

Required fields are shown with yellow backgrounds and asterisks.

Filing by NASDAQ PHLX LLC
Pursuant to Rule 19b-4 under the Securities Exchange Act of 1934

Initial *	Amendment *	Withdrawal	Section 19(b)(2) *	Section 19(b)(3)(A) *	Section 19(b)(3)(B) *
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
			Rule		
Pilot	Extension of Time Period for Commission Action *	Date Expires *	<input type="checkbox"/> 19b-4(f)(1)	<input type="checkbox"/> 19b-4(f)(4)	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>	<input type="checkbox"/> 19b-4(f)(2)	<input type="checkbox"/> 19b-4(f)(5)	
			<input type="checkbox"/> 19b-4(f)(3)	<input checked="" type="checkbox"/> 19b-4(f)(6)	

Notice of proposed change pursuant to the Payment, Clearing, and Settlement Act of 2010	Security-Based Swap Submission pursuant to the Securities Exchange Act of 1934
Section 806(e)(1) *	Section 806(e)(2) *
<input type="checkbox"/>	<input type="checkbox"/>
	Section 3C(b)(2) *
	<input type="checkbox"/>

Exhibit 2 Sent As Paper Document	Exhibit 3 Sent As Paper Document
<input type="checkbox"/>	<input type="checkbox"/>

Description

Provide a brief description of the action (limit 250 characters, required when Initial is checked *).

Proposal to amend a prior rule change, SR-Phlx-2016-38, which inadvertently contained an incorrect exhibit.

Contact Information

Provide the name, telephone number, and e-mail address of the person on the staff of the self-regulatory organization prepared to respond to questions and comments on the action.

First Name * Last Name *

Title *

E-mail *

Telephone * Fax

Signature

Pursuant to the requirements of the Securities Exchange Act of 1934,

has duly caused this filing to be signed on its behalf by the undersigned thereunto duly authorized.

(Title *)

Date

By

(Name *)

NOTE: Clicking the button at right will digitally sign and lock this form. A digital signature is as legally binding as a physical signature, and once signed, this form cannot be changed.

SECURITIES AND EXCHANGE COMMISSION
WASHINGTON, D.C. 20549

For complete Form 19b-4 instructions please refer to the EFFF website.

Form 19b-4 Information *

Add Remove View

The self-regulatory organization must provide all required information, presented in a clear and comprehensible manner, to enable the public to provide meaningful comment on the proposal and for the Commission to determine whether the proposal is consistent with the Act and applicable rules and regulations under the Act.

Exhibit 1 - Notice of Proposed Rule Change *

Add Remove View

The Notice section of this Form 19b-4 must comply with the guidelines for publication in the Federal Register as well as any requirements for electronic filing as published by the Commission (if applicable). The Office of the Federal Register (OFR) offers guidance on Federal Register publication requirements in the Federal Register Document Drafting Handbook, October 1998 Revision. For example, all references to the federal securities laws must include the corresponding cite to the United States Code in a footnote. All references to SEC rules must include the corresponding cite to the Code of Federal Regulations in a footnote. All references to Securities Exchange Act Releases must include the release number, release date, Federal Register cite, Federal Register date, and corresponding file number (e.g., SR-[SRO]-xx-xx). A material failure to comply with these guidelines will result in the proposed rule change being deemed not properly filed. See also Rule 0-3 under the Act (17 CFR 240.0-3)

Exhibit 1A- Notice of Proposed Rule Change, Security-Based Swap Submission, or Advance Notice by Clearing Agencies *

Add Remove View

The Notice section of this Form 19b-4 must comply with the guidelines for publication in the Federal Register as well as any requirements for electronic filing as published by the Commission (if applicable). The Office of the Federal Register (OFR) offers guidance on Federal Register publication requirements in the Federal Register Document Drafting Handbook, October 1998 Revision. For example, all references to the federal securities laws must include the corresponding cite to the United States Code in a footnote. All references to SEC rules must include the corresponding cite to the Code of Federal Regulations in a footnote. All references to Securities Exchange Act Releases must include the release number, release date, Federal Register cite, Federal Register date, and corresponding file number (e.g., SR-[SRO]-xx-xx). A material failure to comply with these guidelines will result in the proposed rule change, security-based swap submission, or advance notice being deemed not properly filed. See also Rule 0-3 under the Act (17 CFR 240.0-3)

Exhibit 2 - Notices, Written Comments, Transcripts, Other Communications

Add Remove View

Exhibit Sent As Paper Document

Copies of notices, written comments, transcripts, other communications. If such documents cannot be filed electronically in accordance with Instruction F, they shall be filed in accordance with Instruction G.

Exhibit 3 - Form, Report, or Questionnaire

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Exhibit Sent As Paper Document

Copies of any form, report, or questionnaire that the self-regulatory organization proposes to use to help implement or operate the proposed rule change, or that is referred to by the proposed rule change.

Exhibit 4 - Marked Copies

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The full text shall be marked, in any convenient manner, to indicate additions to and deletions from the immediately preceding filing. The purpose of Exhibit 4 is to permit the staff to identify immediately the changes made from the text of the rule with which it has been working.

Exhibit 5 - Proposed Rule Text

Add Remove View

The self-regulatory organization may choose to attach as Exhibit 5 proposed changes to rule text in place of providing it in Item I and which may otherwise be more easily readable if provided separately from Form 19b-4. Exhibit 5 shall be considered part of the proposed rule change.

Partial Amendment

Add Remove View

If the self-regulatory organization is amending only part of the text of a lengthy proposed rule change, it may, with the Commission's permission, file only those portions of the text of the proposed rule change in which changes are being made if the filing (i.e. partial amendment) is clearly understandable on its face. Such partial amendment shall be clearly identified and marked to show deletions and additions.

1. Text of the Proposed Rule Change

(a) NASDAQ PHLX LLC (“Phlx” or “Exchange”), pursuant to Section 19(b)(1) of the Securities Exchange Act of 1934 (“Act”)¹ and Rule 19b-4 thereunder,² is filing with the Securities and Exchange Commission (“SEC” or “Commission”) a proposal to amend a prior rule change, SR-Phlx- 2016-38,³ which inadvertently contained the incorrect Exhibit 3, which is included in this filing.

A notice of the previously submitted proposed rule change for publication in the Federal Register is at Exhibit 1.

(b) Not applicable.

(c) Not applicable.

2. Procedures of the Self-Regulatory Organization

The proposed rule change was approved by senior management of the Exchange pursuant to authority delegated by the Board of Directors (“Board”) of the Exchange on August 15, 2016. No other action by the Exchange is necessary for the filing of the rule change.

