

## The NASDAQ Stock Market

# Notification Form: 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. NASDAQ also assesses a \$2,500 non-refundable fee for each such change.

This form, along with a copy of the completed *Record-Keeping Fee – Payment Form*, must be sent no later than ten days after the change; however, NASDAQ recommends submitting this information up to 2 days prior to the change. Please note: When a company changes its name, it is also required to execute a new *Listing Agreement*\*.

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

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

CITY/STATE/ZIP CODE \_\_\_\_\_

TELEPHONE \_\_\_\_\_

FACSIMILE \_\_\_\_\_

E-MAIL \_\_\_\_\_

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

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

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

Issue listed on:  The NASDAQ National Market®  The NASDAQ SmallCap Market<sup>SM</sup>

### Record-Keeping Change:

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

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

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

CINS NUMBER: CURRENT \_\_\_\_\_

NEW \_\_\_\_\_

CUSIP Service Bureau can be reached at 212.438.6565.

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

Companies, which 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 no, NASDAQ recommends a symbol be reserved prior to completion of this form; however, it is not required. To reserve a symbol, submit a request via e-mail, including three proposed symbols in order of preference, to [symbol.reservation@nasdaq.com](mailto:symbol.reservation@nasdaq.com). All choices must comprise four alpha characters. A Symbol Reservation Confirmation letter will be sent upon the reservation of a new symbol.

Effective date of charter amendment (where applicable): \_\_\_\_\_

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

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

TITLE \_\_\_\_\_

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

DATE \_\_\_\_\_



**Return this Form and a copy of the *Record-Keeping – Payment Form* via email to: [nasdaqreorgs@nasdaq.com](mailto:nasdaqreorgs@nasdaq.com) or by fax to:**

The Nasdaq Stock Market, Inc.  
Market Integrity Department  
80 Merritt Boulevard  
Trumbull, CT 06611  
Telephone: 203.375.9609  
Fax: 203.502.5480

*\*The NASDAQ Listing Agreement* is available upon request from your NASDAQ Director or Listing Qualifications Analyst, or may be printed from [www.NASDAQ.com](http://www.NASDAQ.com). Please attach a copy of this Notification Form to the new Listing Agreement.

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**The NASDAQ Stock Market**

# Record-Keeping Fee – Payment Form

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, Inc.

Please see the attached instructions regarding the submission of a request. All checks must be sent under separate cover to the P.O. Box address provided below. Please complete this form and submit it with your check payment.

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

ADDRESS \_\_\_\_\_

ADDRESS \_\_\_\_\_

REMITTER NAME \_\_\_\_\_  
(IF NOT THE SAME AS COMPANY)

CHECK ENCLOSED IN THE AMOUNT OF \$ \_\_\_\_\_ CHECK NO. \_\_\_\_\_

DATE OF FORM REQUESTING A CHANGE \_\_\_\_\_

**Please mail this form and your check payment to:**

**Regular Mail\***

The Nasdaq Stock Market, Inc.  
Market Integrity Department  
P.O. Box 7777—W1555  
Philadelphia, PA 19175-1555

or

**Courier/Overnight**

The Nasdaq Stock Market, Inc.  
Market Integrity Department  
W1555  
c/o Mellon Bank, Room 3490  
701 Market Street  
Philadelphia, PA 19106

\*This P.O. Box address will not accept courier or overnight deliveries.



# Instructions for Change in Company Record Request

Pursuant to Rules 4510 and 4520, 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 changes in the company's record, please follow the instructions below:

1. Please complete a copy of this form and submit it with the required payment to the appropriate address on the form.
2. Please send your original Notification Form for a change in the company record, along with a copy of the fee payment form, to:

The Nasdaq Stock Market, Inc.  
Market Integrity Department  
80 Merritt Boulevard  
Trumbull, CT 06611  
Telephone: 203.375.9609  
Fax: 203.502.5480  
E-mail: [nasdaqreorgs@nasdaq.com](mailto:nasdaqreorgs@nasdaq.com)

To expedite your request, it is suggested that the material be sent via e-mail or fax.

The request for a change and payment should be submitted no later than 10 days after the change; however, NASDAQ recommends that the submissions be made no later than 2 days prior to the change.

NASDAQ does not impose fees for requests related to initial listing on The NASDAQ Stock Market.

Please contact the Market Integrity Department at 203.375.9609 with any questions regarding this process.