

Nasdaq Equities Port Request Form

Please email the completed form to Subscriber@Nasdaq.com or fax to +1 212 231 5426

ORDER TYPE /

- Add
 Removal - (Please see second page)
 Modify - Please list ports to modify below
 Sponsored Access - Provide the name of the party that is being sponsored by your firm²

Ports to Modify	
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CONNECTIVITY /

Which service provider will you be using?	<input type="checkbox"/> Co-Lo ⁽¹⁾ <input type="checkbox"/> Extranet <input type="checkbox"/> Direct Connect/POP
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- OUCH 4.2 TCP
 OUCH 4.1 TCP
 Flite
 FIX 4.2
 FIX 4.1
 Nasdaq FIX (SUMO)
 FIX ACES
 RASHPort 1.1
 RASHPort 1.0
 QIX
 CTCI - ACES
 CTCI - MFQS

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"/> Test (1) <input type="checkbox"/> Production <input type="checkbox"/> NTF
Would you like to request a Chicago Backup/DR port?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Enable attribution for registered market makers? ⁽²⁾	<input type="checkbox"/> Yes <input type="checkbox"/> No

- OUCH Only** Post Only
 Do Nothing (default)
 Cancel Order
OUCH Only Price Slide
 Do Nothing (default)
 Cancel Order
 Cancel / Re-enter Order
Self Match Prevention (by MPID)
 Yes
 No
 Decrement both sides
 Cancel Oldest
 Cancel Newest

Minimum Acceptable Quantity (MAQ) (by MPID)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
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FIX / QIX Only Do you want routing capabilities?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
What MPID will be giving up on this port (i.e. NSDQ)?		
Do you want to enable Attribution on the MPID?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
What clearing number will the giveup MPID clear?		
What is the desired max order size? (Default 25,000)		
What is your source IP address?		

Post Only NMS Price Slide Price Slide **(default)** Cancel Order
(FIX/Rash: MPID only; OUCH/Flite: port/MPID)

Post Only Display Price Slide Price Slide **(default)** Cancel Order
(FIX/Rash: MPID only; OUCH/Flite: port/MPID)

OUCH/FIX/RASH Only* Do you want Cancel on Disconnect Enabled? If yes, select one below::	<input type="checkbox"/> Yes	<input type="checkbox"/> No
<input type="checkbox"/> Cancel All <input type="checkbox"/> Keep Cross <input type="checkbox"/> Keep GTC (FIX, RASH only) <input type="checkbox"/> Keep GTC & Cross (FIX, RASH Only)		

QIX Only Do you want a prop quote port?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
QIX Only What version of execution/kill do you want? (Default: 00)	<input type="checkbox"/> 00	<input type="checkbox"/> 0 1
QIX Only What cancel/reject version do you want? (Default: 00)	<input type="checkbox"/> 00	<input type="checkbox"/> 0 1

FIX/Rash Only: "Fat Finger"

Enhanced (PRM)
 Enhanced (PRM) with full functionality - HTA 2007-179
 RMO
 SplitSymbols
 Use Milliseconds
 UsePassportBehavior
 SendPendingAck
 SendCancelAck
 SendReplaceAck
 Suppress Ack
 Reactive Trade Now (FIX, RASH Only)

DefaultETFRoute		DefaultOTCRoute	
DefaultNYSERoute		DefaultAMEXRoute	

EQUITIES TRADING: DROP COPY /

Drop (OUCH Only)
 RASH Drop (RASH Only)
 FIX Drop (OUCH Only)
 FIX Drop (RASH Only)

Please provide the MPID(s) you would like to drop	
FIX Only Please provide the Sendercomp(s) you would like to drop.	
QIX UM Only If you are using QIX, please select the types of messages you wish to drop. (Check one)	<input type="checkbox"/> Quotes <input type="checkbox"/> Executions <input type="checkbox"/> Both
Please select the messages you wish to receive on the drop session. (Check all that apply)	<input type="checkbox"/> Accepts <input type="checkbox"/> Breaks <input type="checkbox"/> Cancels <input type="checkbox"/> Executions <input type="checkbox"/> Rejects (FIX Only)
FIX Only Please select the protocol version applicable	<input type="checkbox"/> FIX 4.0 <input type="checkbox"/> FIX 4.1 <input type="checkbox"/> FIX 4.2

REMOVAL REQUESTS /

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

OUCH
 FIX Port
 RASHPort
 Market Data
 DROP
 QIX
 CTCI

	Reason For Removal	
	Reason For Removal	
	Reason For Removal	
	Reason For Removal	

CONTACT INFORMATION /

	Contact Name	Phone	Email
Order			
Business			
Trader			
Technical			
Security Admin			

BILLING ADDRESS /

Phone		Email	
Street/Room#			
City / State / Zip			

ADDITIONAL COMMENTS OR REQUEST NOTES /

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ORDER AUTHORIZATION /

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

(1) The Test option above is only applicable to order entry equity ports. (2) Attribution is only available to registered market makers.

