

# FINRA Services Port

## Request Form

Please email the completed form to [subscriber@nasdaq.com](mailto:subscriber@nasdaq.com) or fax to +1 212 231 5426

### Order Type

Add
  Removal
  Upgrade

### Connectivity

Which service provider will you be using?
  Co-Lo
  CPC
  Extranet

### Quoting & Trade Reporting

Select one per desired port

| TRACE trade reporting   | ADF trade reporting, quoting, order responses   | Current TRF reporting using ACT  | ORF reporting using new platform   | OTC Quoting of Bulletin Board      |
|---|---|--|--|------------------------------------|
| <input type="checkbox"/> CTCI CA/SP/TS<br><input type="checkbox"/> FIX 4.4 SP<br><input type="checkbox"/> FIX 4.4 CA<br><input type="checkbox"/> FIX 4.4 TS | <input type="checkbox"/> FIX 4.4 Trades<br><input type="checkbox"/> FIX 4.4 Quotes<br><input type="checkbox"/> FIX 4.4 Orders | <input type="checkbox"/> CTCI ACT (TRF)<br><b>FINRA/Nasdaq TRF Carteret</b><br><input type="checkbox"/> FIX 4.2 ACT: TRF Carteret (Production)<br><input type="checkbox"/> FIX 4.2 ACT: TRF Chicago (DR)<br><b>FINRA/Nasdaq TRF Chicago</b><br><input type="checkbox"/> FIX 4.2 ACT: TRF Chicago (Production)<br><input type="checkbox"/> FIX 4.2 ACT: TRF Carteret (DR) | <input type="checkbox"/> CTCI (ORF)<br><input type="checkbox"/> FIX4.4 (ORF) | <input type="checkbox"/> QIX OTCBB |

|  |   |
|--|---|
| How many sessions would you like to request? (Default: 1)  |   |
| Do you want to copy or upgrade an existing account? If yes, please provide the session to copy and the details below can be omitted. |   |
| Has this version of your front-end application been certified?   | <input type="checkbox"/> Yes <input type="checkbox"/> No          |
| What type of connection do you want to order?  | <input type="checkbox"/> Production <input type="checkbox"/> Test |

### Trade Reporting: Drop Copy

FIX 4.2 ACT (TRF)   
  FIX 4.4 SP   
  FIX 4.4 CA   
  FIX 4.4 TS   
  FIX 4.4 ORF   
  FIX 4.4 ADF Trades

Please provide the MPID(s) you would like to drop.

FIX Only: Please provide the Sendercomp(s) you would like to drop.

Please select the messages you wish to receive on the drop session. (Check all that apply)

TREN: Acknowledgements   
  TRAL: Alleges   
  TCLK: Locks  
 TCBK: Breaks   
  TCAN: Cancels   
  TCER: Errors  
 TCST: Sizable Trades   
  TCBT: Blockbuster Traders   
  TCP: Clearing Updates  
 GVUD: Give up Notifications   
  CRSP: Clearing Notifications

For CTCI Drop Copy, please contact Nasdaq Subscriber Services +1 212 231 5180

### Removal Requests

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

QIX OTCBB   
  CTCI CA/SP/TS   
  CTCI ACT (TRF)   
  CTCI (ORF)  
 FIX 4.4 SP   
  FIX 4.4 ADF Quotes   
  FIX 4.2 ACT (TRF)   
  FIX4.4 (ORF)  
 FIX 4.4 CA   
  FIX 4.4 ADF Orders   
  FIX 4.4 ADF Trades   
  FIX 4.4 TS

### Contact Information

|           | Contact | Phone | Email |
|-----------|---------|-------|-------|
| Order     |         |       |       |
| Technical |         |       |       |

### Billing Address

|                |  |                    |  |
|----------------|--|--------------------|--|
| Street         |  |                    |  |
| Suite / Room # |  | City / State / Zip |  |
| Phone          |  | Email              |  |

### Additional Comments or Request Notes

## Order Authorization

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

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