

# NASDAQ OMX SHORT SALE MONITOR

The NASDAQ OMX® Short Sale Monitor is a new tool that displays real-time alerts for stocks added to the circuit breaker list and exception reports for trades affected by the SEC Alternative Uptick Rule.

**NASDAQ OMX | Short Sale Monitor** MPID:

Welcome! [Alert Settings](#) [Feedback](#) [User Guide](#)

**Short Sale List** Range: 01/27/2011 01/27/2011

Symbol	Listing Market	Date	Time
AAAA	Nasdaq	01/27/2011	08:00:00
BBB	NYSE	01/27/2011	08:00:00
CCC	NYSE	01/27/2011	08:00:00

Side:  TRS:  Type:  Range: 01/27/2011 01/27/2011

TRF	NDAQ	PSX	BX								
Symbol	Type	Price	Qty	TRS	Mod	Buyer	Seller	I1I2	Control #	Time	Query
DDDD	Not On List	3.79	101	Tape (T)	@			1028	0123456789	01/27/2011 11:44:28	<input type="button" value="TSAL"/>
E	Not On List	58.81	111	Tape (T)	@			1028	0123456789	01/27/2011 11:13:52	<input type="button" value="TSAL"/>
E	Not On List	58.81	111	???trs.??? (N)	@			1028	0123456789	01/27/2011 11:13:52	<input type="button" value="TSAL"/>
E	Not On List	58.99	111	Tape (T)	@Z			1028	0123456789	01/27/2011 11:13:52	<input type="button" value="TSAL"/>
E	Not On List	58.81	110	Tape (T)	@			1028	0123456789	01/27/2011 11:10:52	<input type="button" value="TSAL"/>

## OVERVIEW

The new tool gives firms exception reports for trades reported to the FINRA/NASDAQ Trade Reporting Facility™ (TRF™) in securities on the Short Sale Circuit Breaker list for the following trade circumstances:

- > Sold short, not marked exempt
- > Sold short, marked exempt
- > Sold short, marked exempt and not on the list
- > Sold short on an uptick

The Short Sale Monitor will also include reports for securities marked exempt but not included in the Short Sale Circuit Breaker list.

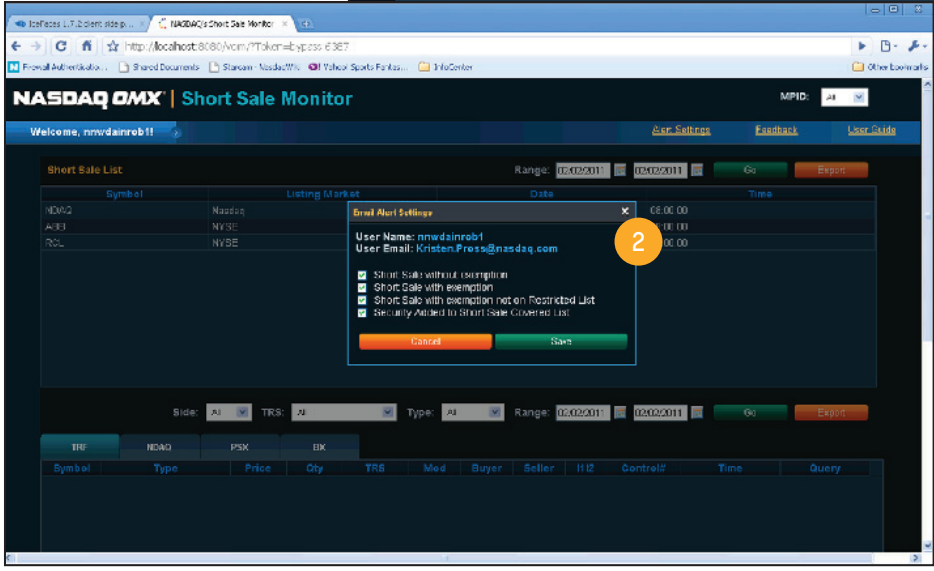
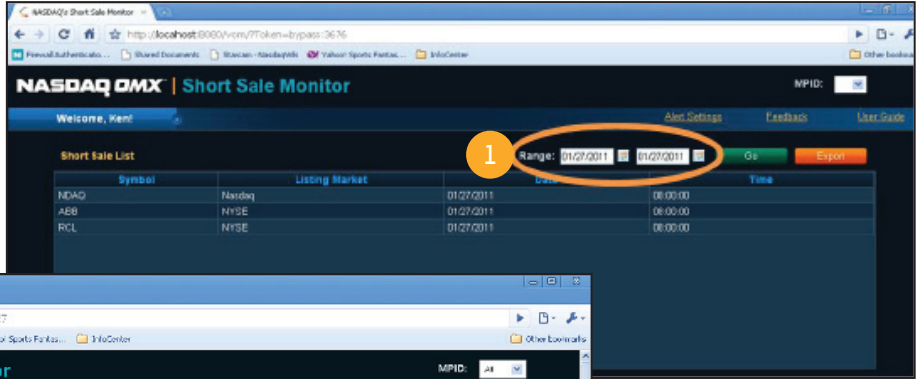
## BENEFITS AND FEATURES

- > Ability to set up customized email alerts for:
  - Stocks being added to or removed from the list
  - Short sales with exemptions
  - Short sales without exemptions
  - Trades marked short sale exempt, but not on the list
- > Ability to scan to see full trade detail via ACT
- > Three seconds of Time and Sales data for each trade so you can see where the market was at the time of the execution
- > 30-day stock and trade alert history
- > Add-on data packages for orders marked short sale exempt sent to NASDAQ OMX exchanges:
  - The NASDAQ Stock Market® (NASDAQ®)
  - NASDAQ OMX BX<sup>SM</sup> (BX<sup>SM</sup>)
  - NASDAQ OMX PSX<sup>SM</sup> (PSX<sup>SM</sup>)

1

### 30-DAY HISTORY

Review and export up to 30 days of historical trade alerts and Short Sale Circuit Breaker lists.



2

### CUSTOM E-MAIL ALERTS

Set up profiles to receive e-mail alerts when new stocks are added to the Short Sale Circuit Breaker list for specific markets or any affected trades.

## CONNECTIVITY

To access the Short Sale Monitor, you must subscribe to a [NASDAQ Workstation](#) or [Weblink ACT 2.0](#). Subscription is on a per MPID basis. Once an MPID is subscribed, all Workstations and Weblink ACT terminals associated with that MPID will automatically receive access to the Short Sale Monitor.

To subscribe to the Short Sale Monitor, complete the [Front End Request Form](#) on the NASDAQ OMX Trader® website.

## PRICING

The Short Sale Monitor is available for **FREE** trial through March 31, 2011. After the free trial, the monitor will be **\$750 per MPID, per month**. Pricing for additional market add-ons will be as follows:

PACKAGE	PRICE PER MPID, PER MONTH
NASDAQ Add-On	\$150
BX Add-On	\$50
PSX Add-On	\$50

### More Information

For more information, contact [Patric Bonanno](#) at +1 212 231 5162.