



Application to Aggregate Activity of Affiliated FINRA/Nasdaq TRF Members¹

In accordance with FINRA/Nasdaq TRF rules², a member may request that the FINRA/Nasdaq Trade Reporting Facility aggregate its activity with the activity of its affiliates. Such request shall include certification of the affiliate status of entities whose activity the member is seeking to aggregate.

Date:		<input type="checkbox"/> Initial Application	
		<input type="checkbox"/> Amendment	
Full Name of Primary Applicant Firm:			
CRD #:		Primary TRF MPID:	
Please check the applicable Market <input type="checkbox"/> FINRA/Nasdaq TRF			
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		% Ownership	CRD #
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 Subscriber Services by email to subscriber@nasdaq.com . Questions may be directed to Subscriber Services at 212-231-5180.			

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 FINRA/Nasdaq TRF Rule [7630A. Aggregation of Activity of Affiliated Members](#).