

# Notification: Change in Company Record

The NASDAQ Stock Market requires notification when a NASDAQ-listed company requests a change of its name, a change in the par value or title of its securities, or a voluntary change in its trading symbol. Please note: When a company changes its name, it is also required to execute a new [Listing Agreement](#).

NASDAQ® also assesses a \$2,500 non-refundable fee for any such change in its record. Please see the attached *Payment Form: Record-Keeping Fee and Instructions* for further information regarding the submission. This *Notification* and fee must be sent no later than ten calendar days after the change; however, NASDAQ recommends submitting this request no later than two business days prior to the change.

## General Information

COMPANY NAME \_\_\_\_\_

ADDRESS OF PRINCIPAL EXECUTIVE OFFICES \_\_\_\_\_

CONTACT \_\_\_\_\_

PHONE \_\_\_\_\_

FAX \_\_\_\_\_

EMAIL \_\_\_\_\_

ISSUE SYMBOL \_\_\_\_\_

TITLE OF SECURITY \_\_\_\_\_

PAR VALUE \_\_\_\_\_

## Record-Keeping Change

NEW COMPANY NAME \_\_\_\_\_

NEW TITLE OF SECURITY \_\_\_\_\_

NEW PAR VALUE \_\_\_\_\_

CUSIP/CINS NUMBER: CURRENT \_\_\_\_\_

NEW \_\_\_\_\_

CUSIP Service Bureau can be reached at +1 212 438 6565 or [www.cusip.com](http://www.cusip.com).

EFFECTIVE DATE OF THE CHANGE \_\_\_\_\_

Companies that intend to change their trading symbol should indicate if a symbol has already been reserved:

Yes  No  N/A If yes, please indicate new symbol: \_\_\_\_\_

If not, NASDAQ recommends a symbol be reserved prior to completion of this form; however, it is not required. A company may submit a request to reserve a new symbol for trading on The NASDAQ Stock Market online at <http://www.nasdaq.com/aspxcontent/SymbolReservationRequest.aspx>. All choices must comprise of one to five alpha characters. A Symbol Reservation Confirmation will be sent upon the reservation of a new symbol.

Date all legal filings were or are anticipated to be perfected, if applicable: \_\_\_\_\_

Date of shareholder approval of change, if required: \_\_\_\_\_

Payment of \$2,500 fee was made by:  Check  Wire

## Authorization by Corporate Officer

OFFICER'S NAME \_\_\_\_\_

TITLE \_\_\_\_\_

OFFICER'S SIGNATURE \_\_\_\_\_

DATE \_\_\_\_\_

# Payment Form: Record-Keeping Fee

When a company listed on The NASDAQ Stock Market submits a request for a change in its name, a change in the par value or title of its securities, or a voluntary change in its trading symbol, a \$2,500 non-refundable fee must be submitted concurrently with the request. All fees are payable to The Nasdaq Stock Market LLC.

**Payment By Wire:** The company may remit its fees by wire. Please use the following instructions and include the specific reference information provided below when transmitting your payment. Submission of this form is not required.

By Federal Reserve Wire  
The NASDAQ Stock Market LLC  
Bank Name: Wachovia Bank, N.A.  
Bank Address: 12 East 49<sup>th</sup> Street  
Bank Address: New York, NY 10017  
SWIFT Number: PNBUS3NNYC  
ABA Number: 031201467  
Beneficiary: NASDAQ  
Account Number: 2000031405177  
Reference: GL2000911. Provide  
company name, symbol, and note that the fee  
is for a record-keeping change.

By American Clearing House  
The NASDAQ Stock Market LLC  
Bank Name: Wachovia Bank, N.A.  
Bank Address: 12 East 49<sup>th</sup> Street  
Bank Address: New York, NY 10017  
SWIFT Number: PNBUS3NNYC  
ABA Number: 026012881  
Beneficiary: NASDAQ  
Account Number: 2000031405177  
Reference: GL2000911. Provide  
company name, symbol, and note that the fee  
is for a record-keeping change.

**Payment By Check:** All checks must be sent under separate cover to the applicable address provided below. Please complete this form and submit it with your payment.

COMPANY NAME

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ADDRESS

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ADDRESS

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REMITTER NAME

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(IF NOT THE SAME AS THE COMPANY)

CHECK ENCLOSED IN THE AMOUNT OF \$

CHECK NO.

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Please mail this form and your payment to:

By Courier or Overnight Delivery Service  
The NASDAQ Stock Market LLC  
Corporate Data Operations  
Lockbox 20200  
c/o Wachovia Bank, N.A.  
401 Market Street  
Philadelphia, PA 19106

By Regular Mail\*  
The NASDAQ Stock Market LLC  
Corporate Data Operations  
Lockbox 20200  
Post Office Box 8500  
Philadelphia, PA 19178-0200

\*Please note that the Post Office Box will not accept courier or overnight deliveries.

# Instructions: Change in Company Record

Pursuant to Rules 5910(e) and 5920(d), a NASDAQ® company is required to submit a \$2,500 non-refundable fee in connection with a request for a change in its name, the par value or title of its securities trading on The NASDAQ Stock Market, or a voluntary change in its trading symbol.

In order to assure prompt review of the request for a change in the company's record, please follow the instructions below:

1. Please include a cover letter which provides a brief description of the transaction or circumstances surrounding the change in the company's record.
2. Submit your payment of the \$2,500 fee according to the directions provided in the preceding Payment Form.
3. Please fax or email your original *Notification: Change in Company Record* to Corporate Data Operations as indicated below. If payment was made by wire, provide a copy of the wire confirmation or indicate the name of the company's bank and when payment was made in your cover letter. If payment was made by check, please include a copy of the *Payment Form: Record-Keeping Fee*.

The NASDAQ Stock Market LLC  
Corporate Data Operations  
Phone: +1 203 375 9609  
Fax: +1 203 385 6381  
Email: [nasdaqreorgs@nasdaqomx.com](mailto:nasdaqreorgs@nasdaqomx.com)

The request for a change and payment should be submitted no later than ten calendar days after the change; however, NASDAQ recommends that the submission be made no later than two business days prior to the change. The final confirmation of any outstanding requirements should be sent by e-mail no later than noon ET on the business day prior to the effective date in the NASDAQ system.

Please contact Corporate Data Operations at the number above with any questions regarding this process.