

This System Application is for the NASDAQ OMX Global Data Agreement and/or other relevant NASDAQ OMX distributor and/or vendor agreements. A “**Distributor**” is the organization applying for NASDAQ OMX datafeed. NASDAQ OMX requires that your firm submit a **separate** System Application for **each entitlement system** that controls market data.

All applicable policy details and documents may be accessed at the following link:  
<http://www.nasdaqtrader.com/content/AdministrationSupport/AgreementsData/datapolicies.pdf>

**Date of Application:** \_\_\_\_\_

**Distributor Name:** \_\_\_\_\_

**System Name:** \_\_\_\_\_

## Section 1: Unit of Count [Unit of Count determines pricing.]

Select **ONE** applicable unit of count for this System Application:

- Device/Access/Stand Alone** [Controlled]
- Hosted Solution** [Controlled]
- Managed Data Solution** [Controlled]
- Retransmission Datafeed** [Uncontrolled]

## Section 2: Billing Information

**Will your firm offer data services to affiliated companies?**

No  Yes, then complete the below or List of Affiliates Form if additional space is required.

| Affiliated Company Names* | Registered Address | Distributor’s Group Holding (%) |
|---------------------------|--------------------|---------------------------------|
|                           |                    | _____ (%)                       |
|                           |                    | _____ (%)                       |
|                           |                    | _____ (%)                       |

| NASDAQ OMX Account Info.   | Invoice Format   | Data Feed Billing Address  |
|--|--|--|
| Existing Customer Number from Invoice:<br>_____<br>or <input type="checkbox"/> New Invoice | <input type="checkbox"/> email only<br><input type="checkbox"/> email and paper<br><input type="checkbox"/> paper only | Street Address [P.O. Box Numbers Not Accepted]<br>_____<br>Street Address 2<br>_____<br>City, State, Province, Postal Code _____ Country |
| Email address for Invoices:<br>_____   |  |  |

## Section 2b: Billing Information – Nordic & Baltic Data

Please check here if your firm does **NOT** receive NASDAQ OMX Nordic data.

Please check here if this system qualifies for waiver of fees per the Nordic Member Rules.

|                     |   |
|---------------------|---|
| VAT/Company Number: | _____ [required for Nordic Baltic only] |
|---------------------|---|

Members of  
NASDAQ OMX Nordic

- Nordic Cash Equity Markets Membership / Trading ID: \_\_\_\_\_
- Derivatives Market Membership / Trading ID: \_\_\_\_\_
- Fixed Income Market Membership / Trading ID: \_\_\_\_\_
- Baltic Cash Equity Markets / Trading ID: \_\_\_\_\_
- Commodities Markets / Trading ID: \_\_\_\_\_

## Section 3: Contact Information

| Primary/ Business Contact   | Technical Contact   |
|---|---|
| Mr./Ms./Mrs.<br>_____<br>First Name Last Name<br>_____<br>Phone Number<br>_____<br>E-mail Address<br>_____<br>Group E-mail Address [optional]<br>_____<br><input type="checkbox"/> Same as Data Feed Billing Address listed above<br>Address _____<br>_____ | Mr./Ms./Mrs.<br>_____<br>First Name Last Name<br>_____<br>Phone Number<br>_____<br>E-mail Address<br>_____<br>Group E-mail Address [optional]<br>_____<br><input type="checkbox"/> Same as Data Feed Billing Address listed above<br>Address _____<br>_____ |
| Administrative /Reporting Contact   | Billing Contact   |
| Mr./Ms./Mrs.<br>_____<br>First Name Last Name<br>_____<br>Phone Number<br>_____<br>E-mail Address<br>_____<br>Group E-mail Address [optional]<br>_____<br><input type="checkbox"/> Same as Data Feed Billing Address listed above<br>Address _____<br>_____ | Mr./Ms./Mrs.<br>_____<br>First Name Last Name<br>_____<br>Phone Number<br>_____<br>E-mail Address<br>_____<br>Group E-mail Address [optional]<br>_____<br><input type="checkbox"/> Same as Data Feed Billing Address listed above<br>Address _____<br>_____ |

## Section 4: Reporting Administration Information

**Distributors are required to submit monthly market data usage reports indicating number and location of terminals or user IDs or other measure of usage as specified below. Indicate submission method.**

|  |   |
|--|---|
| Monthly Summary Reporting  | <input type="checkbox"/> Online Vendor Reporting System [NORA]<br><input type="checkbox"/> Email  |
| Monthly Detailed Reporting<br>[required for datafeed products and external Distributors] | <input type="checkbox"/> <a href="#">VRXML</a><br><input type="checkbox"/> <a href="#">VRXLS</a> /Spreadsheet<br><input type="checkbox"/> Other |

## Section 4: System Information

Describe how your firm intends to use the market data on a separate sheet. [System diagram required]

Please provide the following information:

|  |  |  |
|--|--|--|
| Indicate type of external subscriber receiving data.   | <input type="checkbox"/> External Professional | <input type="checkbox"/> External Non-Professional |
| Indicate total number of user ids/devices presently on the network. [include all devices that receive real-time data]. | _____  | _____/_____<br>Month/ Year                         |
| If no user ids/devices are presently on the network, provide approximate start date of first Subscriber.               | _____/_____<br>Month/ Year                     |  |

