

## RULE 15c2-11 EXEMPTION REQUEST FORM

### General Instructions

Complete this form to enter quotations in the OTC Bulletin Board for a security that satisfies the principal conditions required for this exemption. A registered principal of your firm must sign the form. Mail your completed form to FINRA, OTC Compliance Unit, 9509 Key West Avenue, Rockville, MD 20850-3329, or fax it to (240) 386-5137. If you have questions about filing this form or the conditions surrounding this exemption, call the OTC Compliance Unit at (240) 386-5100.

### Issuer and Security Information:

Symbol \_\_\_\_\_

Name \_\_\_\_\_

CUSIP \_\_\_\_\_

Fiscal Year End Date (MM/DD) \_\_\_\_\_

Date of Incorporation (MM/DD/YYYY) \_\_\_\_\_

State or Country of Incorporation \_\_\_\_\_

Standard Industrial Classification (SIC) Code \_\_\_\_\_

**(a) Complete if the Issuer files periodic reports through the SEC's EDGAR system.**

- Provide the 10-digit Central Index Key (CIK) number. (The CIK is a unique identifier assigned by the SEC to all companies and people who file disclosure documents through EDGAR with the SEC.)

**(b) Complete if the Issuer does not file periodic reports through the SEC's EDGAR system.**

- Name of regulatory authority where the Issuer files periodic financial reports: \_\_\_\_\_

- Telephone number of the regulatory authority: \_\_\_\_\_

- The Issuer's filing cycle. (Check one)

Quarterly

Semi-Annually

Annually

Other (Describe the filing cycle)

**(b) Continued**

- List the required reports filed by the Issuer for the current fiscal year.

Name of Report

Due Date of Report

Date of Report

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**Certification**

The undersigned by signing below affirms that: (i) the security listed on this form has been quoted by the requesting firm in another interdealer quotation system; (ii) the frequency of those quotations meets the requirements of Rule 15c2-11(f)(3) under the Securities Exchange Act of 1934 (Exchange Act); (iii) the Issuer identified on this form is not subject to bankruptcy proceedings and is current in its reporting obligations under the Exchange Act, if so required; (iv) the security has not been the subject of a recent trading suspension ordered by the Securities Exchange Commission pursuant to Section 12(k) of the Exchange Act; (v) the Issuer of the security is a domestic Issuer; and (vi) the Issuer of the security has not filed a Form 8-K, with respect to Item 1.03, Item 2.01, Item 4.01, Item 5.01 or Item 5.02, since the Issuer filed its most recent annual report. The undersigned further agrees that FINRA may at any time deny the inclusion of or delete a security from the OTC Bulletin Board on regulatory grounds, including, but not limited to, noncompliance with the conditions applicable to this exemption. Detailed information regarding this exemption is available by calling the OTC Compliance Unit at (240) 386-5100.

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

Name

Title

Signature

Date

Firm Name

Telephone Number

Market Participant Identifier