

SPONSORED PARTICIPANT ADDENDUM TO ACCESS AGREEMENT

On behalf of the approved Member Organization, the undersigned hereby notifies NASDAQ OMX Group, Inc. ("NASDAQ") that it intends to act as a Sponsoring Member Organization for the following Sponsored Participant:

Sponsored Participant: _____ **CRD #:** _____

Contact Name and Title: _____

Address, City, State, Zip: _____

Phone: _____ **Fax:** _____ **Email:** _____

Market:

- ☐ NASDAQ Stock Market
 - ☐ Equities
 - ☐ Options
- ☐ NASDAQ OMX BX
 - ☐ Equities
 - ☐ Options
- ☐ NASDAQ OMX PHLX
 - ☐ Equities
 - ☐ Options¹

Pursuant to the Access Agreement previously entered into, we are an approved member organization and have been designated by the Sponsored Participant to execute, clear, and settle transactions resulting on or through the NASDAQ Trading Systems. Pursuant to NASDAQ Exchange Rules, we acknowledge and agree that any orders entered into NASDAQ Trading Systems by the Sponsored Participant or any person acting on behalf of or in the name of the Sponsored Participant that identify us as the Sponsoring Member Organization and any execution occurring as a result of such orders are binding in all respects on us. In this regard, we acknowledge and agree that we are responsible for all related contractual and regulatory obligations. We hereby acknowledge and agree that we are responsible for any and all actions taken by the Sponsored Participant or any person acting on behalf of or in the name of the Sponsored Participant on or through NASDAQ Trading Systems.

Sponsoring Member Organization: _____ **CRD #:** _____

¹ Sponsored participants on the PHLX options market will require an additional account number.
Sponsored Participant Addendum to Access Agreement – Revised 6/19/12

Exchange Membership:

☐ NASDAQ Stock Market

☐ NASDAQ OMX BX

☐ NASDAQ OMX PHLX

Sponsoring Organization Authorized Signature:

Name and Title of Authorized Official: _____

Date: _____

Accepted by NASDAQ on: _____

Name and Title of Authorized Official: _____

Signature of Authorized Official: _____