

Global OTC Liquidity Provider Rebate Program Enrollment Form

Purpose

This form is to be completed by a Global OTC Subscriber in order to enroll in the Global OTC Liquidity Provider Rebate Program ("Rebate Program").

Requirements:

- Participants must be an approved Global OTC Subscriber to enroll in the Rebate Program.
- Enrolled participants must maintain a displayed buy order and a displayed sell order of at least the minimum size dictated in the Liquidity Provider Order Size Minimum for Display Requirement Chart for at least 90% of the core trading session. Execution of an order does not remove the requirement to have a displayed priced order during the core trading hours between 9:30 am to 4:00 pm ET.
- Rebate Program participants must meet the display requirements for a minimum of 300 securities priced \geq \$1.00 and for a minimum of 15 consecutive trading days per month to be eligible for the Liquidity Provider Credits.
- Liquidity Provider Credits are not paid in securities where the price is $<$ \$1.00
- Global OTC will publish the amount of the Liquidity Provider Credits ("rebate pool") on its website. The rebate pool is distributed to enrolled participants in securities priced \geq \$1.00 based on the amount of liquidity adding shares executed that meet the stated requirements.

General Information

Firm Name: _____
Business Address: _____
City: _____ State: _____ Zip: _____
Business Phone: _____ CRD #: _____

Contact Information

Contact Name: _____
Business Phone: _____ Email: _____

MPID Information

Please list the MPID(s) to enroll in the
Global OTC Liquidity Provider Rebate Program: _____

Authorization

By (Signature) _____
Name: _____
Title: _____
Phone: _____
Email Address: _____
Date: _____

Completed request forms should be returned via email to info@globalotc.com.