

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.: _____
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Principal place of business:

Member **does not** operate branch offices
Please return signed form to NASDAQ Membership.

Member **does** operate branch offices
Please complete a Section B for each branch office location.

Section B. Branch Office Disclosure Information

If the member has branch office locations, the following information must be provided for each location.

Branch office location:

Telephone number:	Facsimile number:
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Name and of individual responsible for supervision of branch office:	Individual CRD No.
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Supervisor email address:

Date branch office was established:	Number of traders at location:
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Is this location a private residence?	Yes	No
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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

If the member has branch office locations, the following information must be provided for each location.

Branch office location:

Telephone number:	Facsimile number:
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Name and of individual responsible for supervision of branch office:	Individual CRD No.
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Email address:

Date branch office was established:	Number of employees at location:
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Is this location a private residence?	Yes	No
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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: