

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. Please see the attached *Record-Keeping Fee - Payment Form* for further information regarding the fee submission.

This form and fee 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*.<sup>1</sup>

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 \_\_\_\_\_

CUSIP/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. A company may submit a request to reserve a new symbol for trading on The NASDAQ Stock Market by using NASDAQ's on-line symbol reservation form.<sup>2</sup> All choices must comprise four alpha characters. A Symbol Reservation Confirmation 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: \_\_\_\_\_

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

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

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



**Return this Form via email to [nasdaqreorgs@nasdaq.com](mailto:nasdaqreorgs@nasdaq.com) or by fax to:**

The NASDAQ Stock Market LLC  
Market Integrity  
80 Merritt Boulevard  
Trumbull, CT 06611  
Telephone: 203.375.9609  
Fax: 203.502.5480

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<sup>1</sup>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*.

<sup>1</sup> The on-line symbol reservation form is located at: <http://www.nasdaq.com/aspxcontent/SymbolReservationRequest.aspx>.

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**NASDAQ**

**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 LLC.

**Payment By Check:** All checks must be sent under separate cover to the 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 THE COMPANY)

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

Please mail this form and your check payment by courier/overnight to:

The NASDAQ Stock Market LLC  
Market Integrity  
W-1555  
c/o Mellon Bank  
701 Market Street  
Room 3490  
Philadelphia, PA 19106

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

By Federal Reserve Wire  
The NASDAQ Stock Market LLC  
Bank Name: PNC Bank  
Bank Address: Philadelphia, PA  
SWIFT Number: PNCCUS33  
ABA Number: 031000053  
Beneficiary: NASDAQ  
Account Number: 5300401669  
Reference: 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: PNC Bank  
Bank Address: Washington, DC  
SWIFT Number: PNCCUS33  
ABA Number: 054000030  
Beneficiary: NASDAQ  
Account Number: 5300401669  
Reference: Provide company name, symbol and note that the fee is for a record-keeping change.

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# Instructions for a Change in the Company Record

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 request for a change in the company's record, please follow the instructions below:

1. Please submit your payment of the \$2,500 fee according to the directions provided in the above form.
2. Please send your original *Notification Form: Change in Company Record* to the following address. If payment was made by check, please include a copy of the *Record-Keeping - Payment Form*. If payment was made by wire, please provide either a copy of the wire confirmation or a cover letter, indicating the name of the company's bank and when payment was made.

The NASDAQ Stock Market LLC  
Market Integrity  
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.

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

The logo for NASDAQ, featuring the word "NASDAQ" in a bold, stylized, blocky font with a textured, metallic appearance.