

NASDAQ Options Market (NOM) Port Request Form



Please email the completed form to Subscriber@nasdaq.com or fax to 212.231.5426

Order Type

Add
 Removal - (Please see second page)
 ⁽⁴⁾Sponsored Access – Provide the name of the party that is being sponsored by your firm

Connectivity

Which service provider will you be using?

Co-Lo
 CPC
 Extranet

If you have selected VPN, do you require access to the Primary and Backup datacenter?
 Yes
 No

Options Trading

OTTO
 FIX 4.2
 CTI v1.3
 SQF
 SQF Purge

How many sessions would you like to request? **(Default: 1)** _____

Do you want to copy an existing account? If yes, please provide the session to copy and the details below can be omitted. _____

Do you want to add your mnemonic to an existing port? If yes, please provide the session to add the mnemonic. _____

Has this version of your front-end application been certified?
 Yes
 No

What type of connection do you want to order?
 OTF
 Production

Would you like to request a Chicago Backup/DR port?
 Yes
 No

FIX Only Do you want routing capabilities?
 Yes
 No

If routing is yes, please select the default routing strategy
 SRCH
 SEEK
 DNR (Do Not Route)

FIX Only What mnemonic will be added to this port? _____

What clearing number will the giveup clear? _____

What is the desired max order size? **(Default: 50K)** _____

What is your source IP address? _____

FIX Only Convert Market to IOC
 Yes
 No

OTTO/FIX Only Do you want to have all orders cancelled on disconnect? ⁽¹⁾
 Yes
 No

SQF/CTI Only What is your badge & suffix? _____

SQF Only Enable COD Functionality
 Yes
 No

SQF Only Enable Quotes post only
 Yes
 No

If yes to above post only:
 Re-Price
 Post Only Reject
 Cancel order instead of Reprice

SQF Only Enable notification messages? Please choose message type below.
 Yes
 No

Symbols
 Auctions
 Trading Actions
 Purges
 Quote Executions
 Underlying Permission
 Rapid Fire

CTI Only:

Trades Only
 Extended Cancels

CTI Only: What are your Clearing entitlements? _____

CTI Only: What are your Badge entitlements? _____

CTI Only: What are your FIX Firm entitlements? _____

CTI Only: What are the OCC clearing numbers (Clearing Firms or Self clearing firms) _____

CTI Only: What are your badges? _____

CTI Only: What are your firm mnemonics? _____

CTI Only: What is your source ip address? _____

Options Trading: Drop Copy
 OTTO OTTO FIX format FIX

Please provide the mnemonic(s) or session(s) you would like to drop. _____

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

FIX Only Timestamp (default seconds) Milliseconds

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

OTTO/FIX Only Accepts Breaks Cancels Executions Rejects

SQF via OTTO Only Accepts Cancels Executions
Removal Requests

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

 OTTO FIX CTI SQF

_____	_____
_____	_____
_____	_____
_____	_____

Contact Information

Order Contact _____	Phone: _____	Email: _____
Business Contact _____	Phone: _____	Email: _____
Trader Contact _____	Phone: _____	Email: _____
Technical Contact _____	Phone: _____	Email: _____
Security Admin _____	Phone: _____	Email: _____

Billing Address

Street: _____	Phone: _____	Email: _____
Suite / Room #: _____	Phone: _____	Email: _____
City / State / Zip _____	Phone: _____	Email: _____

Additional Comments or Request Notes

Order Authorization

Firm Name: _____	Firm Mnemonic/Badge Suffix: _____
Authorized Contact:(Please Print) _____	Service Bureau ⁽³⁾ _____
Signature: _____	Date: _____

(1) You understand that NASDAQ provides a best effort attempt to cancel orders upon disconnection if you've elected this service. In the event your connection is disconnected, you understand that you are required to call the NASDAQ Options Market Operations at 215-496-1571 to check the status orders. There is no guaranty that the automatic cancel feature provided by NASDAQ will be error free or operate without interruption. By signing below, you agree and acknowledge that NASDAQ is not liable or responsible in any way for any orders which may fail to be cancelled using the automatic cancel feature.

(2) FIX/OTTO ports are charged per logical port (Source/Mnemonic combination)

(3) All firms accessing via a Service Bureau are required to sign the Service Bureau Agreement (<http://www.nasdaqtrader.com/content/AdministrationSupport/AgreementsTrading/nwiagreement.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.

(4) NASDAQ PHLX LLC Rule 1094 and The NASDAQ Stock Market LLC and NASDAQ BX, Inc. Rules 4615 allow 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. If you have a sponsored access arrangement, you are required to disclose that relationship by sending an email to membership@nasdaq.com. Please indicate the party that is being sponsored by your firm and on which market. This information is utilized for both regulatory and operational information in granting access to these markets.

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.