## Section 5: Entitlement System

Provide list of all Entitlement and Software Providers with NASDAQ OMX data both proprietary and/or third party.

| Name of Entitlement System Provider   | Name of Entitlement System       |
|---|----------------------------------|
| 1. _____  | Version<br>Number: _____         |
| 2. _____  | Version<br>Number: _____         |
| Entitlement Timeframe   |                                  |
| <b>Entitlement Timeframe:</b> <input type="checkbox"/> Intraday <input type="checkbox"/> Overnight <input type="checkbox"/> Other _____ |                                  |
| Name of Display Software Provider   | Name of Display Software/Product |
| _____   | Version<br>Number: _____         |
| _____   | Version<br>Number: _____         |

## Section 6a: Distribution Services

How will your firm submit units of count and/or reportable units? See [NASDAQ OMX Global Data Policies](#) for definitions.

| Submission of Information       |            | Internal within Distributor's Group |                          | External Subscribers [Attach screenshots] |                          |
|---------------------------------|------------|-------------------------------------|--------------------------|---|--------------------------|
| Distribution Method             | IP address | Real-time                           | Delayed                  | Real-time                                 | Delayed                  |
| Unique User ID & Password       |            | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/>                  | <input type="checkbox"/> |
| Interrogation Device/IP Address |            | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/>                  | <input type="checkbox"/> |
| Per Query                       |            | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/>                  | <input type="checkbox"/> |
| Cable Television                |            | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/>                  | <input type="checkbox"/> |
| Unique Visitors                 |            | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/>                  | <input type="checkbox"/> |
| Households                      |            | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/>                  | <input type="checkbox"/> |
| User Terminal                   |            | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/>                  | <input type="checkbox"/> |
| Mobile Device                   |            | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/>                  | <input type="checkbox"/> |
| Wallboard                       |            | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/>                  | <input type="checkbox"/> |
| Television                      |            | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/>                  | <input type="checkbox"/> |
| Website, Internet, Intranet     |            | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/>                  | <input type="checkbox"/> |
| Text Messaging                  |            | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/>                  | <input type="checkbox"/> |
| Other [specify]                 |            | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/>                  | <input type="checkbox"/> |
| a) _____                        |            | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/>                  | <input type="checkbox"/> |
| b) _____                        |            | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/>                  | <input type="checkbox"/> |

## Section 6b: Non-Display & Derived Data Services

| a. Will your firm offer Non-Display <input type="checkbox"/> No <input type="checkbox"/> Yes | Proximity Services                                   | Co-location  |
|--|--|--|
| Automated Trading [specify]<br>_____   | <input type="checkbox"/>                             | <input type="checkbox"/>                             |
| Order Routing  | <input type="checkbox"/>                             | <input type="checkbox"/>                             |
| Other Non-Display use [specify]<br>a) _____<br>b) _____                                      | <input type="checkbox"/><br><input type="checkbox"/> | <input type="checkbox"/><br><input type="checkbox"/> |

| b. Will your firm offer Derived Data <input type="checkbox"/> No <input type="checkbox"/> Yes | Proximity Services       | Co-Location              | Internal Distribution    | External Distribution    |
|---|--------------------------|--------------------------|--------------------------|--------------------------|
| Creation Indices  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Single Security Symbol Data   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Multiple Security Symbol Data   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

### c. Will your firm offer the following services?

|  |                             |                              |
|--|-----------------------------|------------------------------|
| a. Will data from a service be redistributed to additional servers, which in turn, can redistribute data to various users, servers and/or devices?         | <input type="checkbox"/> No | <input type="checkbox"/> Yes |
| b. Will your firm offer a service that includes an API [Application Programming Interface] or DDE [Dynamic Data Exchange] as part of your display service? | <input type="checkbox"/> No | <input type="checkbox"/> Yes |

## Section 7: Subscriber Agreement Information [External Distribution Only]

As an external Distributor, your firm must administer the NASDAQ OMX Global Subscriber Agreement or equivalent to Subscribers. Please check here if your firm does **NOT** distribute market data to external subscribers.

### How will your firm administer the NASDAQ OMX Subscriber Agreement?

| NASDAQ OMX Subscriber Agreement Administration      |   |
|---|---|
| <input type="checkbox"/> Vendor Indemnification     | Requirements are detailed in the market data agreements.  |
| <input type="checkbox"/> Online                     | Distributor offers the agreement via the internet.  |
| <input type="checkbox"/> Incorporation by Reference | Distributor adds specific language into the distributors' own agreement with the subscriber.  |
| <input type="checkbox"/> Hard Copy/Paper            | Distributor provides subscriber with a paper copy of a subscriber agreement. Distributor <b>retains executed originals</b> , but does not submit documents to NASDAQ. |

I certify that the information provided on this System Application is accurate.

|               |  |
|---------------|--|
| Signature:    |  |
| Printed Name: |  |
| Title:        |  |
| Date:         |  |