

NASDAQ Provides Updated Lists of Included Financial Firms in Response to the SEC's Emergency Short Sale Order



Please Route To: Head Traders; Technical Contacts; Compliance Officers; Buy-Side Traders

What you need to know:

- The following NASDAQ-listed companies are being added to NASDAQ's list of Included Financial Firms under the SEC's Emergency Short Sale Order:
 - Hercules Technology Growth Capital, Inc. (HTGC)
 - Patriot Capital Funding, Inc. (PCAP)
 - Effective **Wednesday, September 24, 2008**, these companies will be subject to the restrictions of the SEC's Emergency Order.
- The following NASDAQ-listed company has been voluntarily removed from the SEC's original list of Included Financial Firms:
 - Greenlight Capital Re, Ltd. (GLRE)
 - Effective **Wednesday, September 24, 2008**, this company will **not** be subject to the restrictions of the SEC's Emergency Order.
- Firms should visit the [NASDAQ Trader website](#) for future list updates.
- NASDAQ plans to work in concert with other exchanges to provide a consolidated list of all covered securities for the industry. We plan to provide this list tomorrow for trading on Thursday, September 25th.

Where can I get additional information?

- View [Regulatory Alert #2008-21](#).
- View current and historical lists of [Included Financial Firms](#) on the NASDAQ Trader website.
- Contact [NASDAQ Market Operations](#) +1 212 231 5100.
- Contact NASDAQ MarketWatch at +1 800 211 4953.

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