Nasdaq

FINRA MPP Services Port

Please email the completed form to subscriber@nasdaq.com or fax to +1 212 231 5426

Order Type

☐ Add   ☐ Removal   ☐ Modify

Trade Reporting

Disaster Recovery (DR) Ports are automatically included with production ports except when indicated. Please see additional information on NTF services on page 4 of this form.

Native TRACE Reporting FIX 4.4 SP (Securitized Products)	Native TRACE Reporting FIX 4.4 CA (Corporate & Agencies)	Native TRACE Reporting FIX 4.4 TS (Treasuries)
Production/QTY ☐ NTF/QTY ☐	Production/QTY ☐ NTF/QTY ☐	Production/QTY ☐ NTF/QTY ☐

Native ORF Reporting FIX 4.4 (OTC Equities)	Native ADF Reporting FIX 4.4 (Alternative Display Facility)
Production/QTY ☐ NTF/QTY ☐	Trades: Production/QTY ☐ NTF/QTY ☐ Quotes: Production/QTY ☐ NTF/QTY ☐

TRF Reporting

Native FINRA/Nasdaq TRF Carteret FIX 4.2	Native FINRA/Nasdaq TRF Chicago FIX 4.2
Production/QTY ☐ NTF/QTY ☐ DR/QTY ☐	Production/QTY ☐ NTF/QTY ☐ DR/QTY ☐

FINRA/Exchange TRF trade reporting

This section is to be used only by registered national securities exchanges that have executed the FINRA TRF Exchange Participant Legal Agreements.
FIX 4.4   Production/QTY ☐   NTF/QTY ☐

Do you want to copy an existing account? If yes, please provide the session to copy and the details below can be omitted.	
Has this version of your front-end application been certified?	☐ Yes ☐ No

Trade Reporting: Drop Copy

☐ FIX 4.4 SP	☐ FIX 4.4 CA	☐ FIX 4.4 TS	☐ FIX 4.4 ORF	☐ FIX 4.4 ADF Trades
☐ FIX 4.2 ACT (Native TRF Carteret)	☐ FIX 4.2 ACT (Native TRF Chicago)			
Please provide the MPID(s) you would like to drop.				
Please provide the SenderComp(s) you would like to drop.				
Please provide Port Outbound Timestamp Configuration.	☐ Millisecond ☐ Micro / Nanosecond			

TRACE/ ORF/ ADF Drop Copy Settings
Please select the messages you wish to receive on the drop session. (Check all that apply)

- [ ] Trade Acknowledgement
- [ ] Confirmed Cancel
- [ ] Allege
- [ ] Confirmed Reversal
- [ ] Confirmed Correction
- [ ] Trade Match
- [ ] Confirmed Accept
- [ ] Confirmed Decline

TRF Drop Copy Settings
Please select the messages you wish to receive on the drop session. (Check all that apply)

- [ ] TRF Acknowledgement
- [ ] TRF Alleges
- [ ] TRF Locks
- [ ] TRF Breaks
- [ ] TRF Cancels
- [ ] Decline Drop Copy
- [ ] TRF Per Trade Breach
- [ ] TRF Aggregate Limit Breach
- [ ] TRF Clearing Relationship Updates
- [ ] TRF Give Up Notifications
- [ ] TRF Clearing Notifications

Removal Requests

Please provide the product and logon(s) for disconnect below: (Please select only one).

- [ ] FIX 4.4 TS
- [ ] FIX 4.4 ORF
- [ ] TRF Carteret FIX 4.2
- [ ] FIX 4.4 SP
- [ ] FIX 4.4 ADF
- [ ] TRF Chicago FIX 4.2
- [ ] FIX 4.4 CA
- [ ] FIX 4.4 TRF

Special Instructions

Contact Information

	Contact	Phone	Email
Order			
Technical			

Billing Address

Street			
Suite / Room #		City / State / Zip	
Phone		Email	

Order Authorization

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

Customers are responsible for fees for all services and products requested on this form, as set forth in Nasdaq rules (see Equity Rule 7 Pricing Schedule, Sections 115 and 130). NTF metered testing fee waivers are available to customers pursuant to Nasdaq rules (see Equity Rule 7 Pricing Schedule, Section 130(d)(3) for eligibility). Customers seeking a waiver must register their waiver request with ntfbilling@nasdaq.com prior to the commencement of testing. Customers must provide MPID, functionality being tested, and the desired start date.

NTF metered testing fee waivers are available to customers pursuant to Nasdaq rules (see Equity Rule 7 Pricing Schedule, Section 130(d)(3) for eligibility). Customers seeking a waiver must register their waiver request with ntfbilling@nasdaq.com prior to the commencement of testing. Customers must provide MPID, functionality being tested, and the desired start date. Customers are responsible for fees for all services and products requested on this form, as set forth in Nasdaq rules (see Equity Rule 7 Pricing Schedule, Sections 115 and 130). NTF metered testing fee waivers are available to customers pursuant to Nasdaq rules (see Equity Rule 7 Pricing Schedule, Section 130(d)(3) for eligibility). Customers seeking a waiver must register their waiver request with ntfbilling@nasdaq.com prior to the commencement of testing. Customers must provide MPID, functionality being tested, and the desired start date.

All services and products requested on this form are governed by the terms in the Nasdaq U.S. Services agreement https://www.nasdaqtrader.com/content/marketregulation/membership/NasdaqServicesAgreement.pdf and the Nasdaq Transaction Services Policies https://www.nasdaqtrader.com/Content/AdministrationSupport/AgreementsTrading/NTSPolicies.pdf document. If you do not receive a written confirmation from Nasdaq within 3 business days that your request has been received and processed, please contact Nasdaq Subscriber Services at 212 231 5180 or subscriber@nasdaq.com.