

Application to Aggregate Billing of Affiliated Member Firms¹

In accordance with NASDAQ, NTX and PHLX rules², a member or member organization may request aggregation of its activity with its affiliates for charges assessed or credits provided. Such request shall include certification of the affiliate status of entities whose activity the member or member organization is seeking to aggregate.

Date:		<input type="checkbox"/> Initial Application	<input type="checkbox"/> Amendment
Full Name of Primary Applicant Firm:			

CRD No.:		Primary Equity MPID:		Primary Options Account:	
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Please check the applicable Market(s)

<input type="checkbox"/> NASDAQ Stock Market/NOM	<input type="checkbox"/> Nasdaq Texas / NTX Options	<input type="checkbox"/> NASDAQ OMX PHLX/PSX
<input type="checkbox"/> Equity	<input type="checkbox"/> Equity	<input type="checkbox"/> Equity
<input type="checkbox"/> Options	<input type="checkbox"/> Options	<input type="checkbox"/> Options

Affiliated Members - Provide the following information: list all affiliated member firms; associated CRD Numbers; MPIDs and Accounts as applicable. Failure to provide complete information may result in rejection of this application.

Member Firms to be Affiliated with Primary Applicant	CRD No.	Primary Equity MPID	Primary Options Account

¹ If two or more members become affiliated on or prior to the sixteenth day of a month, and submit the required request for aggregation on or prior to the twenty-second day of the month, an approval of the request shall be deemed to be effective as of the first day of that month. If two or more members become affiliated after the sixteenth day of a month, or submit a request for aggregation after the twenty-second day of the month, an approval of the request shall be deemed to be effective as of the first day of the next calendar month.

² See NASDAQ and NTX Rule 7027, NOM and NTX Options Chapter XV and the PHLX Pricing Schedule.

Amended 10.6.14

Authorized Officer - Provide information on the individual responsible for completing this Application and executing the Certification and Agreement below on behalf of the applicant firm. NOTE: This individual will be considered responsible for providing any amendments to this form as required by the relevant Rules referenced above.

Name:		Title:	
Phone:		Email:	

Certification and Agreement

The Applicant firm, by its duly authorized officer identified below, hereby certifies that the entities listed in this application are affiliates within the meaning of the relevant Rules. The Applicant Firm agrees to provide, upon request, information to verify the affiliate status of the entities listed herein. The Applicant Firm shall also provide immediate notice of any event that causes an entity listed herein to cease to be an affiliate of the Applicant Firm.

Signature of Authorized Officer:	Date:	
Approved by NASDAQ Regulation:	Date:	

This Application should be submitted to the NASDAQ Membership Department by email to Membership@nasdaq.com. Questions may be directed to Susan Murray at 215-496-5322 or Mary Griffenberg at 215-496-5159.

ONLY A PHLX MEMBER FIRM OR ASSOCIATE MEMBER FIRM MAY REQUEST ACCESS TO PHLX XL. THIS REQUEST MUST BE SIGNED BY AN OFFICER OF THE PHLX MEMBER FIRM AND THE ORIGINAL DELIVERED TO THE PHLX. IT IS ALSO THE MEMBER FIRM'S RESPONSIBILITY TO NOTIFY THE PHLX IF ANY INFORMATION PROVIDED BELOW CHANGES.

1. All firms accessing via a Service Bureau are required to sign the Service Bureau Agreement (<http://www.nasdaqtrader.com/content/AdministrationSupport/AgreementsTrading/nwiagreement.pdf>). All services and products requested on this form are governed by the terms in the NASDAQ U.S. Services agreement NASDAQ U.S. Services agreement and the NASDAQ Transaction Services Policies document. If you do not receive a written confirmation from NASDAQ within 3 business days that your request has been received and processed, please contact NASDAQ Subscriber Services at 212 231 5180 or subscriber@nasdaq.com.

2. NASDAQ PHLX LLC Rule 1094 and The NASDAQ Stock Market LLC and Nasdaq Texas, LLC. Rules 4615 allow market participants to enter into sponsored access relationships. Sponsored Access is defined in these rules as an arrangement whereby a member, member organization or Participant permits its customers to enter orders into the exchange's trading system that bypass the member's, member organization's or Participant's trading system and are routed directly to the exchange, including routing through a service bureau or other third party technology provider. If you have a sponsored access arrangement, you are required to disclose that relationship by sending an email to membership@nasdaq.com. Please indicate the party that is being sponsored by your firm and on which market. This information is utilized for both regulatory and operational information in granting access to these markets.

Please be advised that beginning on January 2, 2013, all new port requests from subscribers must be received no later than 3:00PM EST to guarantee processing for the next trading day. In the event that NASDAQ receives a request after 3:00PM EST, every effort will be made by Subscriber Services to process the request for the next day, but delivery will not be guaranteed. In all cases, Subscriber Services will respond promptly with an estimated date of completion.

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