

Rule 15c2-11 Exemption Request Form (NASD Eligibility Rule 6530)

On June 3, 1999, the Securities and Exchange Commission (SEC) granted an exemption from SEC Rule 15c2-11 for securities that were quoted on the Over-the-Counter Bulletin Board® (OTCBB) on or before January 4, 1999. These are securities that will no longer be eligible to be quoted on the OTCBB due to the phase-in implementation of NASD Rule 6530 (the Eligibility Rule). Broker/dealers that meet the exemption conditions are required to submit this form to the OTC Compliance Unit of the NASD Regulation, Inc., Market Regulation Department (Unit) in order to be considered for the exemption.

Please complete this form as outlined below, then mail the completed form to: OTC Compliance Unit, NASD Regulation, Inc., 9513 Key West Avenue, Rockville, MD 20850; or fax it to (301) 208-2806. This form must be received by the OTC Compliance Unit during the 30- or 60-calendar day grace period commencing after the "E" is appended on the security symbol.

If you have questions about filing this form or the conditions surrounding this exemption, please call the Unit at (301) 208-2802.

If after review, the Unit clears the broker/dealer to publish or submit quotations in another quotation medium, the Unit will notify the quotation medium you specify below that you are permitted to enter quotations on the security(ies) requested in this form on the date it is removed from quotation on the OTC Bulletin Board.

Check the applicable quotation medium(s): ☐ Pink Sheets ☐ Other (specify) _____

Provide the required information requested below (please submit a separate form for each issuer):

1. Exact name of issuer and predecessor (if any) _____
2. Address of principal executive offices

3. Telephone number of principal executive offices _____
4. Name and title of issuer contact _____
5. Nature of the issuer's business _____
6. Security Symbol(s) Complete Title and Class of Security(ies) to be Quoted CUSIP (if assigned)

¹ Therefore, if the Commission suspends trading in the covered security pursuant to Section 12(k) under the Exchange Act, this exemption does not apply to that security.

7. Price of initial resumed quotation entry:

Bid _____ Ask _____ ☐ No price at this time

If you are entering a bid and/or ask price now, you must also provide a clear statement of the following information:

The basis upon which the priced entry was determined:

The factors considered in making that determination:

Certification:

The undersigned, by signing below, affirms that (i) the broker/dealer filing this form has in its records the information specified in paragraphs (a)(5)(i), (a)(5)(ii), and (a)(5)(viii) of Rule 15c2-11; (ii) the security(ies) listed on this form was(were) quoted in the OTCBB from January 4, 1999, until the date of its removal¹, (iii) the security's symbol has been appended with an "E" modifier to indicate that it is not compliant with Rule 6530; (iv) the broker/dealer filing this form published quotations in the covered security in the OTCBB on at least 12 business days during the preceding 30 calendar days, with no more than four consecutive business days without quotations; and (v) that the information supplied in this form is reasonably current. Detailed information regarding this exemption from Rule 15c2-11 is available by calling the OTC Compliance Unit at (301) 208-2802.

Name and signature of member firm principal overseeing the submission of this form:

Name: _____ Title: _____

Signature: _____ Date: _____

Firm Name: _____

Telephone Number: _____ MPID: _____