Non-Professional Distributor Declaration

Any Distributor that may want to qualify for non-professional pricing will need to complete this form.

Distributor Name:	

Section 1: Contact Information for Distributor

Primary:	Address:
Name:_____ Telephone: _____ Email:_____	Street: _____ City:_____ State: _____ Zip: _____

Section 2: Service Bureau/Software Provider or Related Service Provider

If enough space is not provided, please attach a sheet with all software or service bureau providers.

Software or Service Bureau facilitating access:	
Software or Service Bureau facilitating access:	

Section 3: Distributor Classification

Please indicate the classification of your organization, and provide the number of users under each category requested.

Distributor Classification	Registered Name of Company & CRD # if a B/D. If non-US organization, applicable country info:	Distribution of Data	
		Internal	External
Is your firm a FINRA Broker-Dealer (B/D)? ☐ Yes ☐ No		☐	☐
Is your firm a CBSX Broker-Dealer or Similar Entity? ☐ Yes ☐ No		☐	☐
Is your firm using an Omnibus Account for the downstream organization or client? ☐ Yes ☐ No		☐	☐
Is your firm a Proprietary Trading Firm, LLC, or other similar entity? ☐ Yes ☐ No		☐	☐
Is your firm a Market Data Vendor? ☐ Yes ☐ No Please indicate the number of users who fall into each category:	**FINRA Broker Dealer** Professional Users Non Professional Users	_____ _____	_____ _____
	Proprietary Trading Professional Users Non Professional Users	_____ _____	_____ _____
	Market Data Vendor Professional Users Non Professional Users	_____ _____	_____ _____

Section 4: Client Organization Requirement Information/Instructions

NASDAQ OMX defines a Client Organization as any entity that receives or benefits from the Distributor's software, hosted solution, or other similar controlled product.

Does your firm provide data to any Client Organization(s)?	☐ Yes ☐ No

If your firm distributes data to Client Organization(s), please submit the names of the Client Organizations that intend to report Non-Professional Subscribers. Note, a Client Organization that only provides data to Professional Subscribers will **not** need to complete any additional paperwork.

If enough space is not provided, please attach a sheet with all software or service bureau providers.

For a Distributor to report usage associated with Client Organizations as Non-Professionals, Distributors must have each Client Organization complete a <u>Client Organization Declaration Form</u>. And also have each Subscriber of the Client Organization submit the <u>Non-Professional Subscriber Questionnaire</u>.

Name:_____ **Date:**_____

Signature:_____

Please send completed form to dataops@nasdaqomx.com