

**Distributor Inventory Reporting**  
**The NASDAQ Stock Market**  
**Version 1.0 November 15, 2005**  
**Microsoft Excel Columnar Format**

External Distributors are required to provide DETAILED usage reports on a monthly basis. NASDAQ now offers distributors the option to submit total inventory reporting in a Microsoft EXCEL format as an alternative to VARS and VRXML electronic reporting:

**NASDAQ Detailed Usage Reports- Excel Format**

- **Product Coder** - All EXCEL files should contain all reportable products for the Distributor.
- **File Dates** - All files are processed using Eastern Standard Time (ET) submission dates and times.
- **Monthly Reporting** - Distributors are to provide EXCEL reports on a monthly basis. If, for a given month, a Distributor does not submit an EXCEL report, then NASDAQ requests the Distributor submit the missed report prior to reporting the next report.
- **Reporting Period** - A reporting period is defined as the one month. For example, the reporting period for one Distributor for October may be October 1, 2009 to October 31, 2009. The reporting period for another Distributor for that same month of October 2009 may be September 20, 2009 to October 19, 2009.
- **Total Inventory** - The Distributor should take a "snapshot" of their database as of a consistent date during each month and use this data as their usage report for that month. For example, if a single device is in use during the November reporting period – then it should be reported with a quantity of 1 for November. There is one exception to this rule. If a product becomes active in the same reporting period that it becomes inactive it must be reported for that month. If a product is activated on November 1, 2009 and then deactivated on November 5, 2009 – then it is to be reported with a quantity of 1 for November, and then in next month's file (December) reported with a quantity of 0 (and made inactive if appropriate).
- Files must be submitted in Microsoft Excel 5.0 or greater, not to exceed Microsoft Excel version 2003.

**Excel Format**

Using your existing subscriber database, export the required information into an Excel spreadsheet following the format instructions below.

1. Open a new blank Excel spreadsheet.
2. Enter distributor information in the following positions:
  - Distributor name in cell **A1**
  - Distributor address in cell **A2**
  - Distributor city, state, and zip code in cell **A3**
  - Distributor VID: (VENDORID as assigned by NASDAQ) in cell **A4**
  - Distributor Contact: (name) in cell **A5**
  - Distributor Email: (contact email address) in cell **A6**
  - Distributor Telephone: (contact telephone number) in cell **A7**
3. Create 12 columns with the following names, in fixed order; or when you export the data rename the columns to match the order and names listed on the following page.

## **Column names and formats**

**SUBNAME** (subscriber name)

**ADD1** (subscriber address, line 1)

**ADD2** (subscriber address, line 2)

**ADD3** (subscriber address, line 3) ok to omit if not used

**CITY** (subscriber city)

**STATE** (subscriber state, 2 letter abbreviation-i.e., MD, NY, PA or Canadian provinces)

**ZIP/POS** (subscriber 5-digit zip code \*no zip plus 4\* or postal code)

**COUNTRY** (subscriber's country)

**VAN** (subscriber account number as assigned by distributor)

**PROCEDURE/SERVICE LEVEL** (product code assigned by distributor or NASDAQ product codes. (Distributor must send a description of their assigned product codes prior to first transmission or when new product codes are added). **Service Level** used by Datafeed and Extranet Providers.

**SUBEFFDATE** (subscriber effective date in mmddyyyy format. For example, November 15<sup>th</sup>, 2005 would be 11152005. Please ensure that you do not format this column as a date column- all columns should remain formatted as text. Hyphens or slashed are not permitted).

**QUANTITY/CPE** (inventory entry numeric value)

**ROUTER/CIRCUIT** (router address or circuit name - extranets hand off to customers)

**PERMIT NUMBER (optional – permit number assigned by NASDAQ OMX when datafeed is approved)**

**CUSTOMER CONTACT** (optional)

**CUSTOMER TELEPHONE** (optional)

**CUSTOMER EMAIL**(optional)

For XML/HTML Customers Only:

**WEBSITE ADDRESS (www.nasdaq.com)**

**DELIVERY APPLICATION OR METHOD (i.e. HTML or XML)**

**Please ensure that your final spreadsheet meets these requirements:**

- Verify that your column names match exactly to the names listed above.
- No hyphens, slashes, or other special characters are permitted in the CITY, STATE, ZIP, Country, VAN, SUBEFFDATE fields.
- All data must be **contained on one sheet**, multiple sheets are not supported.
- Capitalization is not required or necessary.
- 9 digit zip codes are not supported.
- **No special formatting, hidden columns or rows, or additional "tabbed" worksheets may exist.**
- ***Leading zeros on all numeric fields can be cut off, unless you make sure the column is formatted as a text column during import. PLEASE ENSURE THAT ALL NUMERIC FIELDS ALLOW LEADING ZEROS. Zip Codes, Effective Dates can contain leading zeros.***