Questions and comments on the proposed rule change may be directed to:

John Pickford
Enforcement Counsel Nasdaq, Inc.
(215) 496-5273

¹ 15 U.S.C. 78s(b)(1).

² 17 C.F.R. 240.19b-4.

³ See Securities and Exchange Act Release No. 77475 (March 30, 2016), 81 FR 19664 (April 5, 2016) (SR-Phlx-2016-36).

3. Self-Regulatory Organization's Statement of the Purpose of, and Statutory Basis for, the Proposed Rule Change

a. Purpose

The Exchange proposes to amend the previously submitted filing SR-Phlx-2016-38, which contained an incorrect version of the Exchange's membership application as Exhibit 3. This rule filing seeks to provide the current membership application in Exhibit 3(a) which became operative on July 1, 2016.

Following the filing of SR-PHLX 2016-38 the Exchange continued to use the "legacy" membership application through June 30, 2016 which is contained in Exhibit 3, however, the Exchange did not receive any membership applications. The membership application which is contained in Exhibit 3(a) and was filed on May 2, 2016 as part of SR-PHLX-2016-38 is a new consolidated membership form which is applicable to The Nasdaq Stock Market, Nasdaq BX, and Nasdaq PHLX which went into effect following the effectiveness of Rule 921(b) and does not require the Executive Representative of a PHLX member firm to provide evidence of their designation as the Executive Representative.

b. Statutory Basis

The Exchange believes that its proposal is consistent with Section 6(b) of the Act,⁴ in general, and furthers the objectives of Section 6(b)(5) of the Act,⁵ in particular, in that it is designed to protect investors and the public interest by streamlining various aspects of the membership process. The filing of the updated membership form will promote just and equitable principles of trade, and foster cooperation and coordination

⁴ 15 U.S.C. 78f(b).

⁵ 15 U.S.C. 78f(b)(5).

with persons engaged in facilitating transactions in securities by eliminating confusion among forms.

4. Self-Regulatory Organization's Statement on Burden on Competition

The proposed rule change does not impose any burden on competition that is not necessary or appropriate in furtherance of the purposes of the Act.

5. Self-Regulatory Organization's Statement on Comments on the Proposed Rule Change Received from Members, Participants, or Others

No written comments were either solicited or received.

6. Extension of Time Period for Commission Action

Not applicable.

7. Basis for Summary Effectiveness Pursuant to Section 19(b)(3) or for Accelerated Effectiveness Pursuant to Section 19(b)(2)

The foregoing rule change has become effective pursuant to Section 19(b)(3)(A)⁶ of the Act and Rule 19b-4(f)(6) thereunder⁷ in that it effects a change that: (i) does not significantly affect the protection of investors or the public interest; (ii) does not impose any significant burden on competition; and (iii) by its terms, does not become operative for 30 days after the date of the filing, or such shorter time as the Commission may designate if consistent with the protection of investors and the public interest.

The Exchange believes that the filing of the corrected membership application form does not significantly affect the protection of investors or the public interest because the purpose is to correct a previous filing exhibit that was submitted in error. The Exchange believes that the filing of the exiting application form does not impose any

⁶ 15 U.S.C. 78s(b)(3)(A).

⁷ 17 CFR 240.19b-4(f)(6).

burden on competition rather it corrects a previous error.

Furthermore, Rule 19b-4(f)(6)(iii) requires a self-regulatory organization to give the Commission written notice of its intent to file a proposed rule change under that subsection at least five business days prior to the date of filing, or such shorter time as designated by the Commission. The Exchange has provided such notice.

At any time within 60 days of the filing of the proposed rule change, the Commission summarily may temporarily suspend such rule change if it appears to the Commission that such action is: (i) necessary or appropriate in the public interest; (ii) for the protection of investors; or (iii) otherwise in furtherance of the purposes of the Act. If the Commission takes such action, the Commission shall institute proceedings to determine whether the proposed rule should be approved or disapproved.

8. Proposed Rule Change Based on Rules of Another Self-Regulatory Organization or of the Commission

Not applicable.

9. Security-Based Swap Submissions Filed Pursuant to Section 3C of the Act

Not applicable.

10. Advance Notices Filed Pursuant to Section 806(e) of the Payment, Clearing and Settlement Supervision Act

Not applicable.

11. Exhibits

1. Notice of proposed rule for publication in the Federal Register.

3. Nasdaq PHLX Organization Membership Application.

3(a). Consolidated Nasdaq Stock Market, Nasdaq BX, Nasdaq PHLX Broker-Dealer Membership Application.

EXHIBIT 1

SECURITIES AND EXCHANGE COMMISSION
(Release No. _____ ; File No. SR-Phlx-2016-88)

August __, 2016

Self-Regulatory Organizations; NASDAQ PHLX LLC; Notice of Filing and Immediate Effectiveness of Proposed Rule Change to Amend Prior Rule Change, SR-PHLX-2016-38

Pursuant to Section 19(b)(1) of the Securities Exchange Act of 1934 (“Act”),¹ and Rule 19b-4 thereunder,² notice is hereby given that on August 23, 2016, NASDAQ PHLX LLC (“Phlx” or “Exchange”) filed with the Securities and Exchange Commission (“SEC” or “Commission”) the proposed rule change as described in Items I, II, and III, below, which Items have been prepared by the Exchange. The Commission is publishing this notice to solicit comments on the proposed rule change from interested persons.

I. Self-Regulatory Organization’s Statement of the Terms of Substance of the Proposed Rule Change

The Exchange proposes to amend prior rule change, SR-Phlx- 2016-38,³ which inadvertently contained the incorrect Exhibit 3.

The text of the proposed rule change is available on the Exchange’s Website at <http://nasdaqomxphlx.cchwallstreet.com/>, at the principal office of the Exchange, and at the Commission’s Public Reference Room.

¹ 15 U.S.C. 78s(b)(1).

² 17 CFR 240.19b-4.

³ See Securities and Exchange Act Release No. 77475 (Match 30, 2016), 81 FR 19664 (April 5, 2016) (SR-Phlx-2016-36).

II. Self-Regulatory Organization's Statement of the Purpose of, and Statutory Basis for, the Proposed Rule Change

In its filing with the Commission, the Exchange included statements concerning the purpose of and basis for the proposed rule change and discussed any comments it received on the proposed rule change. The text of these statements may be examined at the places specified in Item IV below. The Exchange has prepared summaries, set forth in sections A, B, and C below, of the most significant aspects of such statements.

