

FINRA Services Port

Request Form

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

Order Type

Add Removal

Quoting & Trade Reporting

Disaster Recovery (DR) Ports are automatically included with production ports except when indicated. Please see additional information on NTF services on page 3 of this form.

TRACE trade reporting	ADF trade reporting, quoting, order responses	TRF Reporting	ORF reporting using new platform	OTC Quoting of Bulletin Board
FIX 4.4 SP Production/QTY <input type="checkbox"/> NTF/QTY <input type="checkbox"/>	FIX 4.4 Trades Production/QTY <input type="checkbox"/> NTF/QTY <input type="checkbox"/>	FINRA/ Nasdaq TRF Carteret FIX 4.2 Production/QTY <input type="checkbox"/> NTF/QTY <input type="checkbox"/> DR/QTY <input type="checkbox"/>	FIX4.4 (ORF) Production/QTY <input type="checkbox"/> NTF/QTY <input type="checkbox"/>	QIX OTCBB Production/QTY <input type="checkbox"/> NTF/QTY <input type="checkbox"/>
FIX 4.4 CA Production/QTY <input type="checkbox"/> NTF/QTY <input type="checkbox"/>	FIX 4.4 Quotes Production/QTY <input type="checkbox"/> NTF/QTY <input type="checkbox"/>	FINRA/ Nasdaq TRF Chicago FIX 4.2 Production/QTY <input type="checkbox"/> NTF/QTY <input type="checkbox"/> DR/QTY <input type="checkbox"/>		
FIX 4.4 TS Production/QTY <input type="checkbox"/> NTF/QTY <input type="checkbox"/>	FIX 4.4 Orders Production/QTY <input type="checkbox"/> NTF/QTY <input type="checkbox"/>			

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?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
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Trade Reporting: Drop Copy

<input type="checkbox"/> FIX 4.2 ACT (TRF Carteret)	<input type="checkbox"/> FIX 4.2 ACT (TRF Chicago)	
<input type="checkbox"/> FIX 4.4 SP	<input type="checkbox"/> FIX 4.4 CA	
<input type="checkbox"/> FIX 4.4 TS	<input type="checkbox"/> FIX 4.4 ORF	
<input type="checkbox"/> FIX 4.4 ADF Trades		
Please provide the MPID(s) you would like to drop.		
Please provide the Sendercomp(s) you would like to drop.		
TRF Drop Copy Settings Please select the messages you wish to receive on the drop session. (Check all that apply)		
<input type="checkbox"/> TREN: Acknowledgements	<input type="checkbox"/> TRAL: Alleges	<input type="checkbox"/> TCLK: Locks
<input type="checkbox"/> TCBK: Breaks	<input type="checkbox"/> TCAN: Cancels	<input type="checkbox"/> TCER: Errors
<input type="checkbox"/> TCST: Sizable Trades	<input type="checkbox"/> TCBT: Blockbuster Traders	<input type="checkbox"/> TCP: Clearing Updates
<input type="checkbox"/> GVUD: Give up Notifications	<input type="checkbox"/> CRSP: Clearing Notifications	

Removal Requests

Please provide the product and logon(s) for disconnect below: (Please select only one)			
<input type="checkbox"/> FIX 4.4 TS	<input type="checkbox"/> FIX 4.2 ACT (TRF Carteret)	<input type="checkbox"/> FIX 4.4 ADF Quotes	<input type="checkbox"/> Legacy Fix 4.2 (TRF Carteret)
<input type="checkbox"/> FIX 4.4 SP	<input type="checkbox"/> FIX 4.2 ACT (TRF Chicago)	<input type="checkbox"/> FIX 4.4 ADF Orders	<input type="checkbox"/> CTCI ACT (TRF Carteret)
<input type="checkbox"/> FIX 4.4 CA	<input type="checkbox"/> FIX 4.4 (ORF)	<input type="checkbox"/> FIX 4.4 ADF Trade	<input type="checkbox"/> QIX OTCBB

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			

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 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@nasdaq.com.

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