

FINRA Services Port Request Form



Please email the completed form to 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

| | For TRACE trade reporting | For ADF trade reporting, quoting, order responses | For current TRF report using ACT | For ORF reporting using new platform | For OTC Quoting of Bulletin Board |
|-------------------------|--|---|--|---------------------------------------|------------------------------------|
| Please select only one: | <input type="checkbox"/> CTCI CA/SP/TS | <input type="checkbox"/> FIX 4.4 Trades | <input type="checkbox"/> CTCI ACT (TRF) | <input type="checkbox"/> CTCI (ORF) | <input type="checkbox"/> QIX OTCBB |
| | <input type="checkbox"/> FIX 4.4 SP | <input type="checkbox"/> FIX 4.4 Quotes | <input type="checkbox"/> FIX 4.2 ACT (TRF) | <input type="checkbox"/> FIX4.4 (ORF) | |
| | <input type="checkbox"/> FIX 4.4 CA | <input type="checkbox"/> FIX 4.4 Orders | | | |
| | <input type="checkbox"/> FIX 4.4 TS | | | | |

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?

- Yes No

What type of connection do you want to order?

- Production 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)

- Accepts and Declines Breaks Cancels Executions

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

Order Contact _____ Phone: _____ Email: _____

Technical Contact _____ Phone: _____ Email: _____

Billing Address

Street: _____ Phone: _____ Email: _____

Suite / Room #: _____ City / State / Zip: _____

Additional Comments or Request Notes

Order Authorization

Firm Name: _____ MPID/Firm ID: _____

Authorized Contact:(Please Print) _____

Signature: _____ Date: _____

All services and products requested on this form are governed by the terms in the NASDAQ U.S. Services agreement http://www.nasdaqtrader.com/content/AdministrationSupport/AgreementsTrading/nasdaq_access_agreement.pdf and the NASDAQ Transaction Services Policies <http://www.nasdaqtrader.com/Content/AdministrationSupport/AgreementsTrading/NTSPolicies.pdf> 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.