

Application for Registration as a Market Maker

Instructions

Broker-Dealers that are applying to become registered NASDAQ Market Makers for the first time should submit their application to the NASDAQ Subscriber Services department (address listed below). It will then be forwarded to your local NASD District Office and NASDAQ Regulation. Subscriber Services will contact you upon approval from the District Office.

This application form should be returned to:

The NASDAQ Stock Market
Subscriber Services Department
One Liberty Plaza
New York, NY 10006
Phone 212.231.5180

1) Name of Applicant Firm:

2) Address of Applicant Firm:

3) Office telephone number: _____

4) Trading Room telephone number: _____

5) Market Participant Identifier (MPID): _____

6) Normal Close of Trading: _____ Eastern Time

7) Do you desire to register a broker/dealer that will act as your correspondent or with whom you will have an "Other Arrangement," e.g., joint account?

Correspondent: Yes: _____ No: _____

Other Arrangement: Yes: _____ No: _____

MPID of Correspondent or Other Arrangement: _____

8) Is the main office of your firm located within a 25 mile radius of any of the following stock clearing corporations (check all applicable entities)

- National Securities Clearing Corporation (NSCC)
- Boston Stock Exchange Clearing Corp (BSECC)
- Midwest Clearing Corporation (MCC)
- Pacific Clearing Corporation (PCC)
- Other _____
- Stock Clearing Corp of Philadelphia (SCCP)
- None of the Above

9) Is your firm a member of any of the following? (check all applicable entities)

- National Securities Clearing Corporation (NSCC)
- Boston Stock Exchange Clearing Corp (BSECC)
- Midwest Clearing Corporation (MCC)
- Pacific Clearing Corporation (PCC)
- Other _____
- Stock Clearing Corp of Philadelphia (SCCP)
- None of the Above

10) Does your firm utilize the facilities of the following stock clearing corporations either through direct clearing or through a correspondent broker? (check all applicable entities)

| | Direct Clearing Broker | Correspondent |
|---|-----------------------------------|----------------------|
| National Securities Clearing Corporation (NSCC) | _____ | _____ |
| Midwest Clearing Corporation (MCC) | _____ | _____ |
| Pacific Clearing Corporation (PCC) | _____ | _____ |
| Stock Clearing Corp of Philadelphia (SCCP) | _____ | _____ |
| Boston Stock Exchange Clearing Corp (BSECC) | _____ | _____ |
| Other _____ | _____ | _____ |
| None of the Above | _____ | _____ |

Note:

By signing this agreement the firm accepts full responsibility for having knowledge of and adhering to all rules and regulations governing NASDAQ. It is advisable; therefore, that the NASDAQ Rule 4000 series (Marketplace Rules) be fully read and understood by the firm before NASDAQ participation is implemented.

Authorized Signature of Individual responsible for firms security registration

Please print or type name and title of individual signing form

Date