A. Self-Regulatory Organization's Statement of the Purpose of, and Statutory Basis for, the Proposed Rule Change

1. Purpose

The Exchange proposes to amend the previously submitted filing SR-Phlx-2016-38, which contained an incorrect version of the Exchange's membership application as Exhibit 3. This rule filing seeks to provide the current membership application in Exhibit 3(a) which became operative on July 1, 2016.

Following the filing of SR-PHLX 2016-38 the Exchange continued to use the "legacy" membership application through June 30, 2016 which is contained in Exhibit 3, however, the Exchange did not receive any membership applications. The membership application which is contained in Exhibit 3(a) and was filed on May 2, 2016 as part of SR-PHLX-2016-38 is a new consolidated membership form which is applicable to The Nasdaq Stock Market, Nasdaq BX, and Nasdaq PHLX which went into effect following the effectiveness of Rule 921(b) and does not require the Executive Representative of a PHLX member firm to provide evidence of their designation as the Executive Representative.

2. Statutory Basis

The Exchange believes that its proposal is consistent with Section 6(b) of the Act,⁴ in general, and furthers the objectives of Section 6(b)(5) of the Act,⁵ in particular, in that it is designed to protect investors and the public interest by streamlining various aspects of the membership process. The filing of the updated membership form will promote just and equitable principles of trade, and foster cooperation and coordination with persons engaged in facilitating transactions in securities by eliminating confusion among forms.

B. Self-Regulatory Organization's Statement on Burden on Competition

The proposed rule change does not impose any burden on competition that is not necessary or appropriate in furtherance of the purposes of the Act.

C. Self-Regulatory Organization's Statement on Comments on the Proposed Rule Change Received from Members, Participants, or Others

No written comments were either solicited or received.

III. Date of Effectiveness of the Proposed Rule Change and Timing for Commission Action

Because the foregoing proposed rule change does not: (i) significantly affect the protection of investors or the public interest; (ii) impose any significant burden on competition; and (iii) become operative for 30 days from the date on which it was filed, or such shorter time as the Commission may designate, it has become effective pursuant to Section 19(b)(3)(A)(iii) of the Act⁶ and subparagraph (f)(6) of Rule 19b-4 thereunder.⁷

⁴ 15 U.S.C. 78f(b).

⁵ 15 U.S.C. 78f(b)(5).

⁶ 15 U.S.C. 78s(b)(3)(a)(iii).

At any time within 60 days of the filing of the proposed rule change, the Commission summarily may temporarily suspend such rule change if it appears to the Commission that such action is: (i) necessary or appropriate in the public interest; (ii) for the protection of investors; or (iii) otherwise in furtherance of the purposes of the Act. If the Commission takes such action, the Commission shall institute proceedings to determine whether the proposed rule should be approved or disapproved.

IV. Solicitation of Comments

Interested persons are invited to submit written data, views, and arguments concerning the foregoing, including whether the proposed rule change is consistent with the Act. Comments may be submitted by any of the following methods:

Electronic comments:

- Use the Commission's Internet comment form (<http://www.sec.gov/rules/sro.shtml>); or
- Send an e-mail to rule-comments@sec.gov. Please include File Number SR-Phlx-2016-88 on the subject line.

Paper comments:

- Send paper comments in triplicate to Brent J. Fields, Secretary, Securities and Exchange Commission, 100 F Street, NE, Washington, DC 20549-1090.

All submissions should refer to File Number SR-Phlx-2016-88. This file number should be included on the subject line if e-mail is used. To help the Commission process and

⁷ 17 CFR 240.19b-4(f)(6). In addition, Rule 19b-4(f)(6) requires a self-regulatory organization to give the Commission written notice of its intent to file the proposed rule change at least five business days prior to the date of filing of the proposed rule change, or such shorter time as designated by the Commission. The Exchange has satisfied this requirement.

review your comments more efficiently, please use only one method. The Commission will post all comments on the Commission's Internet Web site

<http://www.sec.gov/rules/sro.shtml>).

Copies of the submission, all subsequent amendments, all written statements with respect to the proposed rule change that are filed with the Commission, and all written communications relating to the proposed rule change between the Commission and any person, other than those that may be withheld from the public in accordance with the provisions of 5 U.S.C. 552, will be available for website viewing and printing in the Commission's Public Reference Room, 100 F Street, NE, Washington, DC 20549, on official business days between the hours of 10:00 a.m. and 3:00 p.m. Copies of the filing also will be available for inspection and copying at the principal office of the Exchange. All comments received will be posted without change; the Commission does not edit personal identifying information from submissions. You should submit only information that you wish to make available publicly.

All submissions should refer to File Number SR-Phlx-2016-88 and should be submitted on or before [insert date 21 days from publication in the Federal Register].

For the Commission, by the Division of Trading and Markets, pursuant to delegated authority.⁸

Robert W. Errett
Deputy Secretary

⁸ 17 CFR 200.30-3(a)(12).

EXHIBIT 3



ORGANIZATION MEMBERSHIP APPLICATION

A. Applicant Information		
Full legal name of Applicant Organization (must be a registered broker dealer with the Securities and Exchange Commission):		
CRD No.	SEC No. 8-	Tax ID No.
Main office address:		
Phone:	Type of Entity:	Corporation Partnership LLC
Name of individual completing application:		
Email Address:	Phone:	
Will PHLX be your Designated Examining Authority ("DEA")?		
Yes ~ Must provide ALL required supplemental material with this application (See Sections N, O and P) No ~ Provide the SRO assigned as DEA for Applicant Organization _____		
B. Nature of Intended Activity (Check all that apply)		
OPTIONS PARTICIPANTS Floor Participants Specialist Registered Options Trader ("ROT") Streaming Quote Trader ("SQT") Floor Broker Off-Floor Participants Order Entry Remote Market Maker Organization Remote Specialist	EQUITY PARTICIPANTS Equity Trading NASDAQ OMX PSX Provide primary MPID _____ Market Maker Order Entry	SRO Membership PHLX DEA
C. Equity Clearing	D. Options Clearing	
Please note that PHLX requires all Members to provide an account number with NSCC for purposes of direct debit pursuant to Exchange Rules. Provide the NSCC account number which can be utilized for purposes of this requirement.	All options participants must provide an executed clearing letter of guarantee.	

<p>National Securities Clearing Corporation ("NSCC")</p> <p>Self-Clearing NSCC Account No.: _____</p> <p>Agreement with clearing agent NSCC Account No.: _____ Name of broker dealer acting as clearing agent: _____</p>	<p>The Options Clearing Corporation ("OCC")</p> <p>Self-Clearing OCC Account No.: _____ Requires clearing guarantee attached as Appendix A.</p> <p>Agreement with clearing agent OCC Account No.: _____ Name of broker dealer acting as clearing agent: _____</p> <p>Requires clearing guarantee attached as Appendix B.</p>
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E. Qualifying Permit Holder Designation (Rules 907, 908 and 921)

Each member organization is required to designate a qualifying permit holder who must be an officer or partner associated with the organization. Therefore, Applicant certifies that the below named individual will act as its qualifying permit holder.

