

Updated 5/3/2018

**ATS Market Maker Contra Media Cap Program**

In accordance with FINRA/Nasdaq Trade Reporting Facility (TRF) rules,<sup>2</sup> a member or member organization must certify every six months that it provides market making functions on its off-exchange trading activity to be eligible for a fee cap based on Contra Media Activity trades.

<b>Date:</b>	<b>Initial Application Date:</b>
<b>Full Name of Firm</b>	
<b>CRD No:</b>	<b>Primary MPID:</b>
Provide the following information: list all trading venues registered pursuant to Regulation ATS on which submitting firm participates as a market maker; Firm Name, ATS Name, MPID	

Firm Name (Owner of ATS)	ATS Name	ATS MPID

**Authorized Officer** - Provide information on the individual responsible for completing this Attestation 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.

<b>Name:</b>	<b>Title:</b>
<b>Phone:</b>	<b>Email:</b>

**Certification and Agreement**

The Applicant firm, by its duly authorized officer identified below, hereby certifies that the entities listed in this application are where the submitting firm is a market maker. The Applicant Firm agrees to provide Nasdaq, Inc., upon request, information to verify the market making 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 a market maker of the referenced firms.

<b>Signature of Authorized Officer:</b>	<b>Date:</b>
<b>Approved by Nasdaq Regulation:</b>	<b>Date:</b>

<sup>1</sup> **Market Making Activities must include:** 1) maintaining two-sided quotes for each security within each ATS the submitting firm references 2) displaying a quotation size for at least one normal unit of trading (specific for each security)  
<sup>2</sup> See FINRA/Nasdaq Trade Reporting Facility Rule 7620A.