

NASDAQ FUTURES (NQF)

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 <ul style="list-style-type: none"> ▶ CORPORATIONS (INCLUDE THE FOLLOWING) <ul style="list-style-type: none"> + Articles of Incorporation or Formation + By-Laws ▶ PARTNERSHIPS (INCLUDE THE FOLLOWING) <ul style="list-style-type: none"> + Partnership Agreement ▶ LIMITED LIABILITY COMPANIES (INCLUDE THE FOLLOWING) <ul style="list-style-type: none"> + 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.NASDAQTRADER.COM/FUTURES