



2021 Investment Management Entity and Portfolio Company Certification

Nasdaq will apply a 50% fee discount to the annual fee for Eligible Portfolio Companies and Investment Management Entities that have one or more Eligible Portfolio Companies listed on Nasdaq.

As described in Nasdaq Listing Rule [IM-5910-1](#) and [IM-5920-1](#) to qualify for this discount, an “Investment Management Entity” is a company listed on Nasdaq or another national securities exchange that manages private investment vehicles not registered under the Investment Company Act. An “Eligible Portfolio Company” of an Investment Management Entity is a Nasdaq-listed Company in which an Investment Management Entity has owned at least 20% of the common stock on a continuous basis since prior to that company’s initial listing.

Qualified companies must email this completed form to continuedlisting@nasdaq.com no later than December 31, 2020 in order to receive the annual fee discount for 2021.

Company Name	Symbol	
Company Contact Name		
Email		
Phone		
Is the Company an: <input type="radio"/> Investment Management Entity <input type="radio"/> Eligible Portfolio Company		
If the Company is an Investment Management Entity as defined above , provide the following information for each Eligible Portfolio Company listed on Nasdaq.		
Eligible Portfolio Company Name	Current Percent Ownership	Has the Investment Management Entity owned at least 20% of the common stock since prior to the Eligible Portfolio Company’s initial listing?
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
If the Company is an Eligible Portfolio Company as defined above , provide the following information for each Investment Management Company that owned at least 20% of the Company’s common stock on a continuous basis since prior to that company’s initial listing.		
Investment Management Entity Name	Current Percent Ownership	Has the Investment Management Entity owned at least 20% of the common stock since prior to the Eligible Portfolio Company’s initial listing?
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
AFFIRMATION		
I have been authorized by the company and have the legal authority to provide information on the company's behalf; to the best of my knowledge and belief, the information provided is true and correct as of this date; and the company will promptly notify Nasdaq of any material changes.		
Signature/Title		Date