

NASDAQ OMX BX Membership Agreement

Firm Applicant Name

Central Registration Depository (CRD) Number

In connection with this application for membership in NASDAQ OMX BX (“BX”), and in the event that this application is approved for BX membership, the Applicant hereby agrees to abide by the terms and conditions set forth below:

The Applicant undertakes to (1) engage only in those business activities permissible pursuant to its membership agreement(s) with BX, NASDAQ, FINRA, the New York Stock Exchange, and any other Self-Regulatory Organization of which the Applicant is a member; (2) obtain the prior approval of BX pursuant to BX Rule 1017 before removing or modifying any restrictions imposed on permissible business activities or before effecting any material change in business operations; and (3) file a written notice and application with BX at least 30 days prior to effecting a change in the ownership or control of the Applicant pursuant to BX Rule 1017, in circumstances where required by the Rule.

The Applicant also agrees:

- A. To comply with the federal securities laws, the rules and regulations thereunder, all rules applicable to BX members, and all rulings, orders, directions and decisions issued and sanctions imposed under rules applicable to BX members;
- B. To pay such dues, assessments and other charges in the manner and amount as from time to time shall be fixed pursuant rules applicable to BX members;
- C. That this Agreement has been executed on behalf of, and with the authority of, the above-named Applicant.

The Undersigned and Applicant represent that the information and statements contained within the application and other information filed are current, true, and complete. The undersigned and the Applicant further represent that to the extent that any information submitted is not amended, such information is currently accurate and complete and agree that the information contained in the Applicant’s Uniform Application for Broker-Dealer Registration (Form BD) will be kept current and accurate by proper amending of the Form BD as changes occur. Applicant further represents that the registrations for Associated Persons, registered with BX, will be kept current by proper amending of Form U4 & Form U5.

By
Print Name

Title

Authorized Signature

Date
