval to effect a material change in business operations. |  |
| <input type="checkbox"/> market maker<br><input type="checkbox"/> order entry<br><input type="checkbox"/> electronic communications network/alternative trading system<br><input type="checkbox"/> other: _____  |  |

| C. Clearing Arrangement   |  |
|---|--|
| <input type="checkbox"/> self clearing<br>Provide clearing account number _____   | <input type="checkbox"/> agreement with clearing agent<br>Provide clearing account number _____<br>Provide name of clearing agent _____  |
| D. Personnel  | E. Executive Representative  |
| Provide the following information for the person that will be primarily responsible for Applicant's NASDAQ trading activity:<br><br>Name _____<br><br>Title _____<br><br>Phone _____<br><br>Email _____<br><br>Fax _____  | Provide the following information for the person assigned as the NASDAQ Executive Representative, pursuant to NASDAQ <a href="#">Rule 1150</a> :<br><br>Name _____<br><br>Title _____<br><br>Phone _____<br><br>Email _____<br><br>Fax _____ |
| F. Registration Requirements  |  |
| <p>Pursuant to NASDAQ <a href="#">Rules 1020</a> and <a href="#">1030</a>, upon approval of membership, your firm must access WebCRD and register all of its associated persons who are active in the following registration categories:</p> <ul style="list-style-type: none"> <li>▪ Series 6 (Limited Representative, Investment Company and Variable Contracts Products)</li> <li>▪ Series 7 (General Securities Representative)</li> <li>▪ Series 9/10 (General Securities Sales Supervisor)</li> <li>▪ Series 11 (Assistant Representative Order Processing)</li> <li>▪ Series 17 (United Kingdom – Limited General Securities Registered Representatives)</li> <li>▪ Series 24 (General Securities Principal)</li> <li>▪ Series 26 (Limited Principal, Investment Company and Variable Contracts Products)</li> <li>▪ Series 27 (Financial and Operations Principal)</li> <li>▪ Series 28 (Introducing Broker/Dealer Financial and Operations Principal)</li> <li>▪ Series 37/38 (Canada – Limited General Securities Registered Representative)</li> <li>▪ Series 55 (Equity Trader)</li> <li>▪ Series 62 (Corporate Securities Representative)</li> </ul> |  |

**The NASDAQ Stock Market LLC  
Membership Agreement**

Firm name: \_\_\_\_\_ CRD number: \_\_\_\_\_

In connection with this application for membership in The NASDAQ Stock Market LLC (NASDAQ®), and in the event that this application is approved for NASDAQ membership, the Applicant hereby agrees to abide by the terms and conditions set forth below.

The Applicant undertakes to (1) engage only in those business activities permissible pursuant to its membership agreement(s) with NASDAQ, NASDAQ OMX BX<sup>SM</sup>, NASDAQ OMX PHLX<sup>SM</sup>, FINRA<sup>TM</sup>, and any other Self-Regulatory Organization of which the Applicant is a member; (2) obtain the prior approval of NASDAQ pursuant to NASDAQ [Rule 1017](#) before removing or modifying any restrictions imposed on permissible business activities or before effecting any material change in business operations; and (3) file a written notice and application with NASDAQ at least 30 days prior to effecting a change in the ownership or control of the Applicant pursuant to NASDAQ Rule 1017, in circumstances where required by the Rule.

The Applicant also agrees:

- A. To comply with the federal securities laws, the rules and regulations thereunder, the NASDAQ rules and all rulings, orders, directions and decisions issued and sanctions imposed under the NASDAQ rules;
- B. To pay such dues, assessments and other charges in the manner and amount as from time to time shall be fixed pursuant to the NASDAQ rules;
- C. That this Agreement has been executed on behalf of, and with the authority of, the above-named Applicant.

The Undersigned and Applicant represent that the information and statements contained within the application and other information filed are current, true, and complete. The undersigned and the Applicant further represent that to the extent that any information submitted is not amended, such information is currently accurate and complete and agree that the information contained in the Applicant's Uniform Application for Broker-Dealer Registration (Form BD) will be kept current and accurate by proper amending of the Form BD as changes occur. Applicant further represents that the registrations for waive-in Associated Persons, registered with NASDAQ, will be kept current by proper amending of Form U4 & Form U5.

By:

Print name \_\_\_\_\_

Title \_\_\_\_\_

Signature \_\_\_\_\_

Date \_\_\_\_\_