

# NASDAQ PRM Port Request Form



Please email the completed form to [Subscriber@nasdaqomx.com](mailto:Subscriber@nasdaqomx.com) or fax to 212.231.5426

Please choose one exchange and use one module per form

- Nasdaq
  Nasdaq BX
  Nasdaq PSX
  Viewer \*

\* If you need to order a new Nasdaq Workstation or Weblink ACT 2.0 connection, please also complete our **Front End Access Form** at [http://nasdaqtrader.com/content/AdministrationSupport/AgreementsTrading/frontend\\_form.pdf](http://nasdaqtrader.com/content/AdministrationSupport/AgreementsTrading/frontend_form.pdf) or call NASDAQ Subscriber Services at 212.231.5180.

## Order Type

- Add
  Existing Port Enhancement
  Removal - (Please see second page)

## Connectivity

Which service provider will you be using?

- Co-Lo
  CPC
  VPN
  Extranet

If you have selected VPN, do you require access to the Primary and Backup datacenter?  Yes  No

## Order Settings

### Fat Finger Controls

Allow you to compare price instructions on incoming orders against the current displayed size and price in the market. If the order is not in line with the displayed price and size, the order will be rejected before it can execute. Firms can set order limits at several levels to ensure that fat fingered orders never execute.

Please set a percent away from the displayed price that you will permit the trade to execute.

Price Level Configuration	Pre-market	Market Hours	Post-market
\$0.00 - \$1.75	_____ %	_____ %	_____ %
\$1.76 - \$25.00	_____ %	_____ %	_____ %
\$25.01 - \$50.00	_____ %	_____ %	_____ %
> \$50.00	_____ %	_____ %	_____ %

- Exclude Market Orders

## Order Checks

Provide users the ability to check orders against an array of manageable limits. Users can decide whether to allow trading in the pre- and post- market sessions; specify which order types, if any, are prohibited and manage symbol lists — including restricted stock lists — by allowing or disallowing orders on a per-security basis.

Please check the appropriate box(es). For configurations at the security level, please include a separate attachment and send to [subscriber@nasdaqomx.com](mailto:subscriber@nasdaqomx.com) or fax to 212.231.5426

- Module:**
 Order Checks
  Aggregate Total Checks
  Viewer \*

If you are enhancing an existing port, please provide the port(s) you wish to modify with the attributes elected below. Please include a separate attachment if there are additional ports to configure or use comments section on second page.

Order Types	Allow	Restrict
ISO:	<input type="checkbox"/>	<input type="checkbox"/>
On Open:	<input type="checkbox"/>	<input type="checkbox"/>
On Close:	<input type="checkbox"/>	<input type="checkbox"/>
Short Sale:	<input type="checkbox"/>	<input type="checkbox"/>
ESCN (time) orders:	<input type="checkbox"/>	<input type="checkbox"/>
Pre-Market:	<input type="checkbox"/>	<input type="checkbox"/>
Post-Market:	<input type="checkbox"/>	<input type="checkbox"/>
GTC:	<input type="checkbox"/>	<input type="checkbox"/>
Program Trading:	<input type="checkbox"/>	<input type="checkbox"/>
Short Sale Exempt:	<input type="checkbox"/>	<input type="checkbox"/>

- Reject orders where there is no two-sided quote available.

Send **Easy-to-Borrow** and **Restricted Stock** lists to [subscriber@nasdaqomx.com](mailto:subscriber@nasdaqomx.com) or fax to 212.231.5426.

**Order Only Configurations**

Provide users the ability to check orders against an array of manageable limits. Users can decide whether to allow trading in the pre- and post- market sessions; specify which order types, if any, are prohibited and manage symbol lists — including restricted stock lists — by allowing or disallowing orders on a per-security basis.

Order Only Configuration	Amount
Maximum Shares	\$ _____
Maximum Dollar Value	\$ _____

**Aggregate Check Configurations**

Allow users to set limits for daily shares and/or total value; buy, sell or on a net basis; executed trades, open orders or both to summarize total risk. Settings available globally and on a per-security basis for each module.

For configurations at the security level, please submit a separate attachment to [subscriber@nasdaqomx.com](mailto:subscriber@nasdaqomx.com) or fax to 212.231.5426

Module:  Order Checks  Aggregate Total Checks  Viewer \*

If you are enhancing an existing port, please provide the port(s) you wish to modify with the attributes elected below. Please include a separate attachment if there are additional ports to configure.

Global Aggregate Configuration	Type	Buy	Sell	Net	Total
Executed	Shares	_____	_____	_____	_____
	Value	_____	_____	_____	_____
Open Orders	Shares	_____	_____	_____	_____
	Value	_____	_____	_____	_____
Total Risk	Shares	_____	_____	_____	_____
	Value	_____	_____	_____	_____

**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: _____	MPID/Firm ID: _____
Authorized Contact:(Please Print) _____	
Signature: _____	Date: _____

To enable PRM on a connectivity port, this form must be submitted by the firm who owns the port. Please note the owner of the port will be invoiced the monthly port fee.

- [NASDAQ](#)
- [NASDAQ OMX BX](#)
- [NASDAQ OMX PSX](#)

Changes to the PRM configurations for an MPID will only be accepted from the firm who owns the MPID. Subscriptions for the "PRM Viewer" must be submitted by the firm who owns the MPID.

**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.**