



NASDAQ OMX Transactions Services Policies

Introduction

This document provides additional information regarding the NASDAQ OMX Requirements, as defined and referenced in the [NASDAQ OMX U.S. Services Agreement](#).

Any updates to these requirements and policies will be communicated to NASDAQ OMX subscribers via [Equity and Options Trader Alerts](#) emailed and posted on NASDAQOMXtrader.com. For questions about these requirements and policies please contact NASDAQ OMX Subscriber Services at subscriber@nasdaqomx.com or 212-231-5180, option 3.

1. Service Adds, Cancels or Changes

Subscribers (as defined in the [NASDAQ OMX U.S. Services Agreement](#)) must use the relevant request form when providing written notification to NASDAQ OMX for:

- requesting new services
- cancelling existing services, or
- changing existing services

These order forms are provided on NASDAQOMXtrader.com at the following urls:

NASDAQ U.S. Equities	Ports <ul style="list-style-type: none">• NASDAQ Equities• NASDAQ OMX BX• NASDAQ OMX PSX Front-End Access NASDAQ Pre-Risk Management MPID <ul style="list-style-type: none">• Additional MPID Request• MPID Change Request NASDAQOMXtrader.com <ul style="list-style-type: none">• Broker/Dealer Data• Other Services
NASDAQ OMX Options	NASDAQ Options Port Form Front-End Access

These forms must be completed and submitted to NASDAQ OMX via email or fax by an authorized employee or agent of the Subscriber.

Forms must be submitted to:

NASDAQ OMX

Subscriber Services

Email Address: subscriber@nasdaqomx.com

FAX number: +1 212 231 5426

Subscribers will receive written confirmation from NASDAQ OMX their request (add, change or cancel) has been received and accepted by NASDAQ OMX. If a subscriber does not receive a written confirmation within 3 business days, please contact NASDAQ OMX Subscriber Services.

2. MPID Activity Disclosure Service Information

NASDAQ OMX's policy is that only designated representatives employed by the firm that have been assigned an MPID can be given information related to activity or servicing of that MPID. Notwithstanding the foregoing, NASDAQ OMX may also be required by law to disclose this information to government agenc(ies) with regulatory jurisdiction over NASDAQ OMX.

3. Invoices

NASDAQ OMX invoices Subscribers on a monthly basis. Subscriber must submit billing disputes to NASDAQ OMX within 90 days from the invoice date. Subscriber should provide written notification to NASDAQ OMX Subscriber Services at subscriber@nasdaqomx.com or FAX at +1 212 231 5426 and specify which services/fees they are requesting NASDAQ OMX to review and provide any NASDAQ-provided written confirmation cancellation or changes to service(s) were received and accepted.