Qualifying Permit Holder:	Title:
Date of Birth:	Social Security No.:
Phone:	Email:

F. Executive Representative Designation (Rule 921(b))

Each member organization is required to designate an executive representative who will be the sole person entitled to exercise such member organization's voting and designation rights set forth in PHLX By-Law Article II. Therefore, Applicant organization certifies that the below-named individual is qualified to act as its executive representative.

Executive Representative:	Title:
Email:	Phone:

G. Compliance Officer

Provide the name of the individual within your organization that is responsible for compliance.

Compliance Officer:	Title:
Email:	Phone:

H. Billing Information (Rule 909)

Each member organizations must provide a valid National Securities Clearing Corporation ("NSCC") account number for purposes of permitting the Exchange to debit any undisputed fees, fines and charges. Please provide a billing contact that should be designated to receive monthly invoices via email.

Billing Contact:	Title:
Email:	Phone:

I. Emergency Management

At least two individuals must be designated as an Initial Point of Contact who would serve as 24/7 contacts in the event that an emergency arises outside of normal business hours. Please provide all information requested for both individuals.

Primary Contact:	Title:
Email:	Business Phone:
Cell:	Home Phone:

Secondary Contact:		Title:
Email:		Business Phone:
Cell:		Home Phone:
J. Statutory Disqualification Disclosure		
Pursuant to the Securities Exchange Act of 1934, PHLX may deny or condition trading privileges or bar an individual from becoming associated with a member organization, who is subject to a statutory disqualification. The term, statutory disqualification, is defined under section 3(a)(39)(F) of the Act.		
The Applicant organization does NOT have any person(s) associated with or employed by the Applicant organization that may be subject to statutory disqualification.		
The Applicant organization DOES have person(s) associated with or employed by the Applicant organization that may be subject to statutory disqualification. Attach the following information for each individual: <ul style="list-style-type: none"> a. Name and social security number. b. Description of responsibilities within the organization. c. All documents relating to the disqualification. d. Explanation of action taken or approval by another SRO regarding the individual. 		
K. Affiliates		
Does Applicant have any affiliates conducting securities transactions that are not registered with the Securities and Exchange Commission?		
Yes		No
L. Office Space		
Each office of a member organization shall not be occupied jointly with any non-member unless the requirement has been waived by PHLX Rule 603. Does Applicant share office space with a non-member (BD or non-BD)?		
Yes		No
M. Signatures		
We hereby represent that, we have read and understand the above information and that the answers and attachments are, to the best of our knowledge and belief, true and correct. In consideration of admission to membership in the NASDAQ OMX PHLX LLC , we hereby pledge to submit to and abide by the By-Laws and Rules of the Organization, as now existing and as hereafter duly amended from time to time.		
Authorized Applicant Signature:		Date:
Print Name:		Title:
Executive Representative Signature:		Date:
Print Name:		Title:
Qualifying Permit Holder Signature:		Date:
Print Name:		Title:
N. Supplemental Material		
All applicants must provide the following documents with this application:		
Completed Individual Membership Application in the name of the qualifying permit holder as designated in Section E.		
A copy of the Applicant's most recent FOCUS Report.		
\$350.00 non-refundable application fee payable to: NASDAQ OMX PHLX, Inc. (fee does not apply if Applicant intends to engage in business only on PSX equity platform).		

ATTESTATION: An applicant that is an approved member of The NASDAQ Stock Market ("NQX") or NASDAQ OMX BX ("BX") shall have the option to apply for membership on PHLX through an expedited process pursuant to PHLX Rule 910(f)(3). Applicants who are eligible for this expedited review must execute the below attestation and submit the supplemental material requested in Section N above.

I hereby certify that _____ (Applicant) is operating as an approved member of NQX BX and that the material provided as part of its previous NASDAQ application remains complete and accurate and that there has been no substantial change to the business operations of Applicant.

Authorized Applicant Signature:	Date:
Print Name:	Title:

O. Additional Supplemental Material

Applicants **not eligible** for an expedited process pursuant to PHLX Rule 910(f)(3) must also submit the following:

Summary of Applicant's business plan addressing type of business intended to be conducted on PHLX.

Evidence of established clearing arrangement.

Fully-executed NASDAQ OMX U.S. Services Agreement.

Organizational chart identifying the Applicant's supervisory structure by associated person. This chart must identify **all** of Applicant's associated persons and should include names, titles, licenses/registrations and CRD numbers.

Please see PHLX Rules 611 through 620 for information on PHLX registration and qualification requirements.

Applicant's Written Supervisory Procedures ("WSP") Manual (Rule 748(g)) including AML and BCP procedures if under separate cover.

Applicant's Designated Examining Authority's (DEA) most recent examination results.

Certificate of Insurance (Rule 652) if Applicant will be located on the PHLX trading floor.

Additionally, if the Applicant is a:

Corporation; include executed NASDAQ OMX PHLX, Inc. Corporate Exhibits

Partnership; include an executed copy of the firm's Partnership Agreement

Limited Liability Company; include Operating Agreement and Articles of Organization or Certificate of Formation

P. Additional Supplemental Material

Applicants for which PHLX will be the **Designated Examining Authority** must also submit the following:

Branch Office Disclosure Form pursuant to PHLX Rule 748. (**Appendix C**)

Confirmation of required funds into a verifiable account of the firm, or if an existing firm, a FOCUS Filing or net capital computation with supporting documents for Allowable Assets.

Annual Audit Report

If Applicant answered yes in Section L – Office Space, a description of business operations conducted, blueprints, identification of common areas, communication lines and information barriers specific to shared space.

Verification of error account, Floor Broker Error Account Notification Form, if applicable. (**Appendix D**)

Evidence of Fidelity Bond coverage pursuant to PHLX Rule 705.

PAIB (Proprietary Account of Introducing Broker Dealers) Agreement from clearing firm.

Confirmation of U4 registrations for all off-floor traders, director / owner of the firm.

If the firm has a Joint Back Office ("JBO") Arrangement with its clearing firm, provide a copy of the agreement. The firm must employ or have access to a qualified Series 27 Financial and Operations Principal ("FINOP").

Notification of Applicant's intent to use Electronic Storage Media ("ESM") for maintenance and archiving records pursuant to SEA Rule 17a-4(f), if applicable.

