



ATS Order Book – NBBO Source Change Form

FINRA Rule 6830, requires ATSS using an alternative NBBO feed from what was reported on its ATS data submission to notify the Central Repository of the fact that an alternative source was used, identify the alternative source, and specify the date(s), time(s) and securities for which the alternative source was used. Consistent with FINRA Rule 6830, for the purpose of CAT reporting, Industry Members should submit this form to FINRA CAT via email at help@finracat.com.

This form is being submitted to disclose a change in the NBBO source for the below referenced Industry Member.

| | |
|---|--|
| Industry Member Name: | |
| Industry Member Organization ID: | |
| ATS Name: | |
| ATS IMID: | |

| Date | Issue Symbol | Primary NBBO Source | Alternate NBBO Source | Start Time for Alternate NBBO Source | End Time of Alternate NBBO Source |
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The undersigned hereby certifies that they are authorized to provide this form, that all of the above information is true and correct and that the undersigned or an authorized representative of the Industry Member will promptly notify FINRA CAT in the event such information ceases to be true and correct.

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|--|-------------|
| Signature of Designated Principal | Date |
| Print Name of Designated Principal | |
| Print Title of Designated Principal | |