(2) 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.

* The automatic cancel feature is offered through FIX, RASHPort and OUCH implementation. You understand that Nasdaq provides a best effort attempt to cancel orders upon disconnection. In the event your connection is disconnected, nevertheless, you are required to call the Nasdaq Trade Desk at +1 212 231 5100 to status orders. There is no guarantee 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. ** Please refer to <http://Nasdaqtrader.com/Trader.aspx?id=PriceListTrading2> for the latest price list.

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.

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.

PORT REQUEST FORM APPENDIX /

OUCH – Price Slide: Price sliding occurs on all Nasdaq® markets when an incoming, bookable order would lock or cross a protected quote at another market center. Price sliding allows orders submitted at impermissible prices to be booked in a sensible and convenient way.

Price Slide Fact Sheet: [HTTP://WWW.NASDAQTRADER.COM/CONTENT/PRODUCTSSERVICES/TRADING/PRICESLIDING_FACTSHEET.PDF](http://www.nasdaqtrader.com/content/productsservices/trading/pricesliding_factsheet.pdf)

Self Match Prevention: Configurable on a port level, prevents orders sent with the same MPID from executing against each other. Can configure to cancel the oldest of two potentially matching orders or decrement the shares from

Self Match Prevention Fact Sheet: [HTTP://WWW.NASDAQTRADER.COM/CONTENT/PRODUCTSSERVICES/TRADING/SELFMATCHPREVENTION.PDF](http://www.nasdaqtrader.com/content/productsservices/trading/selfmatchprevention.pdf)

Fat Finger/Pre -Trade Risk Management(PRM): Nasdaq’s risk management offers a variety of parameters to control order flow to mitigate risk and exposure.

PRM Page: [HTTP://WWW.NASDAQTRADER.COM/TRADER.ASPX?ID=PRM](http://www.nasdaqtrader.com/trader.aspx?id=prm)

Routing Capabilities: Routing is available on RASH, QIX and FIX connections, which allows orders to be sent to external market centers to access liquidity outside of Nasdaq’s order book.

Nasdaq Routing Information: [HTTP://WWW.NASDAQTRADER.COM/TRADER.ASPX?ID=ROUTING](http://www.nasdaqtrader.com/trader.aspx?id=routing)

Intermarket Sweep Orders (ISO): ISO orders will sweep the order book of the routing destination, regardless of the advertised NBBO. ISO orders can be sent for Nasdaq order books or to external markets as Directed ISO orders.

Nasdaq Routing Strategies and Order Types Guide: [HTTP://WWW.NASDAQTRADER.COM/CONTENT/PRODUCTSSERVICES/TRADING/WORKSTATION/RASH_STRATEGY.PDF](http://www.nasdaqtrader.com/content/productsservices/trading/workstation/rash_strategy.pdf)

QIX: QIX is designed specifically for management of proprietary Market Maker quotes while allowing for order entry and routing as well.

QIX Information Page: [HTTP://WWW.NASDAQTRADER.COM/TRADER.ASPX?ID=QIX](http://www.nasdaqtrader.com/trader.aspx?id=qix)

Connectivity Options: Nasdaq offers the connectivity options of Co-locating their servers and equipment within the Nasdaq Data Center, Direct Circuit connectivity, or connecting through an Extranet.

CoLo: [HTTP://WWW.NASDAQTRADER.COM/TRADER.ASPX?ID=COLO](http://www.nasdaqtrader.com/trader.aspx?id=colo)

Direct Connect: [HTTP://WWW.NASDAQTRADER.COM/TRADER.ASPX?ID=DIRECTCONNECT](http://www.nasdaqtrader.com/trader.aspx?id=directconnect)

Extranets: [HTTP://WWW.NASDAQTRADER.COM/CONTENT/PRODUCTSSERVICES/TRADING/EXTRANETS.PDF](http://www.nasdaqtrader.com/content/productsservices/trading/extranets.pdf)