MEMBERSHIP CHECKLIST

Ensure you are ready to trade on the NASDAQ Futures platform by referencing the member checklist below. For questions, contact NASDAQ FUTURES MEMBERSHIP at +1 215 496 5322.

MEMBERSHIP

☐ A completed Futures Participant Application
☐ Executed NASDAQ OMX U.S. Services Agreement, if not previously executed in connection with another NASDAQ OMX application
☐ Executed Clearing Letter of Guarantee for each Contract that Applicant intends to submit orders or quotes for on the Exchange (Appendix A)
☐ Authorized Risk Officer Designation Form (Appendix B)
☐ Authorized Trader Designation Form (Appendix C)
☐ The appropriate Authorized Trader Consent Form for each Authorized Trader (Exhibits 1 and 2 of Appendix C)
☐ If applicable, Market Maker Application (Appendix D)
☐ Summary of Applicant’s business plan
☐ A copy of Applicant’s Written Supervisory Procedures with respect to its futures business activities
☐ A copy of Applicant’s Pre Trade Risk Controls
☐ A copy of Applicant’s business continuity plan
☐ A copy of Applicant’s Anti Money Laundering policy
☐ Statement of financial condition as of a date not greater than 45 days from the date of application
☐ Written explanation detailing the events for any matter that caused a “Yes” answer in Section I of the Futures Participant Application
☐ A complete set of applicable formation documents
  ▶ CORPORATIONS (INCLUDE THE FOLLOWING)
  ▶ Articles of Incorporation or Formation
  ▶ By-Laws
  ▶ PARTNERSHIPS (INCLUDE THE FOLLOWING)
  ▶ Partnership Agreement
  ▶ LIMITED LIABILITY COMPANIES (INCLUDE THE FOLLOWING)
  ▶ Operating Agreement
  ▶ Articles of Organization or Certificate of Formation

CONNECTIVITY & MARKET DATA

☐ Complete the FUTURES PORT REQUEST FORM
☐ Complete the NASDAQ OMX GLOBAL DATA AGREEMENT
☐ Complete the DATA FEED REQUEST FORM

ADDITIONAL ACTION ITEMS

☐ Schedule Development and Port Certifications and request VPN by contacting TRADING SERVICES at +1 212 231 5180 (Option 1)
☐ Set up Large Trader File transfer via secure server (SFTP) by contacting SUBSCRIBER SERVICES at +1 212 231 5180 (Option 3)

CONTACTS

WWW.NASDAQOMXTRADER.COM/NASDAQFUTURES

FOR MEMBERSHIP OR TRADING INQUIRIES

NASDAQ OMX MEMBERSHIP | MEMBERSHIP@NASDAQOMX.COM | +1 215 496 5322
NASDAQ OMX MARKET OPERATIONS | FUTURES@NASDAQOMX.COM | +1 800 846 0477 (OPTION 2)
MARKET OVERVIEW AND TECHNICAL SPECIFICATIONS | WWW.NASDAQOMXTRADER.COM/FUTURES