



MPID Request Form

Market participants should use this form to: (1) request a market participant identifier (MPID) to use when interacting with NASDAQ's proprietary systems and/or for FINRA-related purposes or (2) request an additional market participant identifier (MPID) or (3) modify the use of an existing additional MPID.

- Please also note that there is a separate [MPID Change Request Form](#) to change an existing MPID.

The market participant that proposes to use an MPID must complete this form and submit it to NASDAQ Subscriber Services by mail or fax. Please note that fees may apply for supplemental MPIDs. If you have any questions, please contact NASDAQ Subscriber Services or your NASDAQ Market Sales representative at the numbers listed below.

NASDAQ Subscriber Services

ATTN: NASDAQ Subscriber Services
One Liberty Plaza
New York, NY 10006
Phone: +1 212 231 5180
Fax: +1 212 231 5426

NASDAQ Market Sales


Phone: +1 800 846 0477
Email: Sales@nasdaqomx.com

MARKET PARTICIPANT NAME: _____

CONTACT NAME: _____ CONTACT PHONE #: _____

CONTACT E-MAIL: _____ CONTACT FAX #: _____

A signature is required by a CRD-registered principal of the firm.

 SIGNATURE: _____

PRINT NAME: _____

POSITION: _____

DATE: _____

PLEASE PRINT

1. Request Initial MPID:
2. Current MPID(s):
3. Additional MPID Requested (please list 3 choices, in order of preference, subject to availability)
4. If the additional MPID request is approved, which MPID should be designated as your primary MPID?

5. Which market center will you use the additional MPID for

- | | |
|---|--|
| <input type="checkbox"/> NASDAQ Equities | <input type="checkbox"/> NASDAQ PSX Equities |
| <input type="checkbox"/> NASDAQ BX Equities | <input type="checkbox"/> NASDAQ Options Market |

6. Reason for requesting additional MPID: Please check only the reason(s) that apply to your specific request.

6.a. Entering orders into the NASDAQ system

- Firm use for entering orders/quotes into the NASDAQ system
 - Unattributable (accessing and/or displaying interest anonymously)
 - Attributable (displaying the MPID in the quotation montage)
 - Routing (sending orders outside NASDAQ OMX)

Direct Sponsored Access into the NASDAQ system

(Sponsored participant sends orders to NASDAQ system through a direct connection, using the firm's MPID)*

- Unattributable (accessing and/or displaying interest anonymously)
- Attributable (displaying the MPID in the quotation montage)
- Routing (sending orders outside NASDAQ OMX)

Customer Access into the NASDAQ system

(Customer sends orders to NASDAQ system through the firm's system, using the firm's MPID)

- Unattributable (accessing and/or displaying interest anonymously)
- Attributable (displaying the MPID in the quotation montage)
- Routing (sending orders outside NASDAQ OMX)

6.b. Secondary clearing (please include name and CRD # of Clearing Firm)

6.c. Significant corporate transaction (please provide a detailed explanation, including the time frame, in item 5)

6.d. Separately recognized affiliate (please include name and CRD # of firm)

* Sponsoring Member also must execute a User Agreement and a Notice of Consent for each direct sponsored access arrangement.

6.e. FINRA-related purposes

- TRACE
- OATS
- Other (please specify) _____

6.f. Other business reason (please specify in item 5)

- 7. Add detailed explanation of reason(s) checked in item 4 or any additional comments to help us to understand the proposed use of the MPID. Attach explanation if necessary.
- 8. Share volume reports in the NASDAQ Broker/Dealer DataSM and on the NASDAQ Trader website, will attribute volume reported by these additional MPIDs under a market participant's primary or existing MPID, and therefore, your firm's trading volume will be aggregated and displayed under one single MPID in these reports.
 - Opt Out to Aggregated Volume Display.** Check this box, if you prefer that volume information **NOT** be aggregated under one MPID, and instead, that volume information be attributed and displayed in the above- mentioned reports by individual MPIDs.
- 9. Risk Management Option
 - Check this box if you are a **self-clearing firm** and prefer that trades under the multiple MPID be subject to ACT risk management processing.

Please note: If you do not receive a response to this request within 2 days, please call NASDAQ Subscriber Services at +1 212 231 5180 or NASDAQ Market Sales at +1 800 846 0477 to make sure that your request has been received.