

# Affiliate Identifier SMP Request

This request for Affiliate identifier Self Match Prevention (“SMP”) functionality is made to the Nasdaq Stock Market LLC, Nasdaq BX, Inc., and Nasdaq PHLX LLC (collectively, the “Exchange”) by the User noted below. An Affiliate identifier may be requested by a User who submits orders to the Exchange in two ways: (i) directly to the Exchange; and (ii) as a Sponsored Participant through a Sponsoring Member. This request should be completed by a User requesting to use an Affiliate identifier in order to identify certain orders as being ineligible to match with a contra side order from the same User whose order is also marked with an identical Affiliate identifier.

The following User seeks to enable SMP using the Affiliate identifier. The Affiliate identifier will be used solely to enable SMP between all MPIDs associated with the Affiliate identifier assigned to the User and will not be available for use with any other Exchange functionality. An Affiliate identifier will only be available to a User where the User submits orders: (i) directly to the Exchange; and (ii) as a Sponsored Participant through a Sponsoring Member.

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**Member Name**

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**Sponsoring Member Name**

By completing this document, the User and Sponsoring Member acknowledge that the persons executing this document are authorized to do so and agree to comply with the SMP functionality that accompanies the execution of this attestation.

An executed version of this attestation can be delivered to the Exchange via email to [Subscriber@nasdaq.com](mailto:Subscriber@nasdaq.com).

<b>Member Name:</b>		<b>CRD #:</b>	
<b>Member MPID(s):</b>		<b>Affiliate ID:</b>	
<b>Signature of Authorized Officer, Partner, Managing Member or Sole Proprietor</b>		<b>Date</b>	
<b>Printed Name</b>		<b>Title</b>	

<b>Sponsoring Member Name:</b>		<b>CRD #:</b>	
<b>Sponsored Access MPID:</b>			
<b>Signature of Authorized Officer, Partner, Managing Member or Sole Proprietor</b>		<b>Date</b>	
<b>Printed Name</b>		<b>Title</b>	