

Company Event Notification Form

Welcome

The user may elect to complete this online form all at once or in stages, entering and updating information over a period of time. The program will permit users to update the form and upload additional documents as long as the Form Status is "Open" (i.e., pending review by Nasdaq Staff).

Questions concerning this form should be directed to Corporate Data Operations at 1 877 308 0523.

GENERAL COMPANY INFORMATION

Company Name

Please provide information for two people that we can contact, if necessary, in connection with processing this Form.

	Company Contact	Additional Contact
Name *	<input type="text"/>	<input type="text"/>
Title/Firm	<input type="text"/>	<input type="text"/>
Contact Phone *	<input type="text"/>	<input type="text"/>
Contact Email *	<input type="text"/>	<input type="text"/>
Primary Contact *	<input type="radio"/>	<input type="radio"/>

Type of Change

The information required by the Exchange varies depending on the type of event being reported.

Multiple events may be reported in one form provided that the effective date for these changes is the same. With this in mind, select all events that apply:

Section 1. Change in Company Name

A new Listing Agreement must also be completed when submitting a name change. This form can be completed using the button at the top of this page.

Current	New*
Company Name	<input type="text"/>

Section 2. Change in Trading Symbol, CUSIP, Security Title and/or Par Value

Change in Trading Symbol

If a symbol reservation request has not already been submitted, NASDAQ recommends that a user complete a [Symbol Reservation Request](#) prior to submission of this form.

Change in Security Title and/or Par Value

Change in CUSIP

	Current	New
Issue #1	Common Stock	
Symbol	NDAQ	<input type="text"/>
CUSIP	631103108	<input type="text"/>
Security Title	<input type="text"/>	<input type="text"/>
Par Value	0.01	<input type="text"/>
Par Value Currency	United States Dollars <input type="checkbox"/>	United States Dollars <input type="checkbox"/>

Section 3. Change in Place of Incorporation or Organization

	Current	New*
State	<input type="text" value="6"/>	<input type="text" value="6"/>
Country	<input type="text" value="6"/>	<input type="text" value="6"/>

Has the Company filed new articles of incorporation with the applicable state or country regulatory body? * Yes No

Section 4. Reverse Stock Split

The information provided below shall be deemed subject to immediate public disclosure unless clearly noted otherwise.

NOTE: A new CUSIP number is required for a reverse stock split prior to the Marketplace Effective Date. This information can be provided by selecting the box for section 2 above.

Issue Symbol *	<input type="text" value="6"/>	CUSIP *	<input type="text"/>
Issue Description *	<input type="text"/>		
Stock Split Ratio *	<input type="text"/>		
Pre-Split TSO *	<input type="text"/>	Post-Split TSO (maximum) *	<input type="text"/>
Pre-Split par value *	<input type="text"/>	Post-Split par value *	<input type="text"/>
Method of settling fractional shares *	<input type="text" value="6"/>		
Post-Split number of publicly held shares	<input type="text"/>	Post-Split number of total/public shareholders	<input type="text"/>

Does the reverse stock split impact any other related securities that are publicly traded? * Yes No

Explain any conditions which must be met for the transaction to become effective. *

Section 5. Other Type of Substitution Listing Event

Describe the type of issuance/reason for change and the expected effective date. *

Explain any conditions which must be met for the transaction(s) to become effective. *

Specify the details pre and post transaction. *

Are there any changes to the voting rights or equity participation rights association with this transaction? * Yes No

Section 6. Event Requiring an Updated Corporate Governance Certification or Listing Agreement

A new Certification form or Listing Agreement can be completed using the buttons at the top of this page.

Briefly describe the reason for the update (e.g., ceased being a controlled company, no longer a foreign private issuer). *

Text input field with scrollbars, containing a large 'Drafted' watermark.

CUSIP Information

Has the company obtained a new CUSIP number as a result of the change(s) being reported?

This information can be provided by selecting the box for Section 2 above.

If you answered "No" above, please provide confirmation that the Company has advised the CUSIP Bureau of the pending change(s) and has confirmed that a new CUSIP is not necessary. This information can be uploaded under the Supporting Documents section of this form.

If you answered "Do Not Know" above, please contact the CUSIP Service Bureau (at 212-438-6500) to advise them of the pending change and determine if a new number is necessary.

For more information, please contact the CUSIP Service Bureau at 212-438-6500.







Comments

Please provide any explanatory comments that may help Staff process this form.

Text input field with scrollbars, containing a large 'Drafted' watermark.

ACTION-SPECIFIC INFORMATION

Please provide the following dates, as applicable.

- Marketplace Effective Date 
- Date all legal filings were or are anticipated to be effective 
- Date of approval for the action(s) by the Board of Directors 
- Date of approval for the action(s) by shareholders 
- Anticipated date of closing 
- Effective date of charter amendment 

 **ATTACH SUPPORTING DOCUMENTS**

Supporting Documents

To facilitate the review process, please provide the following information and attach any supporting documents electronically, as applicable. The Listing Center will allow you to provide this information and submit it to NASDAQ at any time during the process.

If the action resulted in the Company receiving a new SEC File Number, please provide.

If the action resulted in the Company receiving a new Central Index Key (CIK) code, please provide.

If a new CUSIP was not required in this instance, please provide confirmation that the Company has advised the CUSIP Bureau of this change

and confirmed that a new CUSIP was not necessary. A confirmation is required for all changes, except trading symbol changes.*

Documents should be provided using one of the following formats: MS Word, MS Excel, JPEG or PDF.

Click the "Browse" button below to upload documents from your computer.

Fee Payment Information

The fee in connection with event(s) being reported is \$15,000.

Fees may be paid by check or wire transfer. If paying by check, please complete the [Check Payment Form](#) and include it along with your payment. For wire payments, please follow these instructions.

Remitter Name (if different than name of the company)

Check or Wire Confirmation Number

AFFIRMATION

User Id

Company Officer Information

Name* Email*

Title/Firm*

Company Name

Date*

Initial Here* I am an officer of this company or counsel to this company with legal authority to provide information on the company's behalf; to the best of my knowledge and belief, the information provided is true and correct as of this date; and I will promptly notify NASDAQ of any material changes.

* Indicates a field required for submission.