Q. Application Filing Instructions

Questions may be directed to NASDAQ OMX Membership at +1 215 496 5159 or +1 215 496 5322.

Applications and supplemental material should be submitted by email to: membership@nasdaqomx.com.

APPENDIX A

To be submitted by Applicants who are direct members of The Options Clearing Corporation

To: NASDAQ OMX (“NASDAQ”) Membership Department

From: _____
(Individual Completing Form)

(Participant Organization)

Re: Options Market Participant Letter of Guarantee

The Participant noted above is an approved member of The Options Clearing Corporation (“OCC”) and an approved Participant of:

- NASDAQ OMX PHLX LLC (“PHLX”)**
- NASDAQ Options Market (“NOM”)**
- NASDAQ OMX BX Options Market (“BX Options”)**

The Participant, as a Self-Clearing Member and in accordance with NASDAQ rules,¹ accepts financial responsibility for all transactions entered into by the Participant on NASDAQ. This letter shall be deemed to be a Letter of Guarantee and shall remain in effect until a written notice of revocation has been filed with NASDAQ Member Regulation. Any such revocation shall in no way relieve the Participant of its responsibility for Exchange transactions guaranteed prior to the effective date of the revocation.

Accepted and agreed to this date: _____

Clearing Member OCC Number: _____

Clearing Member National Securities
Clearing Corporation (“NSCC”) Number:² _____

Clearing Member Representative Signature: _____

(phone number)

(print name/title)

Please return executed form to:

NASDAQ OMX Membership Department
1900 Market Street, 2nd Floor
Philadelphia, PA 19103
membership@nasdaqomx.com

¹ See PHLX Rule 911; NOM Chapter VII, Sec. 8; BX Options Chapter VII, Sec. 8

² See PHLX Rule 909; NOM Chapter XV, Section 1; BX Options Chapter XV, Sec. 1. If the NSCC Number provided is not affiliated with the Clearing Member, an additional written authorization signed by a representative of the NSCC Member must accompany this Letter of Guarantee.

APPENDIX B

To be submitted by Applicants with a third party clearing arrangement.

To: NASDAQ OMX (“NASDAQ”) Membership Department

From: _____

(Individual Completing Form)

(Participant Organization)

Re: Options Market Participant Letter of Guarantee

The Participant noted above has represented to the undersigned Clearing Member, a member of The Options Clearing Corporation (“OCC”), that it is an approved participant of:

- NASDAQ OMX PHLX LLC (“PHLX”)**
- NASDAQ Options Market (“NOM”)**
- NASDAQ OMX BX Options Market (“BX Options”)**

The undersigned Clearing Member, in accordance with NASDAQ rules,¹ accepts financial responsibility for all transactions made by the above referenced Participant when such transactions are executed through the undersigned Clearing Member. This letter shall be deemed to be a Letter of Guarantee and shall remain in effect until a written notice of revocation has been filed with NASDAQ Member Regulation. Any such revocation shall in no way relieve the undersigned Clearing Member of responsibility for Exchange transactions guaranteed prior to the effective date of the revocation.

Accepted and agreed to this date: _____

Clearing Member Organization: _____

Clearing Member OCC Number: _____

Clearing Member National Securities
Clearing Corporation (“NSCC”) Number:² _____

Clearing Member Representative Signature: _____

(phone number)

(print name/title)

Please return executed form to:
NASDAQ OMX Membership Department
1900 Market Street, 2nd Floor
Philadelphia, PA 19103

¹ See PHLX Rule 911; NOM Chapter VII, Sec. 8; BX Options Chapter VII, Sec. 8

² See PHLX Rule 909; NOM Chapter XV, Sec. 1; BX Options Chapter XV, Sec. 1. If the NSCC Number provided is not affiliated with the Clearing Member, an additional written authorization signed by a representative of the NSCC Member must accompany this Letter of Guarantee.

APPENDIX C

To be submitted by all Applicants for which PHLX will be the Designated Examining Authority.

NASDAQ OMX PHLX LLC (“PHLX” or “Exchange”) Branch Office Disclosure Form	
Please indicate the purpose of this filing:	
Initial	Amendment Addition of branch office(s) Deletion of branch office(s)
Section A. General Information	
Firm name:	CRD No.: _____ BD No.: _____
Principal place of business:	
Member organization does not operate branch offices <i>Please return signed form to NASDAQ OMX Membership.</i>	
Member organization does operate branch offices <i>Please complete a Section B for <u>each</u> branch office location.</i>	
Section B. Branch Office Disclosure Information	
<i>If the member organization has branch office locations, the following information must be provided for each location.</i>	
Branch office location:	
Telephone number:	Facsimile number:
Name and of individual responsible for supervision of branch office:	Individual CRD No.
Supervisor email address:	
Date branch office was established:	Number of traders at location:
Is this location a private residence?	Yes No
Type of activity (provide a brief description of the type of activity that takes place at this branch office.)	
Section B. Branch Office Disclosure Information	
<i>If the member organization has branch office locations, the following information must be provided for each location.</i>	
Branch office location:	
Telephone number:	Facsimile number:
Name and of individual responsible for supervision of branch office:	Individual CRD No.
Email address:	
Date branch office was established:	Number of employees at location:
Is this location a private residence?	Yes No
Type of activity (provide a brief description of the type of activity that takes place at this branch office.)	

Section B. Branch Office Disclosure Information	
<i>If the member organization has branch office locations, the following information must be provided for each location.</i>	
Branch office location:	
Telephone number:	Facsimile number:
Name and of individual responsible for supervision of branch office:	Individual CRD No.
Email address:	
Date branch office was established:	Number of employees at location:
Is this location a private residence?	Yes No
Type of activity (provide a brief description of the type of activity that takes place at this branch office.)	
Section B. Branch Office Disclosure Information	
<i>If the member organization has branch office locations, the following information must be provided for each location.</i>	
Branch office location:	
Telephone number:	Facsimile number:
Name and of individual responsible for supervision of branch office:	Individual CRD No.
Email address:	
Date branch office was established:	Number of employees at location:
Is this location a private residence?	Yes No
Type of activity (provide a brief description of the type of activity that takes place at this branch office.)	
Section C. Signature	
This Form is being submitted pursuant to PHLX Rule 748(f). The information provided is true and correct as of the date of submission of this form to the Exchange. The undersigned has completed this form in compliance with Rule 748(f). Any amendments must be submitted to the Exchange no later than thirty (30) days from the date of any change to information provided herein.	
Authorized Signature:	Date:
Print Name:	Phone:

**APPENDIX D
FLOOR BROKER ERROR ACCOUNT & NOTIFICATION**

To: NASDAQ OMX Membership Department
 NASDAQ OMX PHLX
 1900 Market Street, 2nd Floor
 Philadelphia, PA 19103

_____ (Clearing Member) agrees to carry the account of _____ (Member and /or Participant Organization) and guarantees the financial responsibilities of said Member and/or Participant Organization for all floor brokerage-related error transactions and balances therein. Such guarantee shall remain in effect until NASDAQ OMX PHLX (the “Exchange”) receives written notice of Clearing Member’s intent to cancel its guarantee.