Please see the image below for an example of how your spreadsheet should look:

Market Data																	
9600 Blackwell Rd																	
Rockville, MD 20850																	
VID: MDDD																	
Contact: Jane Doe																	
Email: jane.doe@nasdaqomx.com																	
Telephone: 301-978-5300																	
SUBNAME	ADD1	ADD2	ADD3	CITY	STATE	ZIP/POS	COUNTRY	VAN	PRDCODE/SER VICE LEVEL	SUBFEEDATE	QUANTITY/CPE CUT	ROUTER/CIR PERMIT NUMBER	CUSTOMER CONTACT	CUSTOMER TELEPHONE	CUSTOMER EMAIL	WEBSITE ADDRESS	DELIVERY
Acme Financials	1111 Finance Lane	5th Floor		Rockville	MD	20850	USA	MDDD456	UQDF	11152009	1	192.168.1.1					
Acme Financials	1111 Finance Lane	5th Floor		Rockville	MD	20850	USA	MDDD456	UTDF	11152009	1	192.168.1.1					
Curry Investments	201 Field Street			Boston	MA	2025	USA	MDDD1867	Level 2	11152009	1		MDDD-OT-7635	Colin Josephson	111-222-6315	cj@curry.com	www.curry.com XML
Finance Ltd	615 Broadview Lane			Chicago	IL	60153	USA	MDDD0312239	NQCS	11152009	56						
Dir Brokers	2345 Foster Street			New York	NY	12121	USA	MDDD0316835	NPTV	11152009	734						
BetYourMarket	56 Market Lane			Chicago	IL	60631	USA	MDDD0324676	NQCS	11152009	154						

## EXCEL RULES

The rules for the EXCEL file as a whole are applied to ensure the following:

- The file is submitted using the stringent rules that are expressed in the EXCEL Schema.
- The file contains reportable data using the elements provided in the EXCEL Schema.
- The file contains the "Total Inventory" concept of reporting. [Refer to the Total Inventory section in this document for further details.]
- The file must abide by the EXCEL Schema.

## BUSINESS RULES:

- The rules for the VENDORID are applied to ensure that the VENDORID contains the valid vendorId of the Vendor who is submitting the file.
- The VENDORID must be the valid VENDORID of the Distributor that is submitting the report. NASDAQ assigns each vendor a 4-character VENDORID.
- There is always one and only one 'Primary Reporting' contact per Distributor.
- Any new contacts must be accompanied by an address, telephone and email for that contact.
- Adding new contacts with 'Primary Reporting' responsibility or changing an existing contact to have 'Primary Reporting' responsibility will automatically change the existing 'Primary Reporting' contact to a 'Reporting' contact.

Distributors should follow the below file naming convention to ensure that all EXCEL files are processed and posted correctly:

**DISTRIBUTORNAME\_VENDORID\_YYYYMM\_S.xls**

**Example (VRXLS\_MDDD\_200911\_1.xls)**

**NAME:** Distributor Name without underscores. Cannot be empty)

**VENDORID:** four character id assigned by NASDAQ

**YYYYMM:** four character year followed by two character month

**S:** Sequence number for that month. First report sent is '1'. If a revised/updated report is sent for the same service month, then that would be marked '2'.

When the file is saved, you may either transmit it to our center by using, Internet Secure File Transfer, Electronic File Transfer, or by emailing us at [sheila.harley-bates@nasdaqomx.com](mailto:sheila.harley-bates@nasdaqomx.com). Call our office at 301-978-5307 or 301-978-5255. Visit our web-site ([www.nasdaqtrader.com/trader/mds/mdsoverview/mdsoverview.stmwww.nasdaqtrader.com](http://www.nasdaqtrader.com/trader/mds/mdsoverview/mdsoverview.stmwww.nasdaqtrader.com)) for details on our reporting options.

**NASDAQ OMX GLOBAL DATA PRODUCTS**  
**(301) 978-5307**  
**datadmin@nasdaqomx.com**