



2016 – REG SCI BCP/DR INDUSTRY TEST: NASDAQ EQUITIES QUESTIONNAIRE

Participant:

Participant Contacts:

Market Place this questionnaire represents (pick only one): Nasdaq, BX, PSX

Q-01: Was your firm able to successfully test connectivity (y/n)? _____

Add any additional comments or requests for follow-ups:

Q-02: Was your firm able to successfully submit orders and/or quotes as part of the BCP/DR test (y/n)? _____

Add any additional comments or requests for follow-ups:

Q-03: Was your firm able to successfully receive market data (y/n)? _____

Add any additional comments or requests for follow-ups:

Q-04: If applicable, was your firm able to successfully participate in the Opening Cross (y/n)? _____

Add any additional comments or requests for follow-ups:

Q-05: If applicable, was your firm able to successfully participate in either of the IPO's (y/n)? _____

Add any additional comments or requests for follow-ups:

Q-06: If applicable, was your firm able to successfully participate in the Closing Cross (y/n)? _____

Add any additional comments or requests for follow-ups:

Q-07: If applicable, was your firm able to successfully submit orders and/or quotes in the pre-market and/or post-market (y/n)? _____

Add any additional comments or requests for follow-ups:

With regards to the test overall, any additional comments or requests for follow-ups: