

# Nasdaq Basic Broker Dealer Enterprise License Declaration Form

## Nasdaq Basic

1. What platform(s) will display Nasdaq Basic, in the context of the Broker Dealer relationship or engagement with an Investment Advisor?

a. Please list and describe the platform(s) here:

2. What platform(s) will display Nasdaq Basic for internal Professional subscribers in support of brokerage services to investors?

a. Please list and describe the platform(s) here:

## Nasdaq Basic Digital Media License

1. Will Nasdaq Basic data be displayed on an open platform(s) (website, application, etc.) for use by the general investing public?

Yes  No

a. Are there any restrictions to accessing the data such as, for example, a user identification/password requirement, membership purchase, or purchase of an application?

Yes  No

b. If yes, please list them here:

2. Is the platform(s) for display purposes only?

Yes       No

3. Will Derived Data generated in whole or in part from Nasdaq Basic be distributed on the below mentioned platform(s)?

Yes       No

a. If yes, please advise the specifics of the platform and requirements needed to gain access to Derived Data<sup>1</sup>:

4. Are there any trading capabilities on the platform(s) used to distribute Nasdaq Basic?

Yes       No

a. If yes, please advise the specifics of the platform and requirements needed to gain access to trading capabilities:

5. Does the platform(s) used to distribute Nasdaq Basic provide tools for Professionals or do you believe Professional Subscribers would use this platform(s) for Professional use?

Yes       No

a. If yes, please explain:

<sup>1</sup> Derived Data is any information generated in whole or in part from Exchange Information such that the information generated cannot be reverse engineered to recreate Exchange Information or be used to create other data that is recognizable as a reasonable substitute for such Exchange Information.

6. Does your entity or an affiliate fully control the access of the platform(s) listed below?

Yes

No

a. If so, please list and describe them here:

|  |
|--|
|  |
|--|

|                                 |  |
|---------------------------------|--|
| <b>Firm Name "Distributor":</b> |  |
| <b>Name of System:</b>          |  |

(Please complete the required [System Application form](#) for each new system)

**I certify that the information I am providing in this document is true and accurate.**

|                    |  |
|--------------------|--|
| <b>Signature:</b>  |  |
| <b>Print Name:</b> |  |
| <b>Title:</b>      |  |
| <b>Date:</b>       |  |

**Nasdaq Approval:**

|                    |  |
|--------------------|--|
| <b>Signature:</b>  |  |
| <b>Print Name:</b> |  |
| <b>Title:</b>      |  |
| <b>Date:</b>       |  |