NQF Port Request Form

Nasdaq

NQF Member Firm: _____

NQF Billing Account Number: _____

Request Type

☐ Add ☐ Removal ☐ Update existing session (Please provide ports in additional comments section)

Connectivity

Which service provider will you be using?

☐ Co-Lo ☐ CPC ☐ Extranet ☐ VPN (Test Facility Only)

NQF Trading: Order Entry [2] / Reporting

☐ FIX 4.2 ☐ CTI ☐ 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 or badge/suffix 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?   ☐ FTF (Test)   ☐ Production

What mnemonic or badge/suffix will be added to this port? _____

What is the OCC clearing number? _____

What clearing number will the firm mnemonic clear? _____

FIX Only What is the desired max order size? **(Default: 10k)** _____

FIX Only What is your source IP address? _____

Do you want to have all quotes/orders cancelled on disconnect? [1]   ☐ Yes   ☐ No

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

Standard Message Options

☐ Administrative Messages   ☐ Purges   ☐ Executions   ☐ Auction Notifications

PreTrade Risk Management Notifications

☐ Warning Messages   ☐ Cutoff Notification

NQF Trading: Drop Copy

Please provide the badge/suffix you would like drop. _____

Please provide the SQF/FIX session 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)

☐ Accepts   ☐ Breaks   ☐ Cancels   ☐ Executions   ☐ Rejects   ☐ Orders/Quotes

NQF Trading: CTI

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

☐ Clearing entitlement   OCC account number: _____

☐ FIX entitlement   Firm mnemonic: _____

☐ Badge entitlement   Badge: _____

Trades only **(Default: No)**   ☐ Yes   ☐ No

Extended Cancels **(Default: No)**   ☐ Yes   ☐ No

OCC CMTA **(Default: No)**   ☐ Yes   ☐ No

Removal Requests

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

☐ FIX   ☐ CTI   ☐ SQF   ☐ DROP

_____   _____
_____   _____
_____   _____
_____   _____
_____   _____

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: _____   Mnemonic: _____

Authorized Contact:(Please Print) _____

Signature: _____   Date: _____

[1] You understand that NASDAQ OMX 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 Futures Market Operations at 215-496-1571 to check the status orders. There is no guaranty that the automatic cancel feature provided by NASDAQ OMX will be error free or operate without interruption. By signing below, you agree and acknowledge that NASDAQ OMX is not liable or responsible in any way for any orders which may fail to be cancelled using the automatic cancel feature.

[2] FIX ports are charged per logical port (Source/mnemonic combination)

All services and products requested on this form are governed by the terms in the NASDAQ OMX U.S. Services agreement NASDAQ OMX U.S. Services agreement and the NASDAQ OMX Transaction Services Policies document. If you do not receive a written confirmation from NASDAQ OMX within 3 business days that your request has been received and processed, please contact NASDAQ OMX Subscriber Services at 212 231 5180 or subscriber@nasdaqomx.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 OMX 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.