

# Certified Partners Program Registration Form

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Please fax completed form to: +1 212 231 5434 | Email the logo and description to: philip.au@nasdaqomx.com

This form provides important information to NASDAQ® about your service bureau. As a NASDAQ Certified Partner, you will have a designation according to the level of NASDAQ access and functionality you provide your clients through your software, per the qualification criteria below. Any designation and benefits of specific levels are checked against the Criteria Checklist for the program.

Firm Name: \_\_\_\_\_ Date: \_\_\_\_\_

### Appropriate contacts for this program

Primary Contact Name: \_\_\_\_\_

Email: \_\_\_\_\_

Title: \_\_\_\_\_ Phone: \_\_\_\_\_

Address: \_\_\_\_\_

Secondary Contact Name: \_\_\_\_\_

Email: \_\_\_\_\_

Title: \_\_\_\_\_ Phone: \_\_\_\_\_

Address: \_\_\_\_\_

### QUALIFICATION CRITERIA – SEE CRITERIA CHECKLIST

Please check the functionality that your software has in the most recent version deployed to at least three clients on at least 50% of the desks as each of those clients. This information may be validated by an audit by NASDAQ.

According to the qualification criteria, our firm’s software should be listed as:

Platinum \_\_\_\_\_ Silver \_\_\_\_\_ Bronze \_\_\_\_\_

List three clients that have the above mentioned software on at least 50% of their desks:

- 1. \_\_\_\_\_
- 2. \_\_\_\_\_
- 3. \_\_\_\_\_



Name of Service Bureau: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_ Date: \_\_\_\_\_

### Firm Information

1. Please provide a logo to be used in the Certified Partners Program (see attached logo art guidelines).
2. Firm Description – 100 word description of your firm’s products and services to be used in NASDAQ sales/marketing publications and communications. (Please email an electronic copy to: philip.au@nasdaqomx.com.)
3. Target Market (separate description from the Firm Description; confidential) – Description of target market, including brief description of business model, to be used by NASDAQ staff to provide appropriate referrals. By designating your specific target markets, NASDAQ can forward suitable recommendations to our clients when requested.
  - a. Institutional \_\_\_\_\_ Retail \_\_\_\_\_ Hedge Fund \_\_\_\_\_  
Day Trader \_\_\_\_\_ Market Maker \_\_\_\_\_ Other \_\_\_\_\_
  - b. Size of target firm (i.e., minimum daily share volume): \_\_\_\_\_
  - c. Any additional target market information \_\_\_\_\_  
\_\_\_\_\_
4. Pricing (optional separate description from the Firm Description and Target Market; confidential) – Any pricing information given is to provide NASDAQ staff a more accurate representation of the type/cost of service.

Check one:

- a. Type: Transactional \_\_\_\_\_ Logon \_\_\_\_\_ Other (describe) \_\_\_\_\_

**Additional information that you would like to provide to NASDAQ which will help us better understand your products/services.**

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## LOGO ART GUIDELINES

Please send us your reproducible logo artwork, color specifications and your corporate logo usage guidelines as well as the enclosed usage authorization.

### General Guidelines for Artwork

1. The logo artwork must be suitable for a white background.
2. All required registered, trademarks and service marks must be part of the logo artwork.
3. Logo art must be submitted in tow digital file types:
  - **JPEG:** RGB, 108 pixels wide x 48 pixels tall, 20 kilobytes or less in file size, for web
  - **EPS:** CMYK or PMS, vector/outlined artwork, for printing

### Submitting and Contacting

If you are unable to email your logo you may send those files on a CD by mail to:

**Philip Au**  
**NASDAQ OMX**  
**One Liberty Plaza**  
**New York, NY 10006**

## CORPORATE LOGO AND URL AUTHORIZATION FORM

Would you like to establish a link from the NASDAQ Trader website? Yes \_\_\_ No \_\_\_

Please provide the following information regarding your logo artwork contact person:

Name: \_\_\_\_\_ Title: \_\_\_\_\_

Phone: \_\_\_\_\_ Fax: \_\_\_\_\_

Email Address: \_\_\_\_\_ Website: \_\_\_\_\_

### Corporate Logo Release for Certified Partners Program

The Nasdaq Stock Market, Inc., and its affiliates (the “Corporations”) request the use of the undersigned company’s corporate logo in NASDAQ’s Certified Partners Program, or its successor program, (collectively, the “Program”). By signing this release, the company authorizes the Corporations to include the company’s corporate logo in association with the Program, including, but not limited to, related advertising, promotion and communication (web sites, video, audio, electronic broadcasts and print promotion).

In order to ensure the accuracy of the information, the company agrees to provide NASDAQ with the company’s current corporate logos, trade names, and trade/service marks and with any subsequent changes. If the company provides NASDAQ with 10 days written notice, NASDAQ shall use its best efforts to remove the company’s logos from any web site associated with the Program.

By signing, the company indicates that the use granted is indemnified and held harmless from any third party rights and/or claims, without waiver of any legal privileges.

Other than the rights granted herein or otherwise by law, the Corporations acknowledge that they have no other rights in the company’s corporate logos, trade names and trade/service marks.

Company: \_\_\_\_\_

By: \_\_\_\_\_

*(Authorized Signature)*

Printed Name: \_\_\_\_\_

Title: \_\_\_\_\_ Date: \_\_\_\_\_