

Nasdaq

MPID Change Request Form

Complete this form and fax to: NASDAQ Subscriber Services Fax #: 212-231-5426; Phone #: 212-231-5180. If you have any questions, please email Nasdaq Subscriber Services: subscriber@nasdaq.com

Firm Name:		Date:	
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1. Change Request Type:

Check appropriate box and complete additional requested information.

Cancel MPID:

Firm changing from:

Current Firm Name

Current MPID

BD#

If this is a merger or acquisition, please provide the other firms information.

Current Firm Name

Current MPID

BD#

Firm(s) changing to:

Firm Name on the Effective Date

Firm MPID on the Effective Date

BD#

2. Requested Date of Change: _

For MPID cancellations this date should be the date of this request. (Date)

For other changes this date should be on a Monday and requires a minimum of two weeks notice.

3. Contact Information:

Contact Name:		Contact phone #:	
Contact E-Mail:		Contact Fax #:	

4. Reason for Change:

- Merger
- Acquisition
- Name Change
- Other

5. Volume History – Mergers / Acquisitions only

Involving 2 MPIDs:

- No Historical Change Required, All Future Volume attributed to surviving MPID.
- All History for both MPIDs attributed to surviving MPID. Non-surviving MPID history not preserved.

Involving 3 MPIDs:

- No Historical change for one MP (please define first MPID _____),
the second MP's volume history (please define second MPID _____)
is attributed to the new MPID.
- All Historical Volume attributed to the new MPID, No history exists for either of the original MPIDs.
- No Historical Change Required, All Future Volume attributed to new MPID.

6. Comments:

7. Approval:

A signature is required from an officer of each company involved.

Signature:		Signature:	
Print Name:		Print Name:	
Position:		Position:	