

CIRCULAR 54

To: PARTICIPATING INSTITUTIONS

From: NASD OTC Securities Exchange

Date: 8 MARCH 2024

**Subject: AMENDMENT OF NASD FORM 5B (Transfer of Status as
Authorised Trader), AND NASD FORM 3 (Security Admission)**

All Participating Institutions are hereby notified that NASD PLC has amended the existing NASD application forms for the Transfer of Authorised Trader and Security Admission. This review is necessary to comply with industry standards and the provisions of the existing NASD Rules.

The amended NASD forms shall take immediate effect. Kindly click the link below or visit our website to download the same.

- [NASD Form 3 - Admission to Trade A New Security](#)
- [NASD Form 5b - Transfer of Status as Authorised Trader](#)

For further clarifications, kindly send an email to legalcompliance@nasdng.com

Thank you.

NASD PLC