

# Application to Aggregate Billing of Affiliated Member Firms<sup>1</sup>



In accordance with Nasdaq, BX, PHLX and ISE rules<sup>2</sup>, a member or member organization may request aggregation of its activity with its affiliates for charges assessed or credits provided. Such request shall include certification of the affiliate status of entities whose activity the member or member organization is seeking to aggregate.

Date:		Initial Application	Amendment
<b>Full Name of Primary Applicant Firm:</b>			
<b>CRD No.:</b>			
<p><b>Affiliated Members</b> – Provide a list of all affiliated member firms and the associated CRD Number <u><b>Failure to provide complete information may result in rejection of this application.</b></u></p>			
<b>Member Firms to be Affiliated with Primary Applicant</b>			<b>CRD No.</b>
<p><b>Authorized Officer</b> - Provide information on the individual responsible for completing this Application and executing the Certification and Agreement below on behalf of the applicant firm. <b>NOTE:</b> This individual will be considered responsible for providing any amendments to this form as required by the relevant Rules referenced above.</p>			
<b>Name:</b>		<b>Title:</b>	
<b>Phone:</b>		<b>Email:</b>	
<b>Certification and Agreement</b>			
<p>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.</p>			
Signature of Authorized Officer:		Date:	
Approved by Nasdaq/ISE Membership:		Date:	
<p>This Application should be submitted to Nasdaq/ISE Membership by email to <a href="mailto:Membership@nasdaq.com">Membership@nasdaq.com</a>. Questions may be directed to Susan Murray at 215-496-5322, Mary Griffenberg at 215-496-5159 or Ronan Cahill at 215-496-1485.</p>			

<sup>1</sup> 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.

<sup>2</sup> See Nasdaq and BX Rule 7027, NOM and BX Options Chapter XV and the PHLX and ISE Pricing Schedules.