

Nasdaq PHLX Port Request Form

Please email the completed form to subscriber@nasdaq.com.

This section must be completed by an Officer of the PHLX Member Firm and/or Associated Member Firm (Please print).

| | |
|-----------------------------|--|
| PHLX Member Firm | |
| PHLX Billing Account Number | |
| Service Bureau ¹ | |

Request Type

- Add
 Removal - (Please see second page)

 Upgrade (Please provide ports in additional comments section)

Sponsored Access (required)

| | |
|--|--|
| Is your member organization planning to use this port for Sponsored Access? ² | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| If yes, provide the name of the party that is being sponsored by your firm. | |

Connectivity

| | |
|---|--|
| Which service provider will you be using? | <input type="checkbox"/> Co-Lo <input type="checkbox"/> Direct Connect <input type="checkbox"/> Extranet <input type="checkbox"/> 10G |
|---|--|

Products

- SQF
 SQF Purge
 CTI
 FIX
 FBMS FIX

| | |
|--|--|
| What type of connection do you want to order? | <input type="checkbox"/> Production <input type="checkbox"/> NTF (Test) |
| Do you want to copy an existing account? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| If yes, please provide the session to copy and the details below can be omitted. | |
| Would you like to request a Chicago Backup/DR port? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| How many sessions would you like to request? (Default: 1) | |

SQF/CTI Only

| | |
|------------------------------|--|
| What is your badge & suffix? | |
|------------------------------|--|

CTI Only

Trades Only Extended Cancels

| | |
|---|--|
| What are your Clearing entitlements? (Clearing or Self Clearing firms only) | |
| What are your Badge entitlements? | |
| What are your FIX Firm entitlements? | |

SQF Only

| | |
|---|--|
| Enable notification messages? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| <input type="checkbox"/> Symbols Rapid Fire <input type="checkbox"/> Auctions <input type="checkbox"/> Trading Actions <input type="checkbox"/> Purges <input type="checkbox"/> Rapid Fire <input type="checkbox"/> Spread Multi <input type="checkbox"/> Quote Executions <input type="checkbox"/> Leg Executions <input type="checkbox"/> Underlying Permission <input type="checkbox"/> Complex Leg <input type="checkbox"/> Order Exposure <input type="checkbox"/> ReEntry | |
| Enable COD Enhanced? | <input type="checkbox"/> Yes <input type="checkbox"/> No |

FIX Only

Please complete this section when requesting FIX sessions.

| | |
|---|--|
| What mnemonic will be added to the new session? | |
| What is the OCC clearing number to be configured? | |
| If adding mnemonic, please provide the port for the mnemonic to be added. | |
| What is the floor broker name/number? | |

| | |
|--|--|
| What maximum contract order size should the port allow? (Default 50,000) | |
| End of day message (Nothing Done) | <input type="checkbox"/> All <input type="checkbox"/> Day <input type="checkbox"/> GTC |
| Order reintroduction | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Do you want routing capabilities? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| If routing is yes, please select the default routing strategy SRCH | <input type="checkbox"/> SRCH <input type="checkbox"/> FIND <input type="checkbox"/> DBR (Do Not Route) |

Removal Requests

Please provide the product and logon(s) for disconnect below:

| | |
|--|--|
| | |
| | |
| | |
| | |

Contact Information

| | Contact Name | Phone | Email |
|----------------|--------------|-------|-------|
| Order | | | |
| Business | | | |
| Trader | | | |
| Technical | | | |
| Security Admin | | | |

Additional Comments and/or Request Notes

Order Authorization

| | | | |
|---------------------------------------|--|--------------|--|
| Firm Name | | MPID/Firm ID | |
| Authorized Contact: (Please Print) | | | |
| Signature | | Date | |

Internal Use Only

| | | |
|-------------------------|------------------------------|-----------------------------|
| New Logical Connection | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Retain Production Setup | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Firm Mnemonic / Port | | |

ONLY A PHLX MEMBER FIRM OR ASSOCIATE MEMBER FIRM MAY REQUEST ACCESS TO PHLX XL. THIS REQUEST MUST BE SIGNED BY AN OFFICER OF THE PHLX MEMBER FIRM AND THE ORIGINAL DELIVERED TO THE PHLX. IT IS ALSO THE MEMBER FIRM'S RESPONSIBILITY TO NOTIFY THE PHLX IF ANY INFORMATION PROVIDED BELOW CHANGES.

1. All firms accessing via a Service Bureau are required to sign the Service Bureau Agreement (<http://www.nasdaqtrader.com/content/AdministrationSupport/AgreementsTrading/nwiiagreement.pdf>). All services and products requested on this form are governed by the terms in the NASDAQ U.S. Services agreement NASDAQ U.S. Services agreement and the NASDAQ Transaction Services Policies document. If you do not receive a written confirmation from NASDAQ within 3 business days that your request has been received and processed, please contact NASDAQ Subscriber Services at 212 231 5180 or subscriber@nasdaq.com.

2. NASDAQ PHLX LLC, The NASDAQ Options Market LLC, and NASDAQ BX Options, Inc. General 2, Section 22 allows market participants to enter into sponsored access relationships. Sponsored Access is defined in these rules as an arrangement whereby a member, member organization or Participant permits its customers to enter orders into the exchange's trading system that bypass the member's, member organization's or Participant's trading system and are routed directly to the exchange, including routing through a service bureau or other third-party technology provider.

Please be advised that beginning on January 2, 2013, all new port requests from subscribers must be received no later than 3:00PM EST to guarantee processing for the next trading day. In the event that NASDAQ receives a request after 3:00PM EST, every effort will be made by Subscriber Services to process the request for the next day, but delivery will not be guaranteed. In all cases, Subscriber Services will respond promptly with an estimated date of completion.

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