

Nasdaq BX Port

Request Form

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

ORDER TYPE /

- Add
 Removal - (Please see second page)
 Modify - Please list ports to modify below
 Sponsored Access - Provide the name of the party that is being sponsored by your firm⁴

Ports to Modify	
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CONNECTIVITY /

Which service provider will you be using?	<input type="checkbox"/> Co-Lo <input type="checkbox"/> Extranet <input type="checkbox"/> Direct Connect/POP
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EQUITIES TRADING: ORDER ENTRY⁽²⁾ /

- OUCH 4.2 TCP
 OUCH 4.1 TCP
 Flite
 FIX 4.2
 FIX 4.1
 RASHPort 1.1
 RASHPort 1.0

How many sessions would you like to request? (Default: 1)	
Do you want to copy an existing account? If yes, please provide the session to copy and the details below can be omitted	
Do you want add your MPID to an existing port? If yes, please provide the session to add the MPID	
Has this version of your front-end application been certified?	<input type="checkbox"/> Yes <input type="checkbox"/> No
What type of connection do you want to order?	<input type="checkbox"/> Test <input type="checkbox"/> Production <input type="checkbox"/> BXTF
Would you like to request a Chicago/DR port?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Do you want to reject ISO orders?	<input type="checkbox"/> Yes <input type="checkbox"/> No

OUCH Only Post Only Do Nothing (default) Cancel Order
OUCH Only Price Slide Do Nothing (default) Cancel Order Cancel / Re-Enter Order

Self Match Prevention (by MPID)

Yes No Cancel oldest Cancel newest Decrement both sides

FIX / RASH Only Do you want routing capabilities?	<input type="checkbox"/> Yes <input type="checkbox"/> No
What MPID will be giving up on this port (i.e. NSDQ)?	
What is the desired max order size? (Default: 25,000)	
What is your source IP address?	
Do you want to enable Attribution on the MPID	<input type="checkbox"/> Yes <input type="checkbox"/> No

OUCH/FIX/Rash Only Do you want Cancel on disconnect Enabled? If yes select one below:	<input type="checkbox"/> Yes <input type="checkbox"/> No
<input type="checkbox"/> Cancel All <input type="checkbox"/> Keep Cross <input type="checkbox"/> Keep GTC (FIX, RASH only) <input type="checkbox"/> Keep GTC & Cross (FIX, RASH Only)	

Other Settings

Post Only RMO Use PassportBehavior Splitsymbols SendingPendingAck
 SendCancelAck Use Milliseconds SendReplaceAck SupressAck
 Reactive Trade Now (FIX, RASH Only)

DefaultETFRoute		DefaultOTCRoute	
DefaultNYSERoute		DefaultAMEXRoute	

EQUITIES TRADING: DROP COPY /

Core FIX RASH

Please provide the MPID(s) you would like to drop.	
Please provide the Sendercomp(s) you would like to drop.	
Please select the messages you wish to receive on the drop session. (Check all that apply)	<input type="checkbox"/> Accepts <input type="checkbox"/> Breaks <input type="checkbox"/> Cancels <input type="checkbox"/> Executions <input type="checkbox"/> Rejects

REMOVAL REQUESTS /

Please provide the product and logon(s) for disconnect below:

OUCH FIX RASH

	Reason For Removal	
	Reason For Removal	
	Reason For Removal	
	Reason For Removal	

CONTACT INFORMATION /

	Contact Name	Phone	Email
Order			
Business			
Trader			
Technical			
Security Admin			

BILLING ADDRESS /

Phone		Email	
Street/Room #			
City / State / Zip			

ADDITIONAL COMMENTS OR REQUEST NOTES /

ORDER AUTHORIZATION /

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

- (1) The automatic cancel feature is offered through FIX, RASHport and OUCH implementation. You understand that Nasdaq provides a best effort attempt to cancel orders upon disconnection. In the event your connection is disconnected, nevertheless, you are required to call the Nasdaq Trade Desk at +1 212 231 5100 to status orders. There is no guarantee that the automatic cancel feature provided by Nasdaq will be error free or operate without interruption. By signing below, you agree and acknowledge that Nasdaq is not liable or responsible in any way for any orders, which may fail to be cancelled using the automatic cancel feature.
- (2) FIX/OUCH/RASHports are charged per logical port (Source/MPID combination)
- (3) Please refer to <http://Nasdaqtrader.com/Trader.aspx?id=PriceListTrading2> for the latest price list.
- (4) NASDAQ PHLX LLC Rule 1094 and The NASDAQ Stock Market LLC and NASDAQ BX, Inc. Rules 4615 allow market participants to enter into sponsored access relationships. Sponsored Access is defined in these rules as an arrangement whereby a member, member organization or Participant permits its customers to enter orders into the exchange's trading system that bypass the member's, member organization's or Participant's trading system and are routed directly to the exchange, including routing through a service bureau or other third party technology provider. If you have a sponsored access arrangement, you are required to disclose that relationship by sending an email to membership@nasdaq.com. Please indicate the party that is being sponsored by your firm and on which market. This information is utilized for both regulatory and operational information in granting access to these markets.

All services and products requested on this form are governed by the terms in the Nasdaq U.S. Services agreement http://www.Nasdaqtrader.com/content/AdministrationSupport/AgreementsTrading/Nasdaq_access_agreement.pdf and the Nasdaq Transaction Services Policies <http://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@Nasdaqomx.com.

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 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.