Nasdaq Options Market (NOM) 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) ☐ Replace/Modify ☐ Cancel

Sponsored Access (required)

Is your member organization planning to use this port for Sponsored Access?[1]	☐ Yes ☐ No
If yes, provide the name of the party that is being sponsored by your firm.	

Connectivity

Which service provider will you be using?	☐ Co-Lo ☐ Extranet ☐ CPC
If you have selected VPN, do you require access to the Primary and Backup datacenter?	

Options Trading

☐ FIX v4.2 ☐ CTI v1.3 ☐ SQF v6.4o ☐ SQF Purge ☐ QUO 1.4d

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 to add your mnemonic to an existing port?	☐ Yes ☐ No
If yes, please provide the session to add the mnemonic.	
Has this version of your front-end application been certified?	☐ Yes ☐ No
What type of connection do you want to order?	☐ OTF ☐ Production
Would you like to request a Chicago Backup/DR port?	☐ Yes ☐ No

FIX Only

Do you want to have all orders cancelled on disconnect?[2]	☐ Yes ☐ No
Do you want routing capabilities?	☐ Yes ☐ No
If routing is yes, please select the default routing strategy	☐ SRCH ☐ SEEK ☐ DNR (Do Not Route)
What mnemonic will be added to this port?	
What clearing number will the give-up clear?	
What is the desired max order size? (**Default: 50K**)	
What is your source IP address?	
Convert Market to IOC	☐ Yes ☐ No

QUO Only

Are you a NOM registered market maker? (QUO is only intended for registered NOM market makers)	☐ Yes ☐ No
Do you want to have all orders cancelled on disconnect?[2]	☐ Yes ☐ No

SQF Only

Enable COD Functionality	☐ Yes ☐ No
Enable Quotes post only	☐ Yes ☐ No
If yes to above post only	☐ Re-Price ☐ Post Only Reject ☐ Cancel order instead of Reprice
Enable notification messages? Please choose message type below.	☐ Yes ☐ No

☐ Symbols	☐ Auctions	☐ Trading Actions	☐ Purges
☐ Quote Executions	☐ Underlying Permission	☐ Rapid Fire	

CTI Only

☐ Trades Only ☐ Extended Cancels

What are your Clearing entitlements?	
What are your Badge entitlements?	
What are your FIX Firm entitlements?	
What are the OCC clearing numbers (Clearing Firms or Self clearing firms)	
What are your badges?	
What are your firm mnemonics?	
What is your source ip address?	

Options Trading: Drop Copy

☐ QUO ☐ FIX

Please provide the mnemonic(s) or session(s) you would like to drop.	
Please provide the Sendercomp(s) you would like to drop.	
FIX Only Timestamp (default seconds)	☐ Milliseconds

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

Fix Only

☐ Accepts ☐ Breaks ☐ Cancels ☐ Executions ☐ Rejects

QUO Only

☐ Accepts ☐ Breaks ☐ Cancels ☐ Executions ☐ Rejects

SQF

☐ Accepts ☐ Cancels ☐ Executions

Removal Requests

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

☐ FIX ☐ CTI ☐ SQF ☐ QUO

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

Order Authorization

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

1. NASDAQ PHLX LLC, The NASDAQ Options Market LLC, and Nasdaq Texas Options, Inc. General 2, Section 22 allows 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.
2. You understand that NASDAQ provides a best effort attempt to cancel orders upon disconnection if you've elected this service. In the event your connection is disconnected, you understand that you are required to call the NASDAQ Options Market Operations at 215-496-1571 to check the status orders. There is no guaranty 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.
3. All firms accessing via a Service Bureau are required to sign the Service Bureau Agreement (http://www.nasdaqtrader.com/content /AdministrationSupport/AgreementsTrading/nwiiagreement.pdf). All services and products requested on this form are governed by the terms in the NASDAQ U.S. Services agreement NASDAQ U.S. Services agreement and the NASDAQ Transaction Services Policies 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.

FIX ports are charged per logical port (Source/Mnemonic combination).

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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