The Clearing Member agrees to provide such written notice of cancellation to the Exchange at least one-half hour before the normal opening of trading to enable such cancellation to take effect on the day of receipt, otherwise, such notice of cancellation shall take effect on the opening of trading on the business day following Exchange receipt.

The Clearing Member affirms that it is and continues to be during the life of this agreement, a member organization of the Exchange and, if guaranteeing the error account of an options floor broker, is a member and/or participant of the Exchange and the Options Clearing Corporation.

Member/Participant Organization:	Clearing Member/Participant Organization:
Authorized Signature:	Authorized Signature
Print Name:	Print Name:
Date:	Date:
Received by Exchange	
Authorized Signature:	Date:

EXHIBIT 3(a)

**The NASDAQ Stock Market ("NQX") ~ NASDAQ BX ("BX")
NASDAQ PHLX ("PHLX")
(Collectively "NASDAQ")
BROKER-DEALER MEMBERSHIP APPLICATION**

A. Applicant Profile		
Full legal name of Applicant Organization (must be a registered broker dealer with the Securities and Exchange Commission):		
Date:	CRD No.	SEC No. 8-
Main office address:		
Main phone:	Type of Organization: Corporation Partnership LLC	
Name of individual completing application:		
Email Address:	Phone:	
Application Type		
Full Membership - Applicant is seeking membership to a NASDAQ SRO for the first time. Refer to required supplemental material in Section M	Waive-In Membership - Applicant must be approved on at least one other NASDAQ SRO or FINRA (FINRA members applying to NASDAQ for the first time are eligible to waive-in on NQX and BX)	NQX/BX Continuing Membership - Rule 1017 Addition of market making Change in control/ownership Other _____
Indicate which NASDAQ SRO(s) Applicant is seeking membership on (check all that apply):		
The NASDAQ Stock Market Equity Options	NASDAQ BX Equity Options	NASDAQ PHLX Equity Options
Indicate NASDAQ SRO(s) on which Applicant is an approved member, if applicable:		
The NASDAQ Stock Market Equity Options	NASDAQ BX Equity Options	NASDAQ PHLX Equity Options
If Applicant is applying to PHLX, will PHLX be the Designated Examining Authority ("DEA")? Yes ~ Must provide ALL required supplemental material with this application as outlined in Sections M and N No ~ Provide the SRO assigned as DEA for Applicant Organization _____		
B. Nature of Intended Activity (Check all that apply)		
OPTIONS On-Floor Participants (PHLX Only) Specialist Registered Options Trader ("ROT") Streaming Quote Trader ("SQT") Floor Broker Off-Floor Participants Order Entry Market Maker Remote Specialist (PHLX only)		EQUITY Equity Trading Market Maker Order Entry

C. Clearing Information	
National Securities Clearing Corporation ("NSCC") Clearing	The Options Clearing Corporation ("OCC") Clearing
NASDAQ requires all Members to provide an NSCC account number for purposes of direct debit pursuant to exchange rules. Provide an NSCC account number which can be utilized for purposes of this requirement. Self-Clearing NSCC Account No.: _____ Agreement with clearing agent NSCC Account No.: _____ Name of broker dealer acting as clearing agent: _____	All options participants must provide an executed clearing letter of guarantee. Self-Clearing OCC Account No.: _____ (Use Appendix A) Agreement with clearing agent OCC Account No.: _____ Name of broker dealer acting as clearing agent: _____ (Use Appendix B)

D. Executive Representative Designation	
All NASDAQ members are required to designate an executive representative who will be the sole person entitled to exercise such member's voting and designation rights set forth in exchange rules. Therefore, Applicant organization certifies that the below-named individual is qualified to act as its executive representative.	
Executive Representative:	Title:
Email:	Phone:

E. Compliance Officer	
Provide the name of the individual within your organization that is responsible for compliance.	
Compliance Officer:	Title:
Email:	Phone:

F. Billing Information	
Provide a billing contact to be designated for receipt of monthly invoices via email.	
Billing Contact:	Title:
Email:	Phone:

G. Emergency Management	
At least two individuals must be designated who would serve as 24/7 contacts in the event that an emergency arises outside of normal business hours. Please provide all information requested for both individuals.	
Primary Contact:	Secondary Contact:
Title:	Title:
Email:	Email:
Business Phone:	Business Phone:
Cell:	Cell:

H. Statutory Disqualification Disclosure

Pursuant to the Securities Exchange Act of 1934, NASDAQ may deny or condition trading privileges or bar an individual from becoming associated with a member, who is subject to a statutory disqualification. The term, statutory disqualification, is defined under section 3(a)(39)(F) of the Act.

The Applicant organization does **NOT** have any person(s) associated with or employed by the Applicant organization that may be subject to statutory disqualification.

The Applicant organization **DOES** have person(s) associated with or employed by the Applicant organization that may be subject to statutory disqualification. Attach the following information for each individual:

- Name and individual CRD number
- Description of responsibilities within the organization
- All documents relating to the disqualification
- Explanation of action taken or approval by another SRO regarding the individual

I. Affiliates

Does Applicant have any affiliates conducting securities transactions that are not registered with the Securities and Exchange Commission? Yes No

If yes, has this arrangement been reviewed in relation to a previously filed NASDAQ member application? Yes No - Provide additional information with respect to unregistered affiliate

J. Office Space

Each office of a member shall not be occupied jointly with any non-member. Does Applicant share office space with a non-member (BD or non-BD)?

Yes~ Must provide additional documentation related to space sharing arrangement (ie. agreements; floor plan) No

K. Qualifying Permit Holder Designation (PHLX Applicants Only See PHLX Rules 908 and 921)

PHLX applicants must designate a qualifying permit holder who must be an officer or partner associated with the organization. Applicant certifies that the below named individual will act as its qualifying permit holder. Please also provide a PHLX Individual Membership Application for the qualifying permit holder.

