



FINRA/NASDAQ Trade Reporting Facility

Billing Adjustment Form

Instructions

Please provide all the requested information below and email the signed form(s) with supporting documentation to tradingtools@nasdaqomx.com by November 23, 2012. The subject line of the email should include the following text: **FINRA/NASDAQ TRF Billing Adjustment Request.**

Supporting documentation must contain the **Trade Report Date, ACT Control Number, FIX Tag 54 input value, and FIX Tag 858 input value** of the following TRF trade reports submitted between January 3, 2011, and January 27, 2012:

- o Original trade report submitted via FIX where the interpretation did not accurately reflect the parties' intention.
- o Same day corrected trade report to the original trade report.
- o Corrected or "As of" trade report to the original trade report

Supporting documentation must be provided using the template provided by NASDAQ OMX and contain the above details of the original trade and details of the corresponding corrected trade report. Each file should not be larger than 10 MB size

Each file of the supporting documentation should be no more than 10 MB and if the files are too large to be sent electronically, the completed form(s) and the file in a CD-ROM or USB drive can be mailed to the following address with a postmark no later than November 23, 2012:

NASDAQ OMX
Attention: Athena Lai
805 King Farm Blvd
Rockville, MD 20850

You will receive a reply back from NASDAQ OMX within 3 business days after receipt of the signed form and supporting documentation to confirm your request has been received. If you do not receive a reply from NASDAQ OMX, please contact Athena Lai at athena.lai@nasdaqomx.com or +1 301 978-5262.

For TRF fees, once the request has reviewed and verified by NASDAQ OMX, the contact provided on this form will be notified by NASDAQ OMX of the NASDAQ invoice in which the credit will be included.

