



Affiliated Entity Enrollment Form

PHLX members and NOM and BX Options Participants wishing to be designated as an Appointed Market Maker (“Appointed MM”) and an Appointed Order Flow Provider (“Appointed OFP”) in order to form an Affiliated Entity to aggregate executed volumes for certain pricing rebates and fee discounts must complete this form.

Affiliated Entity Information	
Member Name:	CRD No.
Identify relevant Nasdaq options markets (check all that apply):	
PHLX	NOM
	BX Options
Appointed Entity:	CRD No.
Appointed MM	Appointed OFP
Authorized Signature (Must be signed by a designated principal)	
Authorized Signature:	Date:
Print Name:	Title:
Email Address:	Phone:

Completed forms must be received at least 3 business days prior to the last day of the month to qualify for the next month’s billing cycle.¹ Each counterparty is required to submit a completed form appointing their counterparty and consenting to the Affiliated Entity relationship. The form should be emailed to membership@nasdaq.com.

¹ Each Affiliated Entity relationship will commence on the 1st of a month and may not be terminated prior to the end of any month. An Affiliated Entity relationship will terminate after a one (1) year period, unless either party terminates earlier in writing by sending an email to the Exchange at least 3 business days prior to the last day of the month to terminate for the next month. Affiliated Entity relationships must be renewed annually. Those members or Participants under Common Ownership may not qualify as a counterparty to an Affiliated Entity.