

Application to Aggregate Activity of Affiliated FINRA/Nasdaq TRF Members¹

In accordance with FINRA/Nasdaq TRF rules², a member may request that the FINRA/Nasdaq Trade Reporting Facility aggregate its activity with the activity of its affiliates. Such request shall include certification of the affiliate status of entities whose activity the member is seeking to aggregate.

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Date:			🗆 Initial Applic	ation	L	Amendment
	Full Name of Primary Appli	cant Firm				
CRD #:	Primary TRF MPID:					
	Please check the applicable Market					
	FINRA/Nasdaq TRF					
	Affiliated Members - Provide the following information: list all affiliated member firms; associated CRD Numbers;					
	MPIDs and Accounts as applicable. Failure to provide complete information may result in rejection of this					
	application.					
Member Fin	rms to be Affiliated with Prima	ry Applica	int	% Ownership	CRD #	Primary TRF MPID
	Authorized Officer - Provide	e informat	tion on the individ	ual responsible fo	r completi	ng this Application and
	Authorized Officer - Provide executing the Certification of	-				
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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.

² See FINRA/Nasdaq TRF Rule <u>7630A. Aggregation of Activity of Affiliated Members</u>.