

PSX Equities 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

Ports to Modify	
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Sponsored Access (required)

Is your member organization planning to use this port for Sponsored Access? ¹	<input type="checkbox"/> Yes <input type="checkbox"/> No
If yes, provide the name of the party that is being sponsored by your firm.	

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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OUCH 5.0
 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 or modify an existing account?	<input type="checkbox"/> Yes <input type="checkbox"/> No
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
What type of connection do you want to order?	<input type="checkbox"/> Test ² <input type="checkbox"/> Production <input type="checkbox"/> NTF

Would you like to request a Chicago Backup/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 Yes No Do Nothing (default)

Cancel Order Cancel / Re-Enter Order

Self Match Prevention (by MPID)

Yes No Decrement both sides Cancel oldest Cancel newest

Self Match Prevention (by ORG Level) (Allows for firms to enable across MPIDs of common ownership)

Yes No Decrement both sides Cancel oldest Cancel newest

Minimum acceptable Quantity (MAQ) (by MPID)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
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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. NQPX)?		
Do you want to enable Attribution on the MPID? ³	<input type="checkbox"/> Yes	<input type="checkbox"/> No
What clearing number will the giveup MPID clear?		
What is the desired max order size? (Default 25,000)		
What is your source IP address?		

Post Only NMS Price Slide Price Slide (default) Cancel Order
(FIX/Rash: MPID only; OUCH/Flite: port/MPID)

Post Only Display Price Slide Price Slide (default) Cancel Order
(FIX/Rash: MPID only; OUCH/Flite: port/MPID)

OUCH/FIX/Rash Only⁴

Do you want Cancel on disconnect Enabled? ³ If yes select one below:	<input type="checkbox"/> Yes	<input type="checkbox"/> No
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If yes, select one below:

Cancel All
 Keep Cross
 Keep GTC (FIX, RASH only)
 Keep GTC & Cross (FIX, RASH Only)

What is the desired max single order notional value?

Other Settings

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

DefaultOTCRoute			
DefaultNYSERoute		DefaultAMEXRoute	

Equities Trading: Drop Copy

Drop 2.2 (OUCH Only)
 Drop 2.1 (OUCH Only)
 RASH Drop (RASH Only)
 FIX Drop (OUCH Only)
 FIX Drop (RASH Only)

Please provide the MPID(s) you would like to drop.	
FIX Only 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 (FIX Only)
FIX Only Please select the protocol version applicable:	<input type="checkbox"/> FIX 4.0 <input type="checkbox"/> FIX 4.1 <input type="checkbox"/> FIX 4.2

Removal Requests

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

OUCH
 FIX
 RASHPort
 DROP

	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 and/or Request Notes

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Order Authorization

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

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2. This test option is only applicable to order entry equity ports.
3. Attribution is only available to registered market makers.
4. 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.

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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.

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