Qualifying Permit Holder:	Title:
Date of Birth:	Individual CRD No.
Phone:	Email:

L. Supplemental Material

All applicants (waive-in and full) must provide the following documents with this application:

Executed NASDAQ Exchange Membership Agreement

A copy of the Applicant's most recent FOCUS Report

Non-refundable application fee as follows:
 \$350 – PHLX (Application fee **does not** apply to Applicants applying to PHLX for PSX only participation)
 \$2,000 – NQX
 \$2,000 – BX (Application fee **does not** apply to Applicants applying to BX for BX Options only participation)

NON-FINRA WAIVE-IN ATTESTATION: An applicant that is an approved member of FINRA or one or more NASDAQ Exchanges shall have the option to apply for membership on another NASDAQ Exchange through an expedited process pursuant to NQX and BX Rule 1013(a)(5) and PHLX Rule 910(f)(3). Applicants who are eligible for this expedited review must execute the below attestation and submit the supplemental material requested in Section L above.

I hereby certify that _____ (Applicant) is operating as an approved member of FINRA NQX BX PHLX and that there have been no material changes of business since that application and that the information provided remains complete and accurate with no substantial change to the business operations of Applicant.

Authorized Applicant Signature:	Date:
Print Name:	Title:

M. Required Supplemental Material
Applicants not eligible for the waive-in expedited review process pursuant to NASDAQ Rules must also include the following with this application:
Summary of Applicant's business plan addressing type of business intended to be conducted on NASDAQ
Fully-executed NASDAQ U.S. Services Agreement
Evidence of established clearing arrangement
Most recent audited financial statement and a description of any material changes in the Applicant's financial condition since the date of the statement
Organizational chart identifying the Applicant's supervisory structure by associated person. This chart must identify all of Applicant's associated persons and should include names, titles, licenses/registrations and CRD numbers
Letters of attestation for any officer/director that will not be involved in the day to day management of the business and affairs of the firm
Branch Office Disclosure Form (See Appendix C, non FINRA member applicant's only)
Applicant's Written Supervisory Procedures ("WSP") Manual including Anti-Money Laundering, Business Continuity Plan and Risk procedures pursuant to SEC 15c3-5
Copy of any decision or order by a federal or state authority or SRO taking permanent or temporary adverse action with respect to a registration or licensing determination regarding the Applicant or an Associated Person
A statement indicating whether the Applicant or any person on Schedule A of the Applicant's Form BD is currently, or has been in the last ten years, the subject of any investigation or disciplinary proceeding conducted by any self-regulatory organization, the foreign equivalent of a self-regulatory organization, a foreign or international securities exchange, a contract market designated pursuant to the Commodity Exchange Act (the "Act") or any substantially equivalent foreign statute or regulation, a futures association registered under the Act or any equivalent foreign statute or regulation, the Commission or any other "appropriate regulatory agency" (as defined in the Act), the Commodity Futures Trading Commission, or any state financial regulatory agency regarding the Applicant or any person on Schedule A of the Applicant's Form BD and activity that has not been reported to the CRD, together with all relevant details, including any sanctions imposed
All examination reports and corresponding responses regarding the Applicant for the previous two years
Certificate of Insurance (Rule 652) (PHLX Trading Floor Only)
Additionally, if application is seeking market maker status: A description of the source and amount of capital to support its market making activities and the source of any additional capital that may become necessary A list of persons conducting the Applicant's market making activities, a list of the persons responsible for supervising these persons along with CRD numbers
Appropriate formation documents as follows: <u>Corporation</u> ; include executed Corporate Exhibits <u>Partnership</u> ; include an executed copy of the firm's Partnership Agreement <u>Limited Liability Company</u> ; include Operating Agreement and Articles of Organization or Certificate of Formation
N. Additional Supplemental Material (PHLX DEA Applicants)
Applicants for which PHLX will be the Designated Examining Authority must also submit the following:
Designation of Accountant Form and Auditor Engagement Letter pursuant to SEC Rule 17a-5(f)
Confirmation of required funds into a verifiable account of the firm, or if an existing firm, a FOCUS Filing or net capital computation with supporting documents for Allowable Assets
If Applicant answered yes in Section J– Office Space, a description of business operations conducted, blueprints, identification of common areas, communication lines and information barriers specific to shared space
Verification of error account, Floor Broker Error Account Notification Form, if applicable and available upon request
Evidence of Fidelity Bond coverage pursuant to PHLX Rule 705
Confirmation of U4 registrations for all off-floor traders, director / owner of the firm
If the firm has a Joint Back Office ("JBO") Arrangement with its clearing firm, provide a copy of the agreement. The firm must employ or have access to a qualified Series 27 Financial and Operations Principal ("FINOP")
Notification of Applicant's intent to use Electronic Storage Media ("ESM") for maintenance and archiving records pursuant to SEA Rule 17a-4(f), if applicable

O. Application Filing Instructions

Please be sure to include all relevant supplemental material with your application. Failure to include information may result in processing delays. Applications are deemed confidential and handled in a secure environment. Applicants should be prepared to provide such other reasonable information with respect to this application as NASDAQ may require.

Questions may be directed to NASDAQ Membership at +1 215 496 5159 or +1 215 496 5322.

Applications and supplemental material should be submitted by email to: membership@nasdaq.com.

The NASDAQ Stock Market LLC ("NQX")
The NASDAQ Options Market LLC ("NOM")
NASDAQ BX, Inc. ("BX")
NASDAQ PHLX LLC ("PHLX")
(Collectively "NASDAQ")
Membership Agreement

Broker Dealer	CRD Number:
---------------	-------------

In connection with this, and any subsequent NASDAQ membership application, and in the event that this application is approved, the Applicant hereby agrees to abide by the terms and conditions set forth below.

The Applicant undertakes to (1) engage only in those business activities permissible pursuant to its membership agreement(s) with FINRA, respecting a FINRA member, and the rules of NASDAQ and any other Self-Regulatory Organization of which the Applicant is a member; (2) obtain the prior approval of NASDAQ pursuant to NASDAQ Rules before removing or modifying any restrictions imposed on permissible business activities or before effecting any material change in business operations; and (3) file a written notice and application with NASDAQ at least 30 days prior to effecting a change in the ownership or control of the Applicant in circumstances where required by NASDAQ Rules.

The Applicant also agrees:

1. To comply with the federal securities laws, the rules and regulations thereunder, the NASDAQ By-Laws and Rules and all rulings, orders, directions and decisions issued and sanctions imposed under the NASDAQ Rules;
2. To pay such dues, assessments and other charges in the manner and amount as from time to time shall be fixed pursuant to the NASDAQ Rules;
3. That this Agreement has been executed on behalf of, and with the authority of, the above-named Applicant. The Undersigned and Applicant represent that the information and statements contained within the application and other information filed are current, true and complete.

The Undersigned and the Applicant further represent that to the extent that any information submitted is not amended, such information is currently accurate and complete and that all information contained in the Applicant's Uniform Application for Broker-Dealer Registration (Form BD) will be kept current and accurate by proper amendment of the Form BD as changes occur. Applicant further represents that the registrations for Associated Persons registered with NASDAQ will be kept current by proper amendment of Form U4 & Form U5.

By:

Print name _____

Title _____

Signature _____

Date _____

APPENDIX A

To be submitted by Applicants who are direct members of The Options Clearing Corporation

To: NASDAQ Membership Department

From: _____
 (Individual Completing Form)

(Participant Organization)

Re: Options Market Participant Letter of Guarantee

The Participant noted above is an approved member of The Options Clearing Corporation (“OCC”) and an approved Participant of:

- NASDAQ PHLX LLC (“PHLX”)
- NASDAQ Options Market (“NOM”)
- NASDAQ BX Options Market (“BX Options”)

The Participant, as a Self-Clearing Member and in accordance with NASDAQ rules,¹ accepts financial responsibility for all transactions entered into by the Participant on NASDAQ. This letter shall be deemed to be a Letter of Guarantee and shall remain in effect until a written notice of revocation has been filed with NASDAQ Member Regulation. Any such revocation shall in no way relieve the Participant of its responsibility for Exchange transactions guaranteed prior to the effective date of the revocation.

Accepted and agreed to this date: _____

Clearing Member OCC Number: _____

Clearing Member National Securities
Clearing Corporation (“NSCC”) Number:² _____

Clearing Member Representative Signature: _____

(phone number)

(print name/title)

Please return executed form to:
NASDAQ Membership Department
1900 Market Street, 2nd Floor
Philadelphia, PA 19103

¹ See PHLX Rule 911; NOM Chapter VII, Sec. 8; BX Options Chapter VII, Sec. 8

² See PHLX Rule 909; NOM Chapter XV, Section 1; BX Options Chapter XV, Sec. 1. If the NSCC Number provided is not affiliated with the Clearing Member, an additional written authorization signed by a representative of the NSCC Member must accompany this Letter of Guarantee.

membership@nasdaq.com

APPENDIX B

To be submitted by Applicants with a third party clearing arrangement.

To: NASDAQ Membership Department

From: _____
 (Individual Completing Form)

 (Participant Organization)

Re: Options Market Participant Letter of Guarantee

The Participant noted above has represented to the undersigned Clearing Member, a member of The Options Clearing Corporation (“OCC”), that it is an approved participant of:

- NASDAQ PHLX LLC (“PHLX”)**
- NASDAQ Options Market (“NOM”)**
- NASDAQ BX Options Market (“BX Options”)**

The undersigned Clearing Member, in accordance with NASDAQ rules,¹ accepts financial responsibility for all transactions made by the above referenced Participant when such transactions are executed through the undersigned Clearing Member. This letter shall be deemed to be a Letter of Guarantee and shall remain in effect until a written notice of revocation has been filed with NASDAQ Member Regulation. Any such revocation shall in no way relieve the undersigned Clearing Member of responsibility for Exchange transactions guaranteed prior to the effective date of the revocation.

Accepted and agreed to this date: _____

Clearing Member Organization: _____

Clearing Member OCC Number: _____

Clearing Member National Securities
 Clearing Corporation (“NSCC”) Number:² _____

Clearing Member Representative Signature: _____

_____ (phone number) _____ (print name/title)

Please return executed form to:

NASDAQ Membership Department
 1900 Market Street, 2nd Floor

¹ See PHLX Rule 911; NOM Chapter VII, Sec. 8; BX Options Chapter VII, Sec. 8

² See PHLX Rule 909; NOM Chapter XV, Sec. 1; BX Options Chapter XV, Sec. 1. If the NSCC Number provided is not affiliated with the Clearing Member, an additional written authorization signed by a representative of the NSCC Member must accompany this Letter of Guarantee.

Philadelphia, PA 19103
membership@nasdaq.com

APPENDIX C

NASDAQ Branch Office Disclosure Form	
Please indicate the purpose of this filing:	
Initial	Amendment Addition of branch office(s) Deletion of branch office(s)
Section A. General Information	
Firm name:	CRD No.: _____ BD No.: _____
Principal place of business:	
Member does not operate branch offices <i>Please return signed form to NASDAQ Membership.</i>	
Member does operate branch offices <i>Please complete a Section B for <u>each</u> branch office location.</i>	
Section B. Branch Office Disclosure Information <i>If the member has branch office locations, the following information must be provided for each location.</i>	
Branch office location:	
Telephone number:	Facsimile number:
Name and of individual responsible for supervision of branch office:	Individual CRD No.
Supervisor email address:	
Date branch office was established:	Number of traders at location:
Is this location a private residence?	Yes No
Type of activity (provide a brief description of the type of activity that takes place at this branch office.)	
Section B. Branch Office Disclosure Information <i>If the member has branch office locations, the following information must be provided for each location.</i>	
Branch office location:	
Telephone number:	Facsimile number:
Name and of individual responsible for supervision of branch office:	Individual CRD No.
Email address:	
Date branch office was established:	Number of employees at location:
Is this location a private residence?	Yes No
Type of activity (provide a brief description of the type of activity that takes place at this branch office.)	

Section B. Branch Office Disclosure Information	
<i>If the member has branch office locations, the following information must be provided for each location.</i>	
Branch office location:	
Telephone number:	Facsimile number:
Name and of individual responsible for supervision of branch office:	Individual CRD No.
Email address:	
Date branch office was established:	Number of employees at location:
Is this location a private residence?	Yes No
Type of activity (provide a brief description of the type of activity that takes place at this branch office.)	
Section B. Branch Office Disclosure Information	
<i>If the member has branch office locations, the following information must be provided for each location.</i>	
Branch office location:	
Telephone number:	Facsimile number:
Name and of individual responsible for supervision of branch office:	Individual CRD No.
Email address:	
Date branch office was established:	Number of employees at location:
Is this location a private residence?	Yes No
Type of activity (provide a brief description of the type of activity that takes place at this branch office.)	
Section C. Signature	
This Form is being submitted pursuant to NASDAQ rules (see PHLX Rule 748(f), NASDAQ and BX Rule 1002 (IM-1002-4). The information provided is true and correct as of the date of submission of this form to the Exchange. The undersigned has completed this form in compliance with Rule 748(f). Any amendments must be submitted to the Exchange no later than thirty (30) days from the date of any change to information provided herein.	
Authorized Signature:	Date:
Print Name:	Phone: