



STOCK ROUTING AUTHORIZATION FORM

- Nasdaq Phlx LLC (“Phlx”) – MPID: PHLX
 - Nasdaq MRX, LLC (“MRX”) – MPID: MRCY
 - Nasdaq ISE, LLC (“ISE”) – MPID: ISEY
- (check each applicable market)**

This form serves as member’s/member organization’s request for authorization to submit stock-option combination orders to Phlx, ISE and/or MRX and authorizes the applicable exchange to electronically transmit the stock leg(s) of such orders. Please fill out, in its entirety, and return to Nasdaq Membership to direct Stock Leg Routing. Nasdaq Execution Services LLC (“NES”) manages all stock tied complex orders that are matched on the complex order book or in an auction/crossing mechanism of Phlx, ISE and MRX.

Section A. General Member Information			
Member Organization Name:		CRD No.:	
Contact for questions related to this form:		Phone:	
Email:			
Section B. Accounts (Phlx) and/or Business Unit(s) (MRX/ISE) for use with Complex Orders			
Phlx Account(s)/ISE/MRX Business Unit(s)	Stock MPID(s)	Clearing Firm	NSCC Account Number
Section C. Clearing Path for Section C above only (Circle the desired clearing path for stock component. FINRA members MUST choose 1 or 3.)			
<ol style="list-style-type: none"> 1. ACT ~ Requires Uniform Service Bureau/Executing Broker Agreement (AGU) with NASDAQ Execution Services, LLC (“NES”) 2. Direct to NSCC ~ Requires Qualified Special Representative (QSR, Form 9A/9B and Attachment 1) arrangement with NES. Agreement must be filled out on DTCC’s Portal for NES to accept. 3. Direct to NSCC with non-clearing report sent to ACT ~ Requires both AGU and QSR Agreements 			
Section D. Member Signature			
<p>Upon receipt of a properly completed Stock Routing Authorization Form from a member/member organization of Phlx, MRX and/or ISE, the respective exchange shall activate the member/member organization to route stock orders to the chosen venue(s). The member/member organization shall pay any applicable exchange or third-party fees associated with trading complex orders with a stock component.</p> <p>The undersigned hereby represents that the member/member organization executing this Stock Routing Authorization Form has entered into a brokerage agreement with the designated broker-dealer(s)</p>			

pursuant to requirements outlined in Phlx, MRX and ISE Rules, respectively, for complex orders, and that he or she is authorized on behalf of the member/member organization to request the foregoing.	
Authorized Signature: Member/Member Organization	Date:
Print Name:	Title:
Section E. NSCC Clearing Broker Dealer Signature	
Authorized Signature: NSCC Clearing Broker Dealer	Date:
Print Name:	Title:
Section F. Supplemental Material	
<ul style="list-style-type: none"> • <i>Uniform Service Bureau/Executing Broker Agreement (AGU)</i> ~ FINRA member firms who wish to participate in the Complex Order System are required to execute this Agreement with NES. • <i>OSR Arrangement (Form 9A, 9B and Attachment 1)</i> ~ Firms who are not a FINRA nor NASDAQ member with no access to ACT via its clearing broker dealer, must have its clearing broker dealer enter into this arrangement with NES. • <i>MPID Request Form</i> ~ Broker dealers that do not have an assigned MPID must request one by submitting this form to NASDAQ Subscriber Services. 	
Section G Submission	
Please submit your completed form to membership@nasdaq.com . Questions may be directed to Nasdaq Membership at 215-496-5322.	