

NASDAQ OMX PHLX LLC
NASDAQ OMX PSX REQUEST FORM

INSTRUCTIONS

PHLX member firms wishing to participate on the NASDAQ OMX PSX (PSX) equity platform should fill out this form in its entirety, attach required supplemental documents, if applicable, and submit to:

NASDAQ OMX Membership Department
 1900 Market Street, 8th Floor
 Philadelphia, PA 19103
 Fax: +1 215 496 5399
 Email: membership@nasdaqomx.com

MEMBER ORGANIZATION INFORMATION

Full Legal Name of Firm _____ CRD No. _____
 Phone _____ Fax _____
 Individual Completing Application _____
 Email Address _____ Phone _____
 PHLX Qualifying Permit Holder (PHLX Rule 921) : _____

NASDAQ OMX PSX EQUITY MARKET TRADE IDENTIFIER

- Will utilize existing MPID
Provide MPID _____
- Will require MPID assignment
(attach MPID Request Form)

APPLICANT PSX CLEARING INFORMATION (PHLX RULE 3211 (2))

- Self clearing
 - Agreement with clearing agent
- Provide NSCC clearing account number _____
 Name of clearing agent (if not self):

REGISTRATION REQUIREMENTS (PHLX RULE 604 (g) AND (h))

If not already submitted as part of a recently filed new member application with PHLX, you must attach a list of associated persons engaged in the organization's trading activities along with a list of the persons responsible for supervision. This list should note all relevant licenses.

EXCHANGE MEMBERSHIPS

Indicate other SROs of which the applicant is a member:

- | | |
|--|---|
| <input type="checkbox"/> BATS Exchange (BATS) | <input type="checkbox"/> International Stock Exchange (ISE) |
| <input type="checkbox"/> Boston Options Exchange (BOX) | <input type="checkbox"/> NASDAQ OMX BX (BX) |
| <input type="checkbox"/> Chicago Board Options Exchange (CBOE) | <input type="checkbox"/> The NASDAQ Stock Market (NQX) |
| <input type="checkbox"/> Chicago Stock Exchange (CHX) | <input type="checkbox"/> National Stock Exchange (NSX) |
| <input type="checkbox"/> Direct Edge (EDGA) | <input type="checkbox"/> New York Stock Exchange (NYSE) |
| <input type="checkbox"/> Direct Edge (EDGX) | <input type="checkbox"/> NYSE Amex LLC (NYSE Amex) |

Financial Industry Regulatory Authority (FINRA)

NYSE Arca (ARCA)

BILLING INFORMATION

Each member and participant shall be liable for such fees, fines, dues, penalties and other amounts imposed by the Exchange in connection with his permit and any activities conducted in connection therewith by such member or participant, whether or not any such obligation was incurred on behalf or for the account of the member or participant, or on behalf or for the account of a member or participant organization with which such member or participant is associated. (PHLX Rule 924)

Contact Person _____

Direct Mailing Address _____

Phone _____ Email Address _____

SIGNATURES

We hereby represent that we have read and understand the above information and that the answers and attachments are, to the best of our knowledge and belief, true and correct. As a PSX participant on NASDAQ OMX PHLX LLC, we hereby pledge to submit to and abide by the By-Laws and Rules of the Organization, as now existing and as hereafter duly amended from time to time.

Date

Authorized Member Organization Signature

Printed Name / Title

Qualifying Permit Holder Signature / Title

REQUIRED SUPPLEMENTAL MATERIAL

- List of associated Individuals and persons responsible for supervision (PHLX Rule 604 (G) and (h))
- Executed NASDAQ OMX U.S. Services Agreement (**Required only if your organization has not previously submitted this for another NASDAQ OMX marketplace**)
- MPID Request form, if applicable