

*New text is underlined; deleted text is in brackets.*

## **NASDAQ Stock Market Rules**

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### **1013. New Member Application**

#### **(a) Filing of Application**

##### **(1) – (4) No Change**

##### **(5) Applicants That Are Members of an Association or Another Exchange**

- (A) Applicants for Nasdaq membership that are also simultaneously applying for FINRA membership may file one application with FINRA in compliance with the NASD Rule 1010 Series; however, Nasdaq will not take action on the application for Nasdaq membership until the applicant is an active member of FINRA.
- (B) Applicants that are members of another registered national securities exchange or association must submit a complete application form containing all of the required items of information listed in Rule 1013(a)(1).
- (C) An applicant that is an approved FINRA or NASDAQ OMX BX, Inc. (“BX”) member shall have the option to apply to become a Nasdaq member and to register with Nasdaq all associated persons of the firm whose registrations with the firm are approved with FINRA or BX in categories recognized by Nasdaq rules through an expedited process by submitting a Waive-in Membership Application Form and a Nasdaq Membership Agreement.

##### **(b) No Change**

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