



UNLISTED TRADING PRIVILEGES

## DATA FEED REQUEST FORM

This Data Feed Request Form is for the Nasdaq Vendor Agreement for UTP Level 1 Services and/or other applicable UTP Level 1 agreements. All applicable policy details and pricing information may be accessed at: [http://www.utpplan.com/data\\_admin](http://www.utpplan.com/data_admin). Submit a **separate** Data Feed Request Form for each data feed provider.

### CORPORATE INFORMATION

| Distributor Name (Company Name) - (Required)      |                                   |                  |
|---|-----------------------------------|------------------|
| Company Name                                      |                                   | Telephone number |
| Contact Name                                      | Email address                     | Date             |
| Primary Data Feed Installation Address (Required) |                                   |                  |
| Street Address (P.O. Box Numbers Not Accepted)    | City, State, Province, Postal/ZIP | Country          |
| Backup Data Feed Installation Address             |                                   |                  |
| Street Address (P.O. Box Numbers Not Accepted)    | City, State, Province, Postal/ZIP | Country          |

### ORDERING INFORMATION

Please enter the Data Feed Provider information and select the market data services that your organization intends to receive.

|  |  |
|--|--|
| Data Feed Provider/Vendor Name:              |  |
| Vendor Account Number or Data Feed Location: |  |

| UTP LEVEL 1 SERVICE/FINRA SERVICE  |   |          |             |
|--|---|----------|-------------|
| UTP Services   | Receipt of Data Timing                      | Add Date | Delete Date |
| _____ Binary UTP Trade Data Feed <sup>SM</sup> (UTDF <sup>SM</sup> )     | _____ Real Time<br>_____ Delayed 15 minutes |          |             |
| _____ Binary UTP Quotation Data Feed <sup>SM</sup> (UQDF <sup>SM</sup> ) | _____ Real Time<br>_____ Delayed 15 minutes |          |             |
| Optional: FINRA/OTC Services   | Receipt of Data Timing                      | Add Date | Delete Date |
| _____ FINRA – Bulletin Board Dissemination Service (BBDS <sup>SM</sup> ) | _____ Real Time<br>_____ Delayed 15 minutes |          |             |
| _____ FINRA – Trade Data Dissemination Service (TDDS <sup>SM</sup> )     | _____ Real Time<br>_____ Delayed 15 minutes |          |             |

## CONNECTION INFORMATION

|  |   |
|--|---|
| Data Feed Connection/Source Type:                          | <input type="checkbox"/> Direct Access (from an Extranet or NASDAQ Co-Location)<br><input type="checkbox"/> Indirect Access (through a Data Feed Provider/Vendor) |
| Anticipated service start date:<br>(Production start date) | -----   |

## SYSTEM INFORMATION

What is the name of the System(s) your organization will use to distribute the UTP Level 1 Information? Please submit a **separate** list if your firm has more than two (2) systems.

| System Type   | Approval Type   | System Name  |
|---|---|--|
| <input type="checkbox"/> Internal Use Only [Employees]<br><input type="checkbox"/> External Use Only [Non-Employees]<br><input type="checkbox"/> Both Internal and External Use | <input type="checkbox"/> Previously Approved<br><input type="checkbox"/> New System | System Name 1:-----<br><br>If the above system has <b>not</b> been previously approved, please submit a SYSTEM APPLICATION, either <a href="#">Online</a> or <a href="#">Hard Copy</a> |
| <input type="checkbox"/> Internal Use Only [Employees]<br><input type="checkbox"/> External Use Only [Non-Employees]<br><input type="checkbox"/> Both Internal and External Use | <input type="checkbox"/> Previously Approved<br><input type="checkbox"/> New System | System Name 2:-----<br><br>If the above system has <b>not</b> been previously approved, please submit a SYSTEM APPLICATION, either <a href="#">Online</a> or <a href="#">Hard Copy</a> |

## USAGE INFORMATION

Please indicate how each System will utilize the UTP Level 1 Information.

| Usage Type                                      | System Name 1:   | System Name 2:   |
|---|--|--|
| Internal Professional Subscribers               | <input type="checkbox"/> Yes <input type="checkbox"/> No | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| External Professional Subscribers               | <input type="checkbox"/> Yes <input type="checkbox"/> No | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| External Non-Professional Subscribers           | <input type="checkbox"/> Yes <input type="checkbox"/> No | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Per Query                                       | <input type="checkbox"/> Yes <input type="checkbox"/> No | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Voice Ports Or Cable Television                 | <input type="checkbox"/> Yes <input type="checkbox"/> No | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Non-Display Electronic Trading System           | <input type="checkbox"/> Yes <input type="checkbox"/> No | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Non-Display use on its own behalf               | <input type="checkbox"/> Yes <input type="checkbox"/> No | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Non-Display use on behalf of customers          | <input type="checkbox"/> Yes <input type="checkbox"/> No | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Retransmission Data Feed Direct (Extranet/CoLo) | <input type="checkbox"/> Yes <input type="checkbox"/> No | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Retransmission Data Feed Indirect               | <input type="checkbox"/> Yes <input type="checkbox"/> No | <input type="checkbox"/> Yes <input type="checkbox"/> No |

## APPLICATION SIGNATURE & CERTIFICATION

I certify that the information provided on this UTP Data Feed Request Form